



Community-Based Forest and Coastal Conservation and Resource Management in Papua New Guinea

PIMS 3954

Midterm Review Volume I

GEF-4 BD-SP3, BD-SP1

**Independent State of Papua New Guinea
Conservation and Environmental Protection Authority (CEPA)
United National Development Program (UNDP)**

Stuart Williams

Midterm Review, Opening Page

Acknowledgements

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I am also grateful for the efforts of all of the project partners on the island of New Britain for making arrangements with their partners – the management committees and other community members with whom they are working to establish community conservation areas. They ensured that large numbers of people turned up for the meetings, often when it was obvious that there were clashing events taking place. I am also grateful for the time that those clans, land owners and land users gave to me over the course of the mission – and for their patience in answering my probing questions. It is an enormous privilege to be welcomed so warmly into such communities.

The evaluation is intended to give a summary of what has been achieved in the project to date as well as glean some of the lessons that can be learned from it in what was a relatively short period. In the report, I have tried to offer constructive criticism where I think it is warranted and I hope that those involved in the project take it as such.

Finally, it is a pleasure to be welcomed to Papua New Guinea, to be shown around again with such evident pride and to see wonderful places. I saw the results of the dedication and enthusiasm that people had put into the work of conserving important places in the world. I would like to offer them my thanks and wish them every success in their continuing endeavours.

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Acronyms, Abbreviations and Glossary

APR	Annual Project Review
CA	Conservation Area
CCA	Community Conservation Area
CAMC	Conservation Area Management Committee
CEPA	Conservation and Environmental Protection Authority (formerly DEC)
CEO	Chief Executive Officer (referring to GEF)
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DEC	Department of Environment and Conservation (now CEPA)
DFAT	Department of Foreign Affairs and Trade (of the Government of Australia)
EIA	Environmental Impact Assessment
EOP	End of Project (usually in the context of targets for indicators)
FPIC	Free Prior Informed Consent
GEF	Global Environment Facility
GIS	Geographical Information System(s)
ha	Hectares
HPOL	Hargy Palm Oil Limited
JICA	Japan International Cooperation Agency
KAP	Knowledge, Attitudes and Practice (referring to the surveys to assess changes often following awareness campaigns)
KBA	Key Biodiversity Area
Kina	The currency of PNG (where USD 1 = 3.2 kina)
LLG	Local Level Government
LPACM	Local Project Appraisal Committee Meeting
M&E	Monitoring and Evaluation
METT	Monitoring Effectiveness Tracking Tool (for protected areas)
MTR	Midterm Review
NB	New Britain
NBIS	National Biodiversity Information System
NBPOL	New Britain Palm Oil Limited
NEC	National Executive Council
NGO	Non-governmental Organisation

NIM	Nationally Implemented (referring to a project implementation modality)
NPAP	National Protected Areas Policy
NPD	National Project Director
NRT	Northern Rangelands Trust (an umbrella organisation for community conservation areas in Kenya)
PA	Protected Area
PAB	Project Advisory Board
PES	Payment for Ecosystem Services
PIF	Project Identification Form
PIR	Project Implementation Review
PMU	Project Management Unit
PNG	Papua New Guinea
PPG	Project Preparation Grant
PM	Project Manager
PRF	Project Results Framework
ProDoc	Project Document (referring to the UNDP operational project document)
REDD+	Reducing Emissions from (Forest) Deforestation and Degradation
RSPO	Roundtable for Sustainable Palm Oil
SIMS	Species Information Management System
TE	Terminal Evaluation
TOR	Terms of Reference
TNC	The Nature Conservancy
UNDP	United National Development Program
UNDP-CO	UNDP Country Office
UNDP-DRR	UNDP Deputy Resident Representative
UNDP-GEF RTA	UNDP-GEF Regional Technical Advisor (based in Bangkok)
USD	United States dollars
WBCA	Wide Bay Conservation Association
WCS	Wildlife Conservation Society
WMA	Wildlife Management Area

1 Executive Summary

Project Information Table

Project Title	Community-based Forest and Coastal Conservation and Resource Management in Papua New Guinea		
UNDP Project ID	00079707	PIF Approval Date	June 2009
GEF Project ID	3936	CEO Endorsement Date	June 2011
ATLAS Business Unit Award No.	00062283	ProDoc Signature Date	20 August 2012
Country	Papua New Guinea	Date PM hired	13 June 2013
Region:	RBAP	Inception W/shop date	30 August 2012
GEF Focal Area/Strategic Objective	Biodiversity/ BD-SP3, BD-SP1	MTR completion date	
Trust Fund	GEF	If revised, proposed op. closing date:	
Executing Agency/Implementing partner	UNDP		
Other executing partners	Department of Environment and Conservation (transitioned as the Conservation and Environment Protection Authority in 2014)		
Project Financing	at CEO endorsement (USD)	At MTR (USD)	
[1] GEF Financing	6,900,000	3,456,681	
[2] UNDP Contribution	2,000,000	386,125	
[3] Government	5,000,000	At the point of the MTR mission to PNG, no data were available (but see Section 4.3.3)*	
[4] Other partners	16,000,000		
[5] Total co-financing	23,000,000		
PROJECT TOTAL COSTS	29,900,000	3,842,806**	

* In November 2017, the project provided some cofinance information; these have been included in Annex VII.

** The total only includes GEF and UNDP expenditure.

Project Description

This was designed as a seven-year, USD 6.9 million project with the overall objective “to develop and demonstrate resource management and conservation models for landholding communities that effectively incorporate community-managed conservation areas as part of agreed national priorities with industry and government”. The project is working on four components to achieve this objective: 1) enabling national environment for a community-based sustainable national system of Protected Areas (PAs) containing globally and nationally significant biodiversity; 2) identification and establishment of new PAs in the country; 3) undertaking Conservation Area (CA) management planning and signing partnership agreements with communities; and 4) providing capacity development and support for implementation of CA Management Plans.

The purpose of the evaluation is to provide an independent external view of the progress of the UNDP-GEF project “Community-based Forest and Coastal Conservation and Resource Management in PNG” at its approximate midpoint, and to provide feedback and recommendations to UNDP and project stakeholders that

can help strengthen the project and ensure its success during the second half of implementation. The objective of the evaluation is to assess progress towards the achievement of the Community-based Forest and Coastal Conservation and Resource Management in PNG Project objective, identify and document lessons learned (including lessons that might improve design and implementation), and to make recommendations regarding specific actions that might be taken to improve the project. The evaluation report is divided in two volumes: Volume I (this report), which summarizes findings, conclusions and recommendations for the project. Volume II of this evaluation report includes various Annexes.

Progress toward achieving project results

The project suffered a significant delay at the beginning. The UNDP project document was signed on 20 August 2012 and the Inception Workshop was held just ten days later, on 30 August 2012. It was then just under a year before the Project Manager was in place (on 13 June 2013). Since then there have been cumulative delays as the project has progressed – associated both with administrative issues but also with the slow process of engaging with communities.

The story of the project's implementation can be viewed as two disparate and discrete stories. The first has unfolded within the offices of Port Moresby while the second has, to date, unfolded on the island of New Britain – with the work in Port Moresby dominating the project at date.

However, there has been progress, some of which is significant:

- A new Policy on Protected Areas was finalised and approved (December 2014); the project is developing the Protected Areas Implementation Plan (PAIP) associated with the new Policy; the project should assist with the initial implementation of the plan.
- A progressive, far-reaching, ambitious and appropriate Protected Areas Bill (PA Bill) is under preparation following extensive consultation and with a thorough legislative review.
- A study for “options and opportunities” for PES in New Britain was completed
- The project has carried out various efforts to build capacity and train people (see Annex IV)
- The assessment of the Species Information Management System (SIMS) was completed in 2015; the NBIS was developed (through the Kokoda Initiative) and the project will support the population of the system with species records from different stakeholders.
- A number of expeditions in New Britain were funded. There is now sufficient information to carry out all protected area planning across the island.
- On the island of New Britain, progress has been good: five WMAs are going through the process of conversion to CCAs, as well as improving governance, and a further eleven new CCAs are being developed and established. The work is being done in partnership with five NGOs. However, it is arguable that the project has taken too much on – although it is impossible at this point to *reverse*

this situation; the project partners will have to consider very carefully how to proceed hereon as there are significant risks – mainly associated with expectations that have been created.

- Community “volunteer” programmes have been established; however, lessons across the globe suggest that these should focus on creating awareness, encouraging participation and carrying out monitoring – rather than acting as enforcers of any regulations.
- The project is developing a toolkit for CCAs – but for this, a wider consultation is necessary. This should result in a *roadmap* to guide all NGO partners who are engaging with communities for the establishment of CCAs.
- The project (and partners) need to build governance systems within the CCAs.

In contrast, there has been little or no progress on other (more difficult) aspects, including: i) the establishment of “whole of government” land-use planning structures (Output 1.1.1), ii) the integration of protected areas into PNG’s medium term development strategy (Output 1.2.1), iii) the development of a national EIA policy (Output 1.3.1), iv) the development of a policy on “environmentally sustainable agricultural production” that includes “a commitment for all exported palm oil to be certified sustainable” (Output 1.3.1), v) the development of a “spatial and non-spatial socio-economic database to support improved land-use”. At this point, the project partners need to make a strategic decision about what they will tackle in the remaining part of the project and what is simply overambitious.

Further, there has been some confusion, poor communication and misunderstanding which has resulted in no progress in the Owen Stanley Range. As a result, CEPA should convene a meeting with DFAT and UNDP-GEF with the aim of forging a mutually beneficial agreement (with a workplan and budget) such that the objective of establishing a protected area in the Owen Stanley Range can be realised (within the limitation in the UNDP-GEF funding, both in terms of quantity but also in terms of the time remaining in the project).

There is more to gender mainstreaming than including a few women in the CCA management committees; indeed, gender is centrally important to use of natural resources. The project partners need to draw off existing expertise and experience in the country as much as possible to mainstream gender in a meaningful way.

Other important points include:

- There are significant expectations of the project (and UNDP-GEF in general) among the conservation community in PNG. As such, scrutiny of the successes and failures of this project is intense. Project progression should be clearly communicated to stakeholders and partners so as to manage those expectations.
- It appears that the primary reason that communities wish to establish protected areas is to seek some form of additional legal protection over their lands specifically to keep out the large-scale, industrial developments (e.g., logging, palm oil) – although there are additional, secondary reasons for why communities may wish to establish community conservation areas (e.g., protecting access to natural resources and that the areas include sacred sites).

There is a relatively short amount of time remaining in the project (even with a no-cost extension) and there still is a huge amount to achieve (and, indeed, it is not all achievable). The MTR makes some recommendations about what might be excised from the project – but these need to be approved by the PAB and by the UNDP-GEF RTA (if not at higher levels because they represent substantive changes to the project design).

Finally, the MTR cannot stress enough that the establishment of CCAs is a *long-term* process and that the project is *only just starting* the process. Finding mechanisms to continue the processes and ensuring sustainability is critically important.

Measure	MTR Rating	Achievement Description
Project Strategy		<p>The project was designed as a USD 6.9 million dollar, seven-year project. It was designed as an all-encompassing project and included some tangential aspects that, while they have some impact and influence on protected areas, they are quite removed from the effective management of protected areas. The project design underestimated the time that it would take to get the project started (and as a result a no-cost extension is being recommended by the MTR).</p> <p>There are two overriding threads to the project: i) the creation of an enabling policy and legislative framework and ii) to trial the establishment of community conservation areas in two parts of the country.</p>
Progress Towards Results		
Objective level	MS	<p>The project has far to go to achieve its objective (develop and demonstrate resource management and conservation models for landholding communities that effectively incorporate community-managed conservation areas as part of agreed national priorities with industry and government). There has been some good progress on two fronts: i) the legislative framework (with the Policy, draft Policy Implementation Plan, and draft Bill), and ii) the work with protected partners to establish CCAs on New Britain. However, there is far to go.</p>
Outcome 1	MS¹	<p>While there are aspects of Outcome One that the project has not even started (and, as a result, will probably be dropped from the project), there has been significant progress to create an enabling environment through the PA Policy and draft PA Bill. The development of CEPA's capacity has far to go – primarily to turn the organisation from one that behaves as a traditional government agency to one that facilitates and enables.</p>

¹ **Comment on draft report:** "CEPA and UNDP suggest a reconsideration of the rating to 'satisfactory' based on page 17-18". **MTR response:** While there are definitely aspects that are satisfactory – even highly satisfactory – such as the work on the PA Bill and PAIP, there are significant shortcomings in other areas of Outcome One (see 49 *et seq.*).

Measure	MTR Rating	Achievement Description
Outcome 2	MS	On the island of New Britain, with a number of partners, the project has taken strides to establish CCAs and to convert WMAs to CCAs; however, there is far to go before these are robust and resilient. Conversely, the project has yet to engage in the Owen Stanley Range.
Outcome 3	MS	In terms of establishing governance structures for the CCAs, there has been moderate progress and almost all CCAs now have management committees. Again, this is an early step in the process and the governance of the CCAs requires much more work. The project has yet to tackle the issue of sustainable financing plans for the CCAs.
Outcome 4	MU	Relatively little has been carried out under Outcome Four although the project is working with the Provincial Governments (and should continue to do so).
Project Implementation & Adaptive Management	MU	<p>The project suffered from significant delays and confusions at its start-up. Since then, the project has suffered further cumulative delays. In addition, the project management arrangements, as they currently stand, bear no resemblance to the management arrangements as they were designed (although the MTR recommends that with the exception of moving the PMU to the CEPA offices as soon as it is feasible to do so, they should remain as they are). At the level of the pilot sites on New Britain, the project is primarily engaging through a number of partner organisations – but there are significant differences among the strengths and weaknesses of these organisations and hence little uniformity about how they are approaching the task of establishing CCAs. Through miscommunication and misunderstandings, the project has neglected to engage in the Owen Stanley Range.</p> <p>In contrast to these examples of less exemplary implementation, there are some very positive aspects of implementation. For example, the development of the PA Bill was carried out in a fully consultative manner.</p>
Sustainability	ML/MU	There are some aspects in which sustainability is moderately likely while other aspects are moderately unlikely. This is simply indicative of how far the project has to go before sustainability is assured. The concerns lie primarily at the level of the CCAs: the project (which is of a limited duration and with a limited budget) has gone through the risky step of creating new institutions. The key to increasing the likelihood of their sustainability will be to establish robust and resilient partnerships with funding mechanisms that are long-lasting. There are capacity issues at all levels (including within CEPA) and there is much to do here before sustainability is assured.

Summary of conclusions

While the project suffered a slow start up, there has been some steady progress particularly in two aspects of the project's work: i) the development of a legislative framework and ii) the process of establishing community conservation areas on New Britain Island. At the point of the MTR, the project has accomplished a guess-estimate of between 30-35% of all that it set out to achieve – and not much time remains (even if a no-cost extension is granted). As a result, the project partners (primarily the UNDP-CO together with CEPA but also involving the UNDP-GEF RTA from Bangkok) need to develop a strategy or roadmap (as part of the management response to this MTR report) of what can (and, importantly, what cannot) be achieved in the remaining life of the project. This should lead to a detailed workplan and budget being developed – which should, in turn, be approved by the reinvigorated Project Advisory Board and UNDP-GEF RTA/Directorate. There should be a sense of urgency to do this: already the project is running late and there is a vast amount to do – especially dealing with the sustainability issues.

There are profound complications of carrying out timebound projects in PNG and projects need to take this into account when they are being designed.

A further conclusion is that there is no small amount of irony that in a country in which customary ownership of land is so deeply enshrined in the psyche of the people and in the legal framework of the country – including the constitution – that so much of this project is about land and legal protection of land from the more exploitative elements of society. Indeed, legal protection of land appeared to be foremost in the minds of the people living within and surrounding the CCAs.

Recommendations and Recommendations Summary Table

This report is scattered with numerous recommendations and suggestions (which have been displayed in blue through the text). Other recommendations are described in detail in Section 5.2.

The summary of MTR recommendations for the project

No.	Recommendation	Timing	Responsibility
1.	Develop a strategy (as part of the management response to this MTR report, with a detailed workplan and budget) of what can and cannot be achieved in the remaining life of the project. The strategy, workplan and budget should be approved by the Project Advisory Board & UNDP-GEF RTA/Directorate	Immediate	PMU, PAB, UNDP-GEF RTA
2.	At the very least, there should be a no-cost extension until December 2019 (with a review of the situation in December 2018)	Immediate; review Dec 2018	PAB, UNDP-GEF RTA
3.	The functionality of the PAB must be reinstated with regular meetings and full responsibility (see para 66 <i>et seq.</i> in Section 4.3.1).	Immediate	UNDP-CR & DRR; CEPA-NPD, UNDP-GEF RTA
4.	Adjustments and amendments to the project results framework (see Table 2)	Immediate	PMU, PAB, UNDP-GEF RTA

No.	Recommendation	Timing	Responsibility
5.	The Project Management Unit moves to CEPA offices (see Section 4.3.1).	Once CEPA moves to new offices	CEPA, PMU
6.	The management arrangements of all UNDP-GEF projects harmonized (see discussion in Section 4.3.1)	Within six months	UNDP-CO, CEPA
7.	Monitoring co-finance	Remainder of project	PMU
8.	The amended version of the METT should be examined, tested and adopted as the METT for the country (although the slightly amended version will have to be used for all M&E until the end of the project, see discussion in Section 4.3.4).	Remainder of project (and onwards thereafter)	CEPA, PMU
9.	The names for the CCAs should be decided (by consensus) by the land owners, land users and clans associated with the land and then used consistently thereafter.	Immediate	CEPA, PMU
10.	Collect baseline data for some indicators and be diligent about monitoring rest (see Table 2).	Remainder of project	PMU
11.	Improve reporting – the PRF should be very precise and quantitative as possible (the indicators are supposed to be “measurable” after all!); there are other areas of the PIR that can be used for a narrative report.	Remainder of project	PMU
12.	Channels of communication; effectiveness of communication (see Section 4.3.7) – to manage expectations and dispelling misunderstandings and misconceptions about i) the project and ii) about the role of the GEF in PNG.	Remainder of project	PMU, CEPA, UNDP-CO
13.	Take up opportunities for the project to engage in Owen Stanley Range – but this should be done in synergy with the other actors (see para 46(c) in Section 4.2.1).	Immediate	CEPA, the Kokoda Track Authority, DFAT, other UNDP-GEF projects (and possibly Power PNG and EDA RAMU)
14.	Improve gender mainstreaming – the project needs to work on strategies for how this can best be done – acknowledging, first, that gender mainstreaming is not just a number of women that happen to become involved in processes (even though that is a small part of it).	Remainder of project	PMU, UNDP-CO
15.	Appropriate capacity development for CEPA – relative to CEPA’s mandate, the project should build and implement a strategy that will contribute to building CEPA’s capacity (see Section 4.4.3)	In coming three months and then for remainder of project	PMU, CEPA, UNDP-CO
16.	Recognise the actual drivers for establishment of CCAs and use this information to catalyse further CCAs across the country (in partnership with other ongoing initiatives).	Remainder of project	PMU, CEPA, conservation partners

No.	Recommendation	Timing	Responsibility
17.	Make CCA management plans bylaws and regulations contextually appropriate and ensure they encourage compliance.	Remainder of project	PMU, project partners
18.	The PA Policy Implementation Plan presents an opportunity for the project to contribute to the implementation of the policy – particularly those aspects that are synergistic with the objective and targeted outcomes of the project. The project should work with the consultant developing the PA Policy Implementation Plan to determine where those synergies lie and how the project may contribute to their implementation.	Ongoing	PMU, CEPA
19.	The project must have developed and implemented a strategy such that at project closure, the continuity of the CCAs is guaranteed (see Section 4.4). To this end, the project (and, importantly, the project partners) may choose to form an association (or similar umbrella organisation) that will work to sustain the processes started by the project and the impacts that may have been achieved by project closure. This would, of course, be linked to ensuring financial sustainability (in partnership with the GEF-6 project).	Remainder of project	PMU, project partners
20.	Build a strategy for replication because as the success of the CCAs grows, other clans, land owners and/or land users may seek to establish their own CCA (as is already happening in East New Britain).	Remainder of project	PMU, project partners, CEPA

2 Introduction

2.1 Purpose of the review

1. The Midterm Review (MTR) of the UNDP-GEF project “Community-based Forest and Coastal Conservation and Resource Management in PNG” was carried out according to the UNDP-GEF Monitoring and Evaluation Policy. Thus, it was carried out with the aim of providing a systematic and comprehensive review and evaluation of the performance of the project to date by assessing its design, processes of implementation, achievement relative to its objectives.

2.2 Scope & Methodology

2. The approach for the MTR was determined by the Terms of Reference (TOR, see Annex I) and by the UNDP-GEF Guidance for conducting Midterm Reviews². Thus, it was carried out with the aim of providing a systematic, evidence-based and comprehensive review of the performance of the project to date by assessing its strategy and design, processes of implementation and achievements relative to its objectives. As such, the MTR determined the progress of the project in relation to its stated objectives (through the assessment of results, effectiveness, relevance, sustainability, impact and efficiency - requiring a review of the fund allocations, budgets and projections, and the financial coordination mechanisms), to promote learning, feedback and knowledge sharing on the results and lessons (both positive and negative) that can be learned from the implementation of the project to date. The MTR examined whether the implementation arrangements – including the relationships and interactions among the project’s partners, including the Conservation and Environmental Protection Authority (CEPA), UNDP, and other partners³ – are effective and efficient.

3. The MTR included a thorough review of the project documents and other outputs, financial plans and audits, monitoring reports, the PIF, Inception Report, Project Implementation Reviews (PIR), monitoring tools, relevant correspondence and other project related material produced by the project staff or their partners.

² UNDP-GEF (2014) *Project-level Monitoring: Guidance for conducting midterm reviews of UNDP-supported, GEF-financed projects*.

³ Including: i) Centre for Biodiversity and Conservation Science - University of Queensland; ii) Secretariat of the Pacific Regional Environment Programme; iii) Forest Trends; iv) Bishop Museum; v) Binatang Research Center; vi) The Nature Conservancy; vii) Partners with Melanesia; viii) Organization for Industrial Spiritual & Cultural Advancement; ix) Forcert; x) Live and Learn; xi) Barefoot Community Services; xii) Mahonia Na Dari; xiii) Center for Environmental Law and Community Rights; xiv) PNG Institute of Biological Research and xv) Wide Bay Conservation Association

4. The MTR also included a mission to PNG between 01 – 16 March 2017. The mission followed a collaborative and participatory approach and included a series of structured and unstructured interviews, both individually and in small groups (see Annex II for the itinerary of the mission and meetings that were held over its duration). Site visits were also conducted i) to validate the reports and indicators, ii) to examine, in particular, any infrastructure development and equipment procured, iii) to consult with personnel in the pilot areas, local authorities or government representatives, project partners and local communities, and iv) to assess data that may only be held locally. Particular attention was paid to listening to the stakeholders' views and the confidentiality of all interviews was stressed. Whenever possible, the information was crosschecked among the various sources. In addition, the review examined the achievements of the project within the realistic political, institutional and socio-economic framework of PNG.

5. The project results framework (PRF or logical framework) towards which the project is working formed an important part of the MTR.

6. The review was carried out according to the UNDP/GEF Monitoring and Evaluation Policy and, therefore, ratings (see Annex III) were provided for: i) the progress towards results, by outcome and by the objective, ii) project implementation and adaptive management, and iii) sustainability (and the risks thereto). Overall there was an emphasis on supportive recommendations.

7. The MTR was conducted by one international consultant. The consultant has been independent of the policy-making process, and the delivery and management of the assistance to the project; the consultant has not been involved in the implementation and/or supervision of the project.

8. The preliminary findings of the MTR were presented at a debriefing meeting at the end of the mission on 16 March 2017.

9. Finally, the MTR was carried out with a number of audiences in mind, including: i) the various entities of the Government of PNG that are involved with the project – primarily CEPA, ii) the UNDP-CO and UNDP-GEF RTA in Bangkok, and iv) the GEF.

2.3 Structure of the review report

10. The report follows the structure of Project Evaluations recommended in the UNDP Evaluation Guidance for GEF-Financed Projects as given in Annex 5 of the TOR. As such, it first deals with the purpose of the review and the methodology used for the review (Section 2), a description of the project and the development context in PNG (Section 3), it then deals with the Findings (Section 4) of the evaluation within four sections (Project Strategy, Progress Towards Results, Project Implementation and Adaptive Management, and

Sustainability). The report then draws together the Conclusions and Recommendations from the project (Section 5).

11. This report is scattered with numerous recommendations and suggestions (which, in order to make them noticeable, they have been displayed in blue through the text; some of which are reiterated in the final sections of the report, see sections 5.2.1 *et seq.*).

3 Project description and background context

3.1 Development context⁴

12. The project document describes well the development context. In brief, then, Papua New Guinea (PNG) is one of the “mega-diverse” countries in the world from the point of its biodiversity. Its biodiversity is derived from elements from the south (i.e., from Australia) and from the west (i.e., from Asia).

13. Over 70% of the country is covered in forest but it also has extensive wetlands. The biodiversity is not only species rich across all taxa but it is also high in endemism – thus, over 50% of species are endemic across the majority of taxa (e.g., 62% of mammalian fauna and 53% of the avifauna is endemic). The biodiversity is internationally recognised: nine of WWF’s Global 200 Ecoregions fall within the country; the country includes six of the Alliance for Zero Extinction (AZE)’s sites; the entire country falls within two biodiversity hotspots (New Guinea and the East Melanesian Islands).

14. To date, the ecosystems of the country (including the forests, wetlands and reefs) are relatively intact – partly as a result of the terrain of the country – and especially the highlands.

15. The current human population is 7.9 million (derived from the 2011 estimate of 7.06 million coupled with estimated population growth rates); this population is predominately rural. The average human density is 17.1 people/km². Human populations mirror the diversity of other species and it is estimated that there are an estimated 850 languages spoken across the country.

16. The rural communities are organised into clan-based structures: these structures are the primary resource owners with 97% of the land being owned by these clan structures under customary law. In addition to the ownership of land (with terrestrial resources such as forests), the clan structures also own/manage coastal and marine resources. Because the resources are not

⁴ **Comment on draft report:** “Please include narrative on the: institutional, and policy factors relevant to the project objective and scope.” **MTR response:** Included, as requested.

owned at an individual level, decisions over resource use are made on a consensus basis.

17. The key institution for the project is CEPA: CEPA was formed with the dissolution of the DEC through the CEPA Act (2014). The Act does not refer directly to CEPA's mandate with regard to protected areas; instead, it refers to existing "environmental conservation laws and policy directions", most specifically the Conservation Areas Act (Chapter 362) of 1978, and the Environment Act of 2000. The CEPA Act does not explicitly specify the mandate of CEPA with respect to protected areas but, rather, in Part II, Section 8 of the Act, the "functions" are described.

18. There is a profound policy-implementation divide. Indeed, as is relatively common among protected area authorities in developing economies, despite years of "capacity development" and despite its "upgrade" from a "department" to an "authority", little has changed in CEPA. However, because of the unique land tenure system in Papua New Guinea, CEPA's role is quite unlike any other protected area authority on earth.

19. In addition, CEPA and all the government organisations (including the provincial and local level governments) are extremely poorly funded. This is recognized in much of the literature.

20. While CEPA operates at the level of the national government, there is a national strategy to build the role and capacity of the provincial and local level governments. In addition, the non-state actors have been active: through the 1990s and 2000s, many of the larger international NGOs implemented programmes that were based on "traditional" conservation approaches or "mantras": identifying the key biodiversity areas, approaching communities and encouraging the establishment of protected areas (most often Wildlife Management Areas, WMAs or Locally Managed Marine Areas, LMMAs) on the principle of potential resource limitation. It is both relevant and notable that the majority of the international NGOs have either withdrawn from the country or significantly reduced their presence and investment in PNG – despite the global importance of the country's biodiversity, ecosystem services and ecological processes.

21. The de facto situation is that, despite the number of planning exercises, there has been no coherent process for the establishment of protected areas in the country. Instead, protected areas have emerged in an ad hoc way and each has its own story. These range from hangovers from the past planning processes with international NGOs catalysing WMAs or LMMAs (which now linger on unsupported but with mostly no active management), to affiliations to extractive industries as part of their offsetting or corporate social responsibility efforts, to individual efforts most often linked with single or multiple species.

3.2 Problems that the project sought to address

22. The customary land ownership within PNG makes the establishment and management of protected areas under state structures (as it is done in much of the rest of the world) near impossible. Where protected areas have been established, it has been done with years – if not decades – of consultation and engagement with local communities. Conversely, it should be noted that the same structures present a relatively robust barrier to the establishment of large-scale commercial agriculture and has limited the impacts of commercial logging. And yet, despite these apparent barriers to such developments, they are not impervious to them, and land and the resources thereon are under increasing pressures. This has led to poorly planned, unsustainable development and resource extraction. The forests of the country are now facing growing threats from a wide range of activities, including logging, expansion of palm oil plantations, commercial mining and invasive species. The construction of infrastructure, including roads, is also bringing issues as it allows access to previously inaccessible resources.

23. In summary, then, the primary threats to the biodiversity, ecosystems and ecological processes of the country are: i) deforestation and degradation of forests from logging, subsistence agriculture and the expansion of commercial agriculture, and ii) the impacts of the mining (including pollution and waste run-off). Over and above these primary threats, there is also unsustainable harvesting of natural resources by local communities – including of non-timber forest products, and the species that are hunted and fished.

24. All this is taking place in a context in which human population growth rates are high: current estimates put the annual growth rate at 2.1% and people are increasingly linked to cash economies and the need to pay with cash for necessities such as education, health care and commodities. Furthermore, the youth are being drawn to consumerist aspirations.

25. In conclusion, there are a number of barriers to effective conservation in PNG. Again, these are described in the PRODOC in great depth⁵ but they can be summarised into three broad categories: i) systemic and policy barriers in national governance; ii) information and analysis gaps; and, iii) capacity and economic development barriers at the local level. Without delving into the detailed descriptions of the barriers (which can be read in the PRODOC), the barriers can be summarised as follows:

- a. Barrier 1: Inadequate legal and policy structures and a lack of national biodiversity priorities to allow the planning, establishment and funding of sustainable protected areas.

⁵ The Barriers Section of the PRODOC runs to 15 pages of text (see paras 28 *et seq.* on pp. 10-25 of the PRODOC)!

- i. Barrier 1.1: Ineffective coordination among sectoral institutions for land-use planning to incorporate Protected Areas
 - ii. Barrier 1.2: Ineffective National Protected Areas (PA) Policy
 - iii. Barrier 1.3: Inadequate Legal Provision for the Ecological and Financial Viability of Protected Areas
 - iv. Barrier 1.4: Lack of Agreed National Conservation Criteria
 - v. Barrier 1.5: Inadequate Policy and Legislation to support Payment for Environmental Services (PES) Schemes
 - vi. Barrier 1.6: Inadequate Institutional Staff Capacity to Implement National Conservation Strategies Including Protected Areas Management
 - vii. Barrier 1.7: Failure of National Strategic Planning Policies to Address Population Pressures on Land-Degradation
- b. Barrier 2: Deficient biodiversity information and data analysis to facilitate conservation needs planning and develop baseline for environmental services.
- i. Barrier 2.1: Inadequate data for Accurate National Conservation Needs Planning
 - ii. Barrier 2.2: Inadequate Baseline Information to Quantify Payment for Environmental Service Schemes
- c. Barrier 3: Inadequate economic incentives and variable local capacities to support community conservation areas.
- i. Barrier 3.1: Lack of Economic Incentives for Community Conservation
 - ii. Barrier 3.2: Low Capacity for Economic Development and Resource Management at the Local Level
 - iii. Barrier 3.3: Variable Types and Capacity of Local Level Organizations

3.3 Project description and strategy

26. As described in the sections above, conservation in PNG is hindered by a combination of systemic and policy barriers to manage protected areas effectively in combination with the capacity and economic development barriers at the local (community/clan) level that directly affect the decisions communities make about the use of their natural resources.

27. The overall objective of the project, therefore, is to develop and demonstrate resource management and conservation models for landholding

communities that effectively incorporate community-managed conservation areas as part of agreed national priorities with industry and government.

28. In functional terms, this objective is to be achieved through the achievement, in turn, of the following outcomes (with associated outputs):

- a. Outcome 1: National enabling environment for a community-based sustainable national system of protected areas (PAs) containing globally and nationally significant biodiversity
 - i. Output 1.1.1: High level whole-of-Government structures established, to coordinate land-use decisions
 - ii. Output 1.2.1: PNG's Medium Term Development Strategy and related planning documents incorporate and provide support for the objective of developing a Sustainable National System of Pas
 - iii. Output 1.3.1: National Strategic Environment Assessment Policy Framework to manage the issue of cumulative impacts on biodiversity and PAs through a failure to coordinate land-use decisions
 - iv. Output 1.3.1: National Policy framework on environmentally sustainable agricultural production developed, including a commitment for all exported palm oil to be certified sustainable by 2015
 - v. Output 1.4.1: Integration of the three existing Protected Areas Acts into a single legal framework for PA establishment and management
 - vi. Output 1.5.1: Models established to support payments for ecosystem services generated within protected areas (e.g. watershed protection, biodiversity offsets, fisheries protection, REDD), linked to formal Benefit Sharing Agreements within protected area legislation
 - vii. Output 1.6.1: Capacity development programmes for DEC (CEPA) and other relevant agencies, including emphasis on public administration, financial management and procurement
- b. Outcome 2: Community-managed conservation areas identified and established in the Owen Stanley range and New Britain
 - i. Output 2.1.1: Development of a National Biodiversity Information System (NBIS) comprising spatial and non-spatial information on PNG's biodiversity necessary to support its effective protection and management

- ii. Output 2.1.2: Development of a spatial and non-spatial socio economic database to support improved land-use and protected area decision making
 - iii. Output 2.1.3: Identification and establishment of Owen Stanley Ranges Conservation Area, incorporating the Kokoda Interim Protected Area
 - iv. Output 2.1.4: Identification and establishment of at least one Conservation Area in New Britain
 - v. Output 2.1.5: Conversion of Globally and/or Nationally significant Wildlife Management Areas to Conservation Areas
- c. Outcome 3: Conservation area management planning and partnership agreements with communities
 - i. Output 3.1.1: Conservation Area Management Committee established with membership including landowners, Provincial and Local Level Governments and the DEC
 - ii. Output 3.1.2: Conservation Area Management Plan developed and endorsed by each CA Management Committee
 - iii. Output 3.1.3: Funding for the Management Plans secured and being used to support implementation
 - iv. Output 3.2.1: Service Delivery, Community Development and Business Development Action Plans developed and under implementation
 - v. Output 3.2.2: Sustainable financing plans developed for each CA incorporating development opportunities from PES schemes, Government/donor funding and identified business development opportunities
 - vi. Output 3.2.3: Additional funding required to fully finance Management Plans identified and secured from domestic and/or external sources
- d. Outcome 4: Capacity development and support for implementation of CA management plans
 - i. Output 4.1.1: Provincial and Local Level Government officers supporting service delivery for CAs, each with a three-year capacity development plan linked to their individual performance agreements

- ii. Output 4.1.2: Conservation Area Service Delivery Management arrangements agreed between all levels of Government and endorsed by each CA Management Committee
- iii. Output 4.2.1: Business development, protected area management and ranger training courses developed for increasing the capacity of landowners to manage the Conservation Area and generate income from business activities linked to the CA
- iv. Output 4.3.1: Education, training courses and remote access training programmes on health, sanitation and family planning
- v. Output 4.4.1: Project Evaluation by the DEC at the end of the project involving consultation with all key project stakeholders at all levels

29. The analysis of the Project Results Framework (PRF) and the indicators under each of these outcomes and outputs is presented below (see Section 4.1).

30. On the surface, the project structure seems logical and simple enough. It could be glibly summarised as being putting an enabling environment in place, selecting some areas in which community-conservation areas could be established and establishing them. However, such a superficial analysis belies the complexity of what is being asked. The (large) number of outputs (with their concomitant activities) listed above gives some hint of this. Indeed, even as a USD 6.9 million dollar project that is to be implemented over seven years, it is ambitious. There may be reasons for why the designers wished it so: there is a great deal of disillusionment with the previous failures of the GEF (and, indeed, other conservation actors) in the country and this project is seen as a catch-all panacea. In this, expectations are significant and it is setting itself up for disappointment and possible failure.⁶

⁶ **Comment on draft report:** “Clarify whether the possible failure is connected with the scope of the project. From my recollection, this was a well-intended project to address threats of forest conversion on New Britain Island with the aim to protect the Whiteman and Nakanai Range as requested by CEPA (formerly DEC) however the implementation approach in which the project was implemented contributed to unlikelihood of achieving the entire project outcomes.” **MTR response:** Indeed, it is the scope of the project that is overly ambitious (as described in Section 4.2.1). For example, Outcome One of the project aims to deal with many more things than just the Whiteman and Nakanai Ranges (see Section 4.2.1 for a full discussion of this point).

3.4 Project Implementation Arrangements

31. The implementation arrangements, as described in the project document, are idealistic and relatively well founded. It attempts to adopt a “whole-of-government” approach to project implementation building on the successes of the Kokoda Initiative (with significant support from DFAT).

32. Under Nationally Implemented Modalities (NIM), CEPA (formerly DEC) is the Implementing Partner with responsibility for the majority of project implementation.

33. As with all UNDP-GEF projects, the project was designed to have a Project Advisory Board (PAB) and a Project Management Unit (PMU). *Unlike* many other UNDP-GEF projects, the overall responsibility is *not* explicitly vested in any one body or person.

34. Two separate units were to be established, one in New Britain, the other linked to the Kokoda Initiative to implement the demonstration aspects of the project. These separate units were supposed to be supported by Project Management Committees (PMCs) in each of the demonstration areas, respectively. It is interesting to note, therefore, that despite the desire to adopt a “whole-of-government” approach for the project, there were only three entry points for other government agencies: the PAB and the two PMCs.

35. There are further inconsistencies and contradictions in the project document with respect to the project implementation arrangements. For example, the National Project Director (NPD) was supposed to take the greater portion of the responsibility for the project’s implementation with the support of a “Project Coordinator” – although elsewhere in the project document, there are references to a “Project Manager”, and with “Managers” of the “Kokoda Initiative and New Britain Project Management Committees”. A UNDP Outcome Board is mentioned – but only once in the entire document and there do not appear to be Terms of Reference (TOR) for such a body.

36. Finally, despite the design of the project implementation arrangements, the actual arrangements – as they currently stand – bear little resemblance to the design (and see section 4.3.1 for a full discussion on this).

3.5 Project timing and milestones

37. The project is a GEF-4 project and was planned as a seven-year project. The envisaged start date in the project document was July 2011 – thus, the envisaged end-of-project date was June 2018. The other project milestones, including the project end date for the project, are indicated in Table 1.

Table 1. The project milestones including the projected end date for the project.

Milestone	At endorsement	At MTR stage
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PIF Approval	09 April 2009	-
PPG Approval	25 Sept 2009	-
CEO Endorsement	29 June 2011	-
LPACM*	-	16 Nov 2011
UNDP Prodoc signed	-	20 August 2012
Inception Workshop	-	30 August 2012
National Project Manager appointed	-	13 June 2013
MTR mission commences		01 March 2017
Projected EOP	June 2018	August 2019

* Local Project Appraisal Committee Meeting

38. During the Local Project Appraisal Committee Meeting (held on 16 November 2011), it was envisaged that project implementation would start in 2012. However, there were considerable delays to the project start-up (see Table 1 and the discussion in Sections 4.2.1 and 4.3.1).

3.6 Main stakeholders

39. Contrary to the majority of project documents, there was no explicit identification of stakeholders – including their roles and responsibilities, as well as their potential roles in the project. There were a number of (sometimes oblique) references to different stakeholders – but there are two stakeholders that pervade the project document: CEPA (or DEC as it was and as it appears in the project document) and communities/clans. This flies in the face of the expressed desire for the project to be inclusive and “whole-of-government”. [It is possible that there was a thorough stakeholder analysis that was carried out and that this was placed in an Annex; however, there was no reference to this in the main body of the project document.⁷]

4 Findings

4.1 Project Strategy

4.1.1 Project Design

40. The overall project design is logically acceptable even if it is not the most elegant of designs. It appears as if people were trying to seize the opportunity to do as much as possible (with relatively significant amounts of funding) – including aspects that are only tangentially related to the main threads of the project and/or the aspects cannot be influenced by the project. Thus, in addition to the broad scope of the project’s design (including those

⁷ **Comment on draft report:** “CEPA confirms that there was no stakeholder analysis done”.

tangential aspects) with the large number of outputs (see section 3.3), without exception, the stakeholders interviewed over the course of the mission in PNG confessed that the project was overambitious. For example, Outcome One broadly focuses on providing an enabling environment for protected areas in the country – and, yet, under Outcome One, there are three outputs which any project (and especially one that is being implemented in the modality that this one is) would find it difficult to achieve: Output 1.2.1: *PNG's Medium Term Development Strategy and related planning documents incorporate and provide support for the objective of developing a Sustainable National System of PAs*, Output 1.3.1: *National Strategic Environment Assessment Policy Framework to manage the issue of cumulative impacts on biodiversity and PAs through a failure to coordinate land-use decisions*, and Output 1.3.1: *National Policy framework on environmentally sustainable agricultural production developed, including a commitment for all exported palm oil to be certified sustainable by 2015*. In other words, there are aspects that do not fit elegantly into the project (and the MTR assumes that the project designers were simply being opportunistic) and there are other aspects that are beyond the power of influence of the project. As such, the designers are setting this project up either to fail or, at least, have some aspects fail. This is a risky strategy especially in a country in which previous GEF projects have often been perceived to either fail or not fully achieve their objectives.

41. While Outcome One focuses on the enabling environment, Outcomes Two to Four focus on the establishment of community conservation areas (CCAs) in two areas of the country. These later Outcomes do also include some higher level planning (e.g., a National Biodiversity Information System) – but there are issues such as there is no clear linkage with the factors that motivate communities to engage to establish protected areas within their lands (and see Section 4.2.1 for a discussion on this).

42. Beyond these points (and as will be discussed later in the report – see section 4.3.7), there are misconceptions and expectations about what the project will achieve.

4.1.2 Analysis of Project Results Framework

43. In the project document, the (slightly long-winded) overall objective of the project is expressed as being “to develop and demonstrate resource management and conservation models for landholding communities that effectively incorporate community-managed conservation areas as part of agreed national priorities with industry and government”. This, according to the project document, therefore, lead to the “key impact indicator” of “the extent of high conservation value area which is brought under effective community-based conservation at targeted sites”. This overall indicator is linked to interim indicators of i) mechanisms for strengthened inter-agency

coordination on conservation issues; ii) development of national resource industry standards; iii) strengthened policy and legislation to improve effectiveness of protected areas; iv) identification of agreed national biodiversity priorities and criteria; and v) demonstrated service delivery to participating communities.

44. The project's results framework (PRF) is linked quite closely to project as it has been designed with the Outputs (as described above, see Section 3.3). That being said, there are a number of issues: i) many of the indicators are not SMART (Specific, Measurable, Achievable or Attainable, Relevant, Timebound or Trackable⁸); ii) there are issues with the baseline data for the indicators – and in many cases, the baseline data have not been collected; iii) there are issues with the end-of-project (EOP) targets and iv) some of the indicators are ambiguous. The detailed analysis of these issues is explored within the PRF itself (see Table 2).

45. Somewhat strangely, for a GEF Biodiversity project, there are no indicators that aim to demonstrate biodiversity impacts despite the fact that a number of community-conservation areas are involved in the project (which, ideally at least, will have an impact on the biodiversity, ecosystem services and/or ecological processes – which, again at least in principle, should be brought out in the management plans for those CCAs). As a result, at least in principle, there *could* have been biodiversity indicators.

4.2 Progress Towards Results

4.2.1 Analysis of progress towards outcomes

46. The project suffered a significant delay at the beginning. As indicated above (see Section 3.5), the UNDP project document was signed on 20 August 2012 – some 14 months after the CEO Endorsement. Somewhat surprisingly, the Inception Workshop was held just ten days later, on 30 August 2012: this undermined some of the principal purposes of such a meeting (which include discussing the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms). As it was, it was just under a year before the Project Manager was in place (on 13 June 2013). And since then, there have been cumulative delays as the project has progressed – associated both with administrative issues but also with the slow process of engaging with communities. Indeed, working with communities, requiring cycles of consultation and building trust, are, by definition, slow processes.

47. The story of the project's implementation can be viewed, in fact, as two disparate and discrete stories. The first has unfolded within the offices of Port Moresby while the second has, to date, unfolded on the island of New Britain.

⁸ There are a number of different assignments for this acronym depending on the author

Because of the proximity to the offices in which the Project Manager sit, the story within Port Moresby could be viewed as dominating the project at date – and, arguably, of distracting the project from the work that should (or could) have been taking place in the field. It is clear that dealing with the project within the capital is much easier than dealing with the establishment of community-conservation areas on a different island.

48. However, there has been progress, some of which is significant. Starting with the progress of the activities that have taken place in Port Moresby – the majority associated with Outcome One of the project, the following gains have been made:

- a. A new Policy on Protected Areas (what CEPA is now calling the “Green Book”) was finalised and approved (December 2014). This represents a significant achievement and was completed after extensive consultation. In every way, this achievement should be applauded.

The PA Policy built on the initial process started by the Kokoda Initiative and took it to its logical conclusion: the approval of the policy by the National Executive Council (NEC) in 2014.

The Protected Areas Implementation Plan (PAIP) associated with the new Policy is also now underway – with the development of a set of indicators (with associated baseline data). This is obviously important – [and the MTR recommends to find synergies between the implementation plan and the project, and that the project assists with the initial implementation of the plan.](#)

- b. Further to and on the foundations of the Policy on Protected Areas (and the three existing pieces of PA legislation), a Protected Areas Bill is under preparation (Output 1.4.1). Despite substantial efforts to complete and have this document enacted before the government and parliament closes before the election in July 2017, this was not possible.

As with the PA Policy, the PA Bill has been developed following extensive consultation and with a thorough legislative review. The PA Bill includes all the relevant sections to provide a good enabling environment for all protected area categories in the future. The Bill is progressive, far-reaching, ambitious and appropriate. Over the course of the MTR mission in PNG, the overwhelming majority of people were supportive of the draft PA Bill – although, as ever, there were a few objections and criticisms about some of the terminology and language (and given that the passage of the PA Bill is now halted by the election process, [the project may wish to](#)

bring those people who have specific issues together to see if these objections and criticisms can be addressed before the Bill is finally submitted for enactment).

There are good signs that the PA Bill will be enacted despite i) the short time before the elections and ii) the resistance that some sectors or individuals are apparently putting up to it. Apparently, too, the Minister of Environment, Conservation and Climate Change wishes the PA Bill to be part of his legacy.

- c. Under Output 1.5.1, a study for “options and opportunities” for PES in New Britain was completed (somewhat duplicated with Output 3.2.2 although that operates at the level of the CCA).

49. Arguably, these are the “easiest” aspects of Outcome One and while these significant achievements are to be applauded, there has been little or no progress on other, “more difficult” aspects of Outcome One. For example, there has been little progress on: i) the establishment of “whole of government” land-use planning structures (Output 1.1.1), ii) the integration of protected areas into PNG’s medium term development strategy (Output 1.2.1), iii) the development of a national EIA policy (Output 1.3.1), iv) the development of a policy on “environmentally sustainable agricultural production” that includes “a commitment for all exported palm oil to be certified sustainable” (Output 1.3.1⁹), and v) capacity development for CEPA (but see Annex IV for the training that has been carried out under the project to date).

50. While there is some logic that underpins the inclusion of all these different aspects, at this point, the project partners need to make a strategic decision about what they will tackle in the remaining part of the project and what is simply overambitious. For example, it is unrealistic and dangerous to attempt to start processes at this point in the project’s life if there is a reasonable chance that they will be either incomplete by the end of the project, if they will not be approved and/or their implementation will not be initiated. In addition, some of the opportunities have been missed: for example, PNG’s Medium Term Development Strategy (2016-2017) has already been published (and although it does mention “increasing ... protected areas to protected biodiversity”, the targets, in fact, demonstrate no increase in protected area coverage). *Therefore, the MTR recommends that the PB convene a meeting to discuss the extent to which the project can realistically make progress against each of the outputs in which progress to date has been limited. The decisions must be based on the principle that whatever processes or impacts that are put into place must be sustainable and have mechanisms to continue.*

⁹ This output is incorrectly numbered in the project document as a repeated 1.3.1

51. Under the remaining outcomes – which largely focus on the establishment and management of community-conservation areas (CCAs) – progress is uneven. Again, there are some aspects in which progress is satisfactory while others have been either neglected (or avoided) and progress is less satisfactory:

- a. Outcome Two included a number of different and slightly disparate outputs. In principle, they were designed to provide planning tools for the selection of conservation areas – primarily on the basis of a national biodiversity information system (NBIS) – but also conservation planning and gap analysis. Thereafter, the Outcome focused on identifying and establishing conservation areas and converting existing Wildlife Management Areas (WMAs) into CCAs.

The assessment of the Species Information Management System (SIMS) was completed in 2015. The NBIS is built on the SMIS data – although the development of the NBIS was done through the Kokoda Initiative (KI). The NBIS is currently being tested before considered to be functional. The project will support the subsequent steps (i.e., populating the system with species records from Bishop Museum; ExxonMobil has also committed to share results of their surveys along the gas pipeline from Southern Highlands-Hela-Gulf-Central Province; as have the Binatang Research Centre).

In contrast, a number of expeditions (in the Whiteman and Baining Ranges) were funded for New Britain and in the words of one respondent, there is now “sufficient information” to carry out all protected area planning across the island. In other words, no further information-gathering is necessary (although inevitably monitoring will be). It is necessary now to convert the information from the gap analysis, conservation planning and the expeditions into establishing protected areas in those areas of New Britain in which the biodiversity, ecosystem services and ecological processes are most important.

- b. On the island of New Britain, at one level, progress has been good: five WMAs (Tavolo, Pokili, Garu, Kavakuna and Klampun) are going through the process of conversion to CCAs¹⁰ (as well as

¹⁰ It is interesting to note that the project document describes the conversion of “globally and/or nationally significant Wildlife Management Areas” (WMAs) into CCAs. There are five WMAs on New Britain and the project has chosen to engage with them all, irrespective of their global or national significance.

improving governance) and a further eleven new CCAs are being established (of these, six are relatively new areas – Lake Namu, Lake Lamoauru, Muruk, Baro, Mu and Lakiri – and these sites have not previously received any organizational development and/or community development support, while the remaining five areas – Arabam/Raigel/Maranagi, Ainbul, Tarobi, Manginun, and Toimtop – previously had ongoing relationships with NGOs). The work is being done in partnership with five NGOs (Barefoot Community Services, OISCA, Mahonia Na Dari¹¹, Live and Learn, and Forcet). What is slightly unclear is the process by which the *new* sites were selected (cf. the WMAs which were obviously *pre-selected*)¹².

Thus, 16 CCAs are going through the process of becoming formally established and strengthened. This includes establishing governance structures (management committees with representation; establishing bylaws and regulations), management planning and boundary identification or recognition¹³. Ultimately, the partners will need to continue the process – and this will be underpinned by the need for sustainable financing (see discussion under section 4.4).

As mentioned above, the project is working through five NGOs. As would be expected, the NGOs have different strengths (and weaknesses) and different capacities; different levels of interaction – will ultimately lead to different rates at which the results will be achieved. While some positives to this (lessons will be learned – and should be documented – about best practices), it is probably not the most efficient way of going about this. In addition, two of the six NGOs are spread very thin: they have few people trying to cover six and three CCAs, respectively. The result is that they are either lagging or there are issues with unfulfilled expectations among the communities, or both.

¹¹ However, since this information was given to the MTR, Mahonia na Dari appears to have withdrawn from the process.

¹² **Comment on draft report:** *“On the selection process, the first wave focused of existing gazetted areas then followed by other communities that are existing partners of NGOs. New site/s were being supported were intended to reach the 1 million hectares target of the project. Baining Mountain was selected based on the KBAs of IUCN CEFP”* **MTR response:** Thanks for the clarification.

¹³ The MTR chooses to use this terminology – rather than the more commonly used “demarcation” – because there are issues with demarcation especially when permanent markers are used. Rarely is it really questioned whether these add value. The point here is that the boundaries of the protected areas need to be understood and recognised. Given the communal/clan-ownership of the land, it is highly likely that boundaries are already well known.

As such, it is arguable that the project has gone a little too far and taken too much on in New Britain. Although it is impossible at this point to *reverse* this situation (e.g., by pulling out of one or more of the CCAs), there are many risks and [the MTR recommends that the project partners consider very carefully how to proceed hereon. Many of these risks are associated with the expectations that have been created – and that now need to be carefully managed.](#) Other risks are associated with sustainability (to be discussed in Section 4.4)¹⁴.

Other issues to consider as the project moves forward are as follows:

First, understandably, the community “volunteer” programmes have been established – however, lessons across the globe for similar community scout programmes suggest that these should focus on creating awareness, encouraging participation and carrying out monitoring – rather than acting as enforcers of any regulations. This is particularly important to ensure social cohesion.

Second, while the Wide Bay Conservation Association (WBCA) is developing a toolkit and while WBCA does extraordinary work in the areas in which they, themselves, engage, they tend to be an inward looking NGO and if the toolkit is to become useful, they will need to consult more widely. This should result in a *roadmap* to guide all NGO partners who are engaging with communities for the establishment of CCAs.

Third, there are many lessons to be learned about the process of establishing CCAs – not only within PNG but also across the globe. One of the key lessons, for example, is that *governance* is critically important¹⁵.

¹⁴ If one examines how networks of community conservation areas are established around the globe, there are many useful examples and lessons that may be applicable to the situation in PNG – see, as two key examples, the networks that have been established in Kenya (there are a number of networks but the best is probably the Northern Rangelands Trust: www.nrt-kenya.org) and in Namibia (the Namibian Association of CBNRM support organisations, NASCO: <http://www.nacso.org.na>). The key to the successes here is the *umbrella* organization that brings together the CCAs and facilitates the establishment of new CCAs. This represents best practice and [the project should explore the possibility of establishing a formal association that would bring together the CCAs together.](#) This will enhance the likelihood of sustainability. It could, potentially and perhaps optimally, be done through an existing organization or, less ideally, through the creation of a new association.

¹⁵ See, for example, the sections on governance regarding the Northern Rangelands Trust in Kenya (www.nrt-kenya.org).

Finally, the MTR cannot stress enough that the establishment of CCAs is a *long-term* process and that the project is *only just starting* the process. Even at the end of the project and even if the project in these areas is a great success, the process will have *only just started*. Finding mechanisms to continue the processes (and ensure that any impacts are sustainable) is critically important. Lessons from around the world suggest that engagement with the communities needs to continue for a minimum of 20 years – if not ad infinitum¹⁶.

- c. In contrast, there has been some confusion, poor communication and misunderstanding which has resulted in no progress in the Owen Stanley Range. The matter lies in a misunderstanding between this project and the DFAT funding for the Kokoda Initiative – with both funders partly believing that the other was doing the work. With the DFAT funding being momentarily suspended and this project assuming that the Kokoda Initiative was being funded by DFAT, progress stalled. *The MTR, therefore, recommends that CEPA convenes a meeting with DFAT and UNDP-GEF with the aim of forging a mutually beneficial agreement (with a workplan and budget) in the acknowledgement that their objectives will be slightly different but there should be synergies such that the objective of establishing a protected area in the Owen Stanley Range can be realised.* The partners must be aware of the limitation in the UNDP-GEF funding, both in terms of quantity but also in terms of the time remaining in the project.

As with Outcome One, there are aspects that do not appear to have started – for example, the development of a “spatial and non-spatial socio-economic database to support improved land-use”. As above, *the MTR recommends that the project partners discuss what they can realistically (and sustainably) achieve in the remaining time of the project.*

- d. Outcome Three is essentially an extension of Outcome Two but on the scale and level of each CCA. It revolves primarily around establishment of management committees, management planning, financing the implementation of the plans and then implementation itself.

¹⁶ See, for example, the community conservation areas that have been established in Kenya under the auspices of the Northern Rangelands Trust (www.nrt-kenya.org) and those in Namibia (<http://www.nacso.org.na>).

Once again, there are areas in which there has been progress and other areas in which progress is lacking. The majority of the CCAs have established a conservation/management committee.

Under this Outcome, the project opted to carry out two studies¹⁷, one focused on sustainable livelihoods, the other on methods of creating awareness among target groups.

- e. Finally, Outcome Four focuses on developing capacity to implement the CCA management plans (see Annex IV for trainings and capacity development processes that have taken place).

52. There are some other points (in no particular order) to note about the pilot (or demonstration sites). First, the project has retained *some* “coastal” and “marine” aspects¹⁸: six of the demonstration CCAs have some marine component (Tavolo, Klampun, Muruk, Manginun, Mu, and Tarobi).

53. Second, there is more to gender mainstreaming that including a few women in the CCA management committees. There are some great resources on which to draw (including the UN Women office in Port Moresby) to guide the project regarding gender mainstreaming and [the MTR recommends that all project partners draw off these as much as possible. In addition, there are some interesting gender aspects that the MTR recommends that the project should strive to capture: these are the differences between uptake and gender issues in those communities that are matrilineal and those that are patrilineal.](#)

54. Finally, there is a relatively short amount of time remaining in the project (*even with a no-cost extension*) and there still is a huge amount to achieve. Indeed, it is not all achievable. The MTR makes some recommendations about what might be excised from the project – but these need to be approved by the PAB and by the UNDP-GEF RTA (if not at higher levels because they represent substantive changes to the project design).

55. At this point, it is worth pointing out (or, in fact, re-iterating) that there are significant expectations of the project (and UNDP-GEF in general) among the conservation community in PNG. There are many reasons for this – but among them is the apparent decline of conservation NGOs within the country (again, apparently linked to declines in finance). As such, scrutiny of the successes and failures of this project is intense. As the project progresses – and in the light of the various aspects that have progressed (cf. those that

¹⁷ These were: i) Forcert (2016) *Support to Enhancing the Capacity of Communities to introduce and establish Community Enterprises and other Sustainable Livelihood options to promote natural resources management of Protected Areas in priority areas of New Britain Island*, and ii) Live & Learn (2016). *Enhancing communities' awareness and engagement towards the establishment of a new Protected Areas Network within the Whiteman Range in West New Britain*.

¹⁸ After all it is a “Forest and Coastal Conservation and Resource Management” project!

have not progressed so well) should be clearly communicated to stakeholders and partners so as to manage those expectations (and for more on this, see section 4.3.7).

56. A second critical factor is much of the conservation planning carried out by the project could be characterised as being “traditional” conservation planning based largely around biodiversity (and while there has been an assessment of ecosystem services, these have not been fully factored into the conservation planning). However, this belies the *actual* reason why the communities are interested in establishing protected areas in the communal or clan lands¹⁹. The primary reason that communities wish to establish protected areas is to seek some form of additional legal protection over their lands specifically to keep the large-scale, industrial developments (e.g., logging, palm oil). There are additional, secondary reasons for why communities may wish to establish community conservation areas – including (slightly more traditional explanations such as) protecting access to natural resources (although at present it appears as if the communities take their natural resources – for example, clean water from the mountains – for granted and do not necessarily value them – until, perhaps, until they have gone!) and that the areas include sacred sites. This means that the so-called conservation planning tools developed by the project are largely useless because they do not provide any motivation for the communities to establish protected areas. Rather, post hoc, they provide information on either what has been protected (in those areas in which communities end up establishing CCAs) or what may be lost (in those areas in which CCAs are not established and large-scale industrial developments take place). In other words, it may have been more effective to determine those areas being targeted by the large-scale industrial developments – and work with the communities specifically in those areas to determine whether or not they are interested in establishing CCAs as a legal means to protecting their land against these external investors²⁰.

¹⁹ **Comment on draft report:** “The PA Policy has directed the intervention of this project to tie to the motivation of communities regardless of their value, e.g. how they relate to the use or how they see the importance of natural resources either from land or the coast. The project is advocating CCA models as: i) Klampun – long standing commitment of the sole female land owner (grandmother of Elizabeth Tonge and clan) to protect their land against logging. This WMA has stood firm despite the surrounding areas being opened up for logging and agricultural plantations. One of the pivotal aspect of their continuing success is that the LO decision that benefits derived from conservation initiatives will be directed to community members. ii) Tavolo – the entire WMA and community with Forcet struggled to win the court battle against the Special Agricultural Business Lease. They have witnessed how landowners from neighbouring are now displaced who lost their land and way of life).” **MTR Response:** This is valuable clarification.

²⁰ **Comment on draft report:** “The approach of directly competing with large-scale development was the main reason why the previous GEF project failed – ICAD project in Laik in Southern New Ireland.

57. One of the interesting counterpoints to the above point is the inclusion of the marine to the CCAs (even though they are small relative to the terrestrial areas that are to be included in the CCAs). While there is some industrial exploration going on in the seas surrounding New Britain (e.g., off Kokopo), the pressures are in no way equivalent to those on land. Thus, it would be interesting to understand the motivational factor(s) that underpin the communities' interest in protecting these areas (particularly because some of the communities either are not using the marine resources or they are to a relatively small level).

58. In addition, the bigotry of low expectations is something that pervades much of the developing world. The quality of the work that the project does – particularly with local communities in the pilot sites – must not be compromised – otherwise it will undermine the sustainability.

59. Finally, [the MTR recommends that the project be granted a no-cost extension – *but the project first needs to develop a roadmap for the remainder of the project's life*](#). The roadmap needs to be based on a serious, realistic strategy (with an associated budget and workplan) for the remaining two-and-a-half years. The strategy should be coupled with the management response to the MTR report and, overall, it should indicate what is going to be achieved and how it is going to be achieved by the end of the project.

Hence, DEC/CEPA has made its stance early on with GEF4 implementation.” **MTR response:** There are some substantial differences between the ICAD project in New Ireland and the point being made here; the ICAD project attempted to *compete* financially and in terms of delivered services and infrastructure with the extractive industries in the area. The project was simply incapable of doing their – both in terms of scale and in terms of sustaining the delivery. In contrast, the point being made here is that people are primarily motivated to seek legal protection of their land from the (extractives and oil palm) developers.

Table 2. The Project Results Framework showing the MTR status and the MTR comments and ratings (with colour coded highlights indicated aspects that **have been achieved, **will probably be achieved by EOP** and **will not be achieved**).**

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
<p>Project objective: Develop effective natural resource management and financing systems for community conservation areas</p>	<p>Indicator 1: National policy and regulatory framework providing comprehensive and consistent support for CCAs</p>	<p>No specific legislative framework for CCAs. Protected Areas are being established under a range of secondary legislation with limited and inconsistent governmental support</p>	<p>(1) A comprehensive and integrated policy and regulatory framework for CCAs is enacted by end of year 2, (2) supported by a coordinated whole-of-Government decision-making mechanism operational by year 3</p>	<p>The National Protected Area Policy (NPAP) was endorsed by the NEC in December 2014 (NEC decision No. 385/2014). The policy's Implementation Plan and the PA Bill were being finalised during the MTR mission</p>	<p>Approved and disseminated NPAP Draft NPAP Implementation Plan and PA Bill</p>	<p>There are no specific issues with the indicator: it should provide for an enabling environment and framework for protected areas in PNG – especially taking into account the specific circumstances of the country.</p> <p>The EOP Target has two parts, one referring to the legislative framework and the other to “a coordinated whole-of-government decision-making mechanism.”</p> <p>The project progress is satisfactory: the PA Policy is complete and approved; the Implementation Plan and PA Bill are being finalised.</p> <p>Apparently the CEPA-JICA partnership is specifically address the second EOP target (“a coordinated whole-of-government decision-making mechanism”) and, therefore, <i>assuming that they do the work, the project should focus its attention elsewhere.</i></p> <p>There are, however, aspects that have <u>not</u> been addressed by the project: the regulatory framework</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						for environmental impact assessments, land-use, offsetting and PES. The project will have to make some decisions about what it can realistically contribute to these frameworks in its remaining lifetime.
	Indicator 2: Area protected under Community Conservation Areas	1.7 million hectares under various protection scheme for land and sea	1,000,000 hectares protected by end of project	0 ha formally gazetted as CCAs.		This is a precise repetition of Outcome Two Indicator 1 – and as a result, the MTR recommends that that indicator is removed from the Objective Level leaving only that at the Outcome level.
	Indicator 3: Quality of biodiversity management of CCAs as measured by Management Effectiveness Tracking Tool (METT)	To be assessed for individual CCAs upon establishment	CCAs show sustained improvement in METT scores over the duration of the project, beginning from respective year of CCA establishment.	METT scores (list): see Annex V		There are no issues with the indicator: it is the simple measure of PA management effectiveness using the METT. However, the EOP target is vague and imprecise: what does “sustained improvement” mean and how do we know if we have achieved it? The MTR recommends that the indicator is removed from the Outcome but retained here at the Objective level – ideally with meaningful EOP targets for each CCA (i.e., making the calculation on the areas of the METT in which gains are possible for each CCA). In contrast, there are some issues with the application of the METT: i) the project has

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						<p>undertaken an assessment of <i>all</i> the PAs in the country (while, apparently, some of the newly established CCAs on NB have not been assessed – these need to be completed as soon as possible!), ii) the (baseline) assessment was only being completed at the time of the MTR mission in PNG and iii) there are profound issues with the application of the METT in PNG (for discussion of this point, see Section 4.3.4). Finally, the project (and CEPA) should acknowledge that the project will only influence the PAs/CCAs under their influence – and not the remainder of PAs across the country that were also assessed through this process.</p>
	<p>Indicator 4: Landowner commitment to CCAs</p>	<p>Landowner commitment to existing forms of PAs (e.g. WMAs) is often limited, as demonstrated by level of contribution to WMA management.</p>	<p>Landowner commitment sufficient to ensure effective management and conservation of CCAs as measured at end-project.</p>	<p>Letters of consent have been secured from 10 (of the 16 proposed CCAs in NB).</p>		<p>In principle, there are no issues with the indicator – however, securing the “letter of consent” (that is taken to be indicative of free prior and informed consent) coupled with a description of the process undertaken to secure the letter of consent (to demonstrate that the level of engagement and consultation to secure the letter of consent was appropriate) should have been used as the indicator.</p> <p>The progress to date is</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						satisfactory.
	Indicator 5: Funding for conservation and management of CCAs is sufficient to underwrite core activities, and is sustainable over time	To be established for each CCA during planning, using the PA Financing Scorecard	By end-project each established CCA has demonstrated access to all funding required for core management and conservation activities for at least two consecutive years.	No demonstrable funding beyond life of project at MTR.		The indicator refers specifically to the funding for the CCAs with which the project is engaging – and this will be critical for the sustainability of the CCAs (see also section 4.4). [In contrast, the GEF-6 project will address financial sustainability across the entire protected area estate – with a trickle-down effect to the CCAs that are the focus of this current project.] <i>As such, the project cannot be absolved of its responsibilities here and in the remaining life of the project, efforts should be made to seek sustainable funding for the CCAs using whatever tools may be available.</i> Much more remains to be done.
Outcome 1: National enabling environment for a community-based sustainable national system of protected areas (PAs) containing globally and nationally significant	Indicator 1: Number and severity of instances in which CCAs are negatively affected by landuse or development decisions made by Government	Existing PAs (e.g. WMAs) regularly suffering negative impact from agricultural conversion, mining impacts, etc.	In the final year of the project, no established CCA suffers any direct impact due to landuse/ conversion decisions, or indirect impact due to adjacent or upstream development	5 WMAs (Pokili, Garu, Klampun, Tavalo, Kavakuna caves) gazette providing partial protection		This indicator is very odd and has been misunderstood by the project to date. It requires the project (with project partners) to monitor all misdemeanours (but not defining the type of misdemeanour – it is simply negative effects of “land-use or development decisions by government agencies”) in all CCAs (though not defining

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
biodiversity	agencies		activity.			<p>whether that is across the country or in the pilot CCAs only).</p> <p>The project has taken this to mean what type of legal protection is applied to the CCAs</p> <p>In summary, there is a great deal of misunderstanding and ambiguity. <i>The MTR proposes that the indicator is changed to “legal status of CCAs and legal tools being applied to provide protection of CCAs”</i></p> <p>The legal protection of the PAs is dependent on the approval of the PA Bill. It is relatively unlikely that the project will completely achieve this indicator.</p>
	Indicator 2: Explicit recognition of the role and contribution of the protected area system to national development strategies, as described in key national policy documents	No recognition of the PA system in Medium-Term Development Strategy or related planning documents. Environmentally-Sustainable Economic Growth (ESEG) Policy framework under development but not yet agreed or operationalized.	By year 3, PNGs Medium-Term Development Strategy and related planning documents explicitly recognize the development of a sustainable National PA System as a development priority, under the ESEG framework.	Protected areas are mentioned under PNG Medium Term Development Strategy (2016 – 2018).		<p>This indicator is designed to measure the degree of <i>mainstreaming</i> of protected areas within different national policies and development strategies.</p> <p>While protected areas are mentioned in the 2016-2018 PNG Mid-term Development Plan, this is not at the level that is implied in the indicator or target.</p> <p>Moreover, aside from opportunistic inclusion of protected areas (as and when those policies are being reviewed</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						<p>and/or developed) and supporting CEPA whenever possible in their efforts to ensure inclusion of protected areas in national level policies (as and when those policies are being reviewed and/or developed), <u>the project will not expend energy or resources to develop further national level policy documents.</u></p> <p>The project has more than enough to deal with i) finalising and then supporting the implementation of the Policy Implementation Plan and ii) finalising the PA Bill, ensuring its adoption by the GoPNG and development of regulations and guidelines that may be written to support the PA Bill.</p>
	<p>Indicator 3: National policy framework explicitly and comprehensively addresses key conservation policy requirements, including e.g. a framework for assessing and mitigating</p>	<p>Comprehensive policy frameworks not yet established for EIAs, sustainable agriculture or protected area financing.</p>	<p>By year 3, policy frameworks for (i) SEAs, (ii) Sustainable agriculture and (iii) PA Financing have been developed, endorsed by CEPA and submitted to the Government for adoption</p>			<p>This indicator addresses those “tangential” aspects of the PA system and policies relating to it (see Section 4.1).</p> <p>Despite the progressive nature of both the PA policy and the draft PA Bill, they do not include all the aspects that were mentioned in the project document or are mentioned in this indicator. The reality is this will not be done or achieved. The MTR, therefore, recommends that this indicator is</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
	environmental impacts of development, sustainability policies and criteria for agriculture and sustainable financing flows for Protected Areas.					dropped (requiring appropriate approvals to do so because it is a substantive change to the project design). In contrast, the aspects regarding PA Financing (when at the system level – as opposed to the CCA level on the island of New Britain) are now being dealt with under the GEF-6 project and can be dropped by this project.
	Indicator 4: Integration of the three existing Protected Areas Acts into a single legal framework for protected area establishment and management under the new Conservation and Environment Protection Act (see 3.2.1 below) with Conservation Areas providing the legal basis for establishing the Sustainable National System of PAs. The new legal	Fragmented legislation with low power for PA management and no capacity to manage benefit sharing arrangements	A single integrated Act providing for a statutory authority with increased scope for PA management including benefit sharing arrangements	Draft PA Bill in process of being finalised.		The indicator demands harmonisation of the various pieces of legislation referring to protected areas in the country. The progress is satisfactory in that the PA Bill is being finalised. However, the elections of July 2017 may be a barrier to the approval of the Bill (and at the time of the MTR mission, it was hoped that that the Bill would be approved before the government closed for the electoral processes). The UNDP-CO and CEPA are painfully aware of the issues surrounding this and will need to think carefully how best to ensure the Bill is passed if it is not passed before the elections. It should be noted that it is expected that some sectors will oppose the Bill (e.g., the mining

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
	arrangements for protected areas to incorporate the requirement for Benefit Sharing Agreements (BSAs).					sector) and contradictory legislation is also underway (e.g., that relating to mining). If/when the Bill is passed, the project should continue to work with CEPA to develop regulations and guidelines that are associated with the Bill such that by the end of the project, then entire legislative package is complete.
	Indicator 5: Integration of the six Acts administered by the Department of Environment and Conservation to create a single fully integrated Conservation and Environment Protection Act for PNG.	Six separate legislative acts from different periods of history, not integrated	Integrated CEPA Act to reconcile inconsistencies in current body of law, and introduce reforms			While the indicator is sensible and there are no issues with it, this was completed with no assistance from the project (with the enactment of the CEPA Act in 2014) and therefore bears no relevance as a measure of the project's progress or success. The MTR recommends that the indicator is, therefore, removed from the PRF.
	Indicator 6: Level of Government funding available for PA establishment and management.	Annual funding averages less than USD1 million at start of project.	By end-project, available funding meets minimum requirement for gazetted CAs, as measured by the PA Financing Scorecard			In contrast to Objective Level Indicator 5 Refer, this indicator refers to the amount of government funding available across the PA system. The GEF-6 project (which will work to build the financial sustainability of the PA system of PNG) therefore

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						supersedes this project in this areas and, as a result, the MTR recommends that the indicator should be removed from the PRF.
	Indicator 7: Level of institutional and technical capacity in CEPA (once established) and other relevant Government agencies as measured using a Capacity Scorecard or similar approach	To be established upon finalization of the Government restructuring	By end-project, CEPA institutional and technical capacity scores are rated as Sufficient or Adequate across all key competencies. Institutional scores for other relevant agencies (including local governments) show increases on average between project mid-term and end-project assessments			<p>CEPA’s capacity is critical to the functionality of the protected area system within PNG and building CEPA’s capacity is included in a number of the project’s outputs – but most directly under Output 1.6.1.</p> <p>In addition, CEPA remains an institution in flux: even though the institution was formally established with the CEPA Act in 2014, the transition is still ongoing.</p> <p>Despite this, the project has not established the baseline for the Capacity Scorecard for CEPA. There are questions about the worth of applying the scorecard to get baseline data at the MTR stage of the project. However, that being said, apparently the GEF-5 project (that is simultaneously underway), has applied the capacity scorecard to CEPA. While it will probably be difficult to distinguish gains in the scorecard among the different projects and partnerships in which CEPA is engaged</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						(including the GEF-5 project, the future GEF-6 project and other partners such as JICA), it would be worth included whatever data are available.
Outcome 2: Community-managed Conservation Areas identified and established in the Owen Stanley Range and New Britain	Indicator 1: Hectares of new Protected Areas established under the new community conservation area framework	1.7 million hectares gazetted terrestrial and marine areas under protection and/or management. Under different national legislations, various conservation areas have been established as provided under the National Parks Act, Fauna (Protection and Control) Act and the Organic Law on Provincial and Local Level Governments.	By year 5 at least 1,000,000 hectares added			<p>This is a precise repetition of Objective Level Indicator 2 – and suggested above, the MTR recommends that that indicator is removed from the Objective Level leaving only that at the Outcome level.</p> <p>There are no specific issues with the indicator – however, it is unclear from what the baseline is derived. It is similarly unclear whether the EOP target is an <i>additional</i> one million ha. Assuming that this is the case, the EOP target will have to be adjusted for what the project will realistically deliver: i) possible contribution to the establishment of CCAs in the vicinity of the Kokoda Initiative (although that still need to be decided and finalised – see para 45c for discussion), ii) the converted WMAs on NB (amounting to 25,000 ha) and iii) the establishment of 150,000 ha of new CCAs on NB.</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						A total of 204,000 hectares for the PA network in New Britain Island (through expansion of boundaries of existing PAs and new CCAs on NB) – however, their formal establishment as CCAs is still dependent on the passing of the PA Bill and the gazettelement of the CCAs. ²¹
Outcome 3: Conservation Area Management Planning and Partnership Agreements with Communities	Indicator 1: Increase in METT scores for each established CA.	Individual METT scores to be calculated during establishment of the CAs	By end-project, METT scores for each CA increase by at least 20% over initial baseline			This is an almost precise repetition of the Objective Level Indicator 3 – with one notable difference: there is more precision here in the EOP target as opposed to the very vague EOP target at the Objective level. The MTR recommends that the indicator is removed from the Outcome level but retained at the Objective level.
	Indicator 2: Compliance with commitments stipulated in the Partnership Agreements	Agreements to be established during creation of CAs	Within 2 years of CA establishment or by end-project (whichever is sooner) CAMCs report satisfactory compliance with service delivery, community development and economic development	One agreement in place: Signed MOU between NBPOL and Mahonia Na Dari which supports 2 WMA within their area of operation in West New Britain (Pokili and Garu)		This indicator (with the baseline and EOP targets) is very poorly stated: it is unclear and imprecise. Between whom are the partnership agreements? What sort of commitments are being sought in those agreement? The MTR recommends that the indicator, the baseline and EOP targets are re-worded for clarity – see below.

²¹ Until the PA Bill is approved, this should remain highlighted in red; once it is approved, this can change to yellow and when everything is formally achieved, it can turn green.

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
			outcomes as specified in the respective Partnership Agreements.			
	<p>Proposed amendment of Indicator 2: “Partnership agreements (bilateral, tripartite or more) that are intended to support, in a demonstrable way (i.e., through provision of finance, alternative livelihood solutions, etc), establishment, and management of PAs signed and demonstrably implemented – measured by a) number of agreements and b) demonstrated outcome of agreement”</p>	<p>a) No agreements b) No outcomes</p>	<p>a) Up to eight signed agreements b) Demonstrated expenditure leading to measurable outcomes</p>	<p><i>Further agreements being sought by project:</i></p> <p>1. Review of user fee (Garu hot spring) in collaboration with Walindi, Provincial Tourism Board (with support from NBPOL)</p> <p>2. Livelihood opportunities (coffee, cocoa, Moringa products) in Arabam, Raigel and Maranagi through partnerships with OISCA, District Development Authority</p> <p>3. BSA on royalty fee for Warangoi Dam through partnership among East New Britain Prov Administration, PNG Power and 2 Baining communities</p> <p>4. Inclusion of Lake Lamoauru in the tourism package of Baia/Liamo</p>	<p>a) Signed agreements should be available for viewing; b) Accounting for expenditure and measurable outcomes</p>	<p>The emphasis here should not be the signed agreements alone – but their implementation with demonstrated expenditure and demonstrated outcomes (i.e., the agreements need to be implemented and lead to positive outcomes). It should be noted that it is critically important to consider the social and environmental implications of all agreements (i.e., they need to be subjected to rigorous social and environmental screening) such that, at the very least, they demonstrably <i>do no harm!</i></p> <p>As the project moves forward, it will have to collect data on the demonstrated outcomes of the agreements.</p>

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
				resort with support from Hargy Palm Oil 5. With NBPOL – clarification process of WMA boundaries of Pokili and Garu in collaboration with CEPA and the provincial govt		
Outcome 4: Capacity development and support for implementation of CA Management Plans	Indicator 1: Institutional and individual/ technical capacities of Provincial and local level governments to ensure effective delivery of key project outputs.	Preliminary capacity assessment during PPG indicates institutional and individual/ technical capacities are low or extremely low, at 24.4% and 33.3% respectively. Detailed capacity assessments for each participating Provincial/ local government entity to be conducted during establishment of CAs	Provincial and local level government (LLG) institutional and technical capacities to support establishment and management of CAs increases by at least 20% two years after establishment of each CA. Overall institutional capacity increases to at least 56.4%, and individual capacity increases to 50%.	See Annex IV for list of trainings provided by project The Capacity Scorecard was apparently applied in September 2017 (following MTR).		This indicator assumes that the Capacity Scorecard is being applied at the Provincial and local levels (as well as CEPA – see Outcome 1, Indicator 7). The baseline suggested that the capacity scorecard has been applied during the PPG stage (although the MTR did not see the filled spreadsheet). If it is possible to retrieve the original data, then the capacity scorecard should be reapplied at the EOP stage to determine how capacity has changed. As such, it is difficult to determine progress against this indicator. In the meantime, the MTR recommends that the project also track the number of people trained or who have received capacity development, and there is a demonstrable use of new skills in their jobs (as determined by TE). In addition, the data from the

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						capacity scorecard should be included in the PIR for 2018.
	Indicator 2: Capacity of landowners to manage conservation areas and associated livelihoods/ service delivery activities	Preliminary overall assessment during PPG indicated non-existent to low capacities. Specific capacity baselines to be established for each CA.	Landowner groups have sufficient capacity to implement livelihood and service delivery activities.			<p>This indicator refers to the capacity of the people to manage the CCAs but the indicator is very vague: i) there is no suggestion of how the capacity will be measured, ii) is the measurement of the capacity or the results of the capacity application (on management of the CCAs, developing livelihoods and service delivery activities)? iii) there is no suggestion how the “preliminary overall assessment” was carried out – but there is no quantification – only the use of the terms “non-existent to low”.</p> <p>There are other useful measures that could be used: i) the METT is already being applied to measure the management effectiveness of the CCAs, ii) livelihood/socio-economic data are not being collected – although they should be, and iii) there are other useful measures for governance²² – and given its importance, the MTR recommends that these measures are adopted for the pilot CCAs to demonstrate their usefulness</p>

²² See governance pages of www.nrt-kenya.org for the parameters they are using to measure and monitor governance.

Strategy	Indicator	Baseline	EOP target	MTR level	Means of verification	MTR comments on indicator and status
						across the PA system in PNG.
	Indicator 3: Increased access to social services (health, sanitation, education) for landowner communities participating in CAs.	Basic social services being provided by LLGs and/or private industry (e.g. plantation and logging companies) in West New Britain. Social service provision in Kokoda being strengthened through the Kokoda Track initiative but still limited to areas around key Track sites.	All communities/ landowner groups involved in functioning community conservation areas enjoy documented improvement in at least two social service areas.			This indicator measures things that are beyond the immediate scope of project – thus, the achievement of the EOP targets is not under the direct influence of the project and, consequently, there are many assumptions and dependencies. <i>As a result, the MTR recommends that the indicator is deleted.</i>
	Indicator 4: Improvement in policy and regulatory structures for the national PA system, and continued increase in management capacity.	To be established as part of CEPA structure	Project demonstrates tangible and quantifiable increase in systemic, institutional and technical capacities by end-project.			This is another odd indicator in that it is a repetition of a number of indicators listed above. As such; it is imprecise and unclear to boot. <i>The MTR, therefore, recommends that the indicator is deleted.</i>

4.2.2 Remaining barriers to achieving project objectives

60. There are a number of barriers, assumptions and risks to the achievement of the project objective and outcomes. The most immediate, at the time of writing, are the upcoming elections in July 2017. The risks associated with the elections are multiple: i) the investment in building capacity at all levels of government may be lost if there is a turnover in members of staff, and ii) if the PA Bill is not adopted and enacted before the elections, the process may be put back significantly – if not put at absolute risk.

61. It is also essential that the project updates its risk log regularly – at the very least this should be done in the annual PIR; it is difficult for the MTR to assess the risks (aside from those mentioned above and those mentioned elsewhere throughout the report – e.g., see Section 4.4 on Sustainability) without the risk logs.

62. Beyond this, there are a number of barriers that were not included in the project document. The principal barrier that could be mentioned here is corruption: this is a barrier in a number of different ways. First, as mentioned above, the local communities are motivated to have their land included within the protected area system (as community conservation areas) because it provides a legal mechanism (and occasionally an additional mechanism) to protect their land against large-scale developments. This is ironic because PNG is a country in which communal ownership of land is enshrined in much of the country's legislation – including the constitution. The establishment of a protected area, therefore, buffers against such the corruption that often leads to the transfer of land to large-scale developers with the subversion of proper practices (e.g., of consultation and representation) and proper free prior and informed consent that such large-scale developers may adopt.

63. Indeed, corruption undermines all aspects of governance and has multiple consequences. One good example is the corruption that has allowed oil palm companies that are not RSPO certified to produce palm oil from New Britain – thereby leading to the nationwide loss of the premium associated with certified oil palm that PNG previously enjoyed.

64. There are other barriers that remain and that are described at various points in this document (e.g., see Section 4.4.3 for a description of the lack of understanding of CEPA's mandate and the attitudes of government employees to their work).

4.3 Project Implementation and Adaptive Management

4.3.1 Management arrangements

65. The delays at the outset of the project were associated primarily with issues of setting up the project properly and the actual project implementation differs significantly from the management and implementation arrangements

as they are described in the project document. The de facto situation is that management arrangements, as they currently stand, is a NIM project with UNDP support – although there is no letter of request from the government for such an arrangement²³. Despite this, **the MTR recommends that the current implementation arrangements continue to the end of the project**. In other words, the project has lost so much time, to date, that it cannot afford to lose further time by going through the process of adjusting the management arrangements and training people on the different aspects of GEF project management. That being said, the project would benefit from having a full-time CEPA counterpart assigned to the implementation of the project²⁴.

66. Further to the initial descriptions made earlier in the report (see Section 3.4), there are a number of other issues with the management arrangements.

67. First, as also described above, no single structure or entity is assigned overall responsibility of the project (whereas this is usually assigned to the PAB – or project board or steering committee – as appropriate). The PAB is completely dysfunctional (with its last meeting being held on 15 December 2015): **it must to assume its full responsibility for the project**. The Government of PNG, the UNDP-CO and the GEF need to hold the PAB to account for successful implementation of the project. Given the amount of money and the expectations involved in the project, this responsibility, therefore, is not insignificant. The people assigned to the PAB should, as a consequence, take the PAB more seriously, meet for frequently and ensure that attendance is high.

68. Furthermore, in the course of the project, to date, there have been amendments to the membership of the PAB, including the removal of some of the members. Therefore, for example, the NGO representatives were removed from the PAB (apparently because of the need to choose between NGOs and industry – and industry was chosen above NGO representation – when there are six NGOs and numerous CBOs that are *direct* partners). Of course, the MTR acknowledges that industry has the potential to have profound (positive and negative) impacts on the CCAs (as well as

²³ **Comment on draft report:** *“The Letter of Agreement is signed annually as an annex to the AWP. Full NIM implementation is dependent on the Mirco-Assessment to assess the financial management capacity of an implementing partner. The last assessment of CEPA found risks that were considered significant hence the NIM modality with UNDP support. This will continue to the end of the project.”*

MTR response: Useful contextual information.

²⁴ In contrast to the management arrangements in the project document (which states that the PMU [would] be staffed by regular personnel of CEPA), CEPA have not allocated staff full-time to the project: all CEPA staff that are associated with the project have full-time positions (and it is impossible to imagine that people with existing full-time positions and mandates would additionally be able to implement such a complex and large project).

communities in general) but, at present, they are not direct partners with the project.

69. While it may be at times uncomfortable, it is good to get NGO representation on the PAB and, as a consequence, [the MTR recommends that the NGO that was previously providing representation on the Board be reinstated](#). After all, their goals are *precisely* the same as ours – conservation of biodiversity, ecosystem services and ecological processes while building sustainable livelihoods. This is, therefore, not a competition but it should be a partnership. Moreover, the principle should be that if people are taking the responsibility seriously and attending the meetings, they should be encouraged.

70. Second, as mentioned earlier, there were profound delays to the start-up of project activities: indeed, project activities only really started with the recruitment of the Project Manager (and this occurred in June 2013 – almost a year after the UNDP project document had been signed).

71. Third, the Project Manager has taken on too much – coupled with the facts that i) she has an inadequate number of support staff, ii) the support staff she has have an inadequate capacity, and/or iii) the UNDP-CO team have provided inadequate support (or, most likely, a combination of the all the above). This is widely recognised and the UNDP-CO should never have allowed her to take on quite so much without adequate support²⁵ -

²⁵ Indeed, as UNDP moves forward with the development, expansion and implementation of its GEF portfolio, it will need to consider how best to ensure that these projects are efficiently and effectively implemented (as well as ensure that the UNDP-CO staff has a good knowledge of GEF processes. There are a number of different models across the globe of how this is done and the UNDP-CO (with their government partners – here CEPA) should make some pragmatic decisions about how best to implement these projects

There are a number of additional points to make here. First, one of the ironies of the development business is that the countries with the best capacities are most reluctant to take on the responsibility of the implementing time consuming, complex projects such as these, acknowledging that their staff are busy enough as it is (and, as a result, they often request the support of UNDP to do the project implementation – subject to a functional Project Board through which the country in question retains ownership and control of the project. In contrast, countries with lower capacity are inclined to try to assume the responsibility of implementing the projects – primarily because they wish to control the resources (i.e., funding) associated with the projects – even though this more often than not leads to ineffective and inefficient projects.

Second, the UNDP-CO should examine, as examples, the arrangements for implementing GEF portfolios across the globe and consider what might work best for them. Two contrasting examples are those of Georgia and Kazakhstan. Georgia has an incredibly efficient and effective staff ($n=2$) within the UNDP-CO (partly because salaries, benefits and conditions are competitive – and it is a privilege to work for the UN – thus, the UNDP attracts the finest people on the market) who coordinate a portfolio (of >15 projects) but this is dependent on having highly skilled and capacitated Project Managers. In contrast, Kazakhstan has established a Project Management Unit with the responsibility to implement

particularly because this project is extremely complex and the operational environment in PNG is complicated²⁶.

72. Having such demands on one person contributed to some of the delays in the project.

73. However, fourth, delays are also caused by the partners who are largely unfamiliar with the stringent processes and bureaucracy that is associated with the UNDP²⁷.

74. Fifth (and related to the issue associated with an over-burdened Project Manager), there have also been issues with communication which has led to people and partners being disgruntled. There is clearly a need to improve communication (and see section 4.3.7 for a further discussion on this).

75. The consequence it that as the UNDP-CO's GEF portfolio expands, it will need to consider how best to support the projects such that they are efficiently and effectively implemented.

76. For the purposes of the current project (and subject to ensuring adequate budgetary resources), [the MTR recommends that the UNDP-CO employs an operational person \(perhaps a Chief Operations Officer, COO\) who assumes the day-to-day management, implementation and operations of the project](#) (unless that position can be demonstrably filled by an extremely well qualified and competent person from CEPA who is assigned, full time, to the project). Such as person would also have technical skills and responsibilities (which should be included in the position's TOR) thereby justifying drawing off the budget lines that have been allocated to the four outcomes for the person's salary and costs (as opposed to the project management budgets or UNDP's TRAC funding).

77. Further to this, the project needs to re-consider how it is being implemented at the level of East and West New Britain. The COO (as proposed in the preceding paragraph) will have to spend considerable amounts of time in the field – even the majority of his/her time – working

a number of different projects. The PMU is led by a PMU Manager and this person is supported by technical and support staff (some of whom are shared across projects, others of whom are dedicated to not more than one project, depending on requirements).

²⁶ **Comment on draft report:** *“There should have been a clear delineation of responsibilities assigned to PM and the CO Programme Officer with regard to quality assurance and project mgt role for all UNDP-GEF projects. PM's role is clearly defined in the ToR annexed to the pro doc”*. **MTR response:** Indeed; both the UNDP-CO and the Project Manager should have ensured that this situation should not have arisen.

²⁷ And yet some of the partners *should* be used to similar demands – evaluations of at least two of the partners involved in the project have been or will be carried out at the behest of other donors – and as a result, they should be familiar with the sort of demands that UNDP makes.

with partners. This may negate the need for the two project staff – but only if this can be done practically with the absolute commitment of staff from the provincial environment offices. If, on the other hand, the provincial environment offices cannot spare their staff to work on a full-time basis on project business, then the two project staff may still be necessary.

78. In summary, therefore, these are large and complex projects to implement. It is critical for all involved – including CEPA and UNDP-CO – that the projects are implemented efficiently and effectively – and consequently achieve their intended impacts – partly because there are profound expectations from the partners and public at large. This is all dependent on the skills, commitment and abilities of the people involved.

79. There are a few final comments to make in this section. The Project Manager (with her support staff) are based in the UNDP-CO offices in the “Deloitte Building”. This is costly – and this was a cost not foreseen in the project document²⁸ - and this creates significant distance between the team and CEPA. Thus, *if at all possible and if CEPA makes suitable space available*, and if it can be done efficiently with no significant loss of time, *then the PMU should be moved to be housed within the CEPA offices*. This would provide potential opportunities to cost-share (e.g., things like internet access²⁹). However, until these two criteria are satisfied, then the PMU should remain where it is.

80. Second, *the project team (with the other teams implementing other projects including the GEF-5 project – and, in the future, the GEF-6 project), needs to be consolidated and streamlined leading to an improvement on current arrangements* (as discussed above, including in footnote 25). There are opportunities for resource sharing and cost-cutting – but these need to be carefully planned and agreed by the UNDP-CO and CEPA. *For this, the senior staff at the UNDP-CO needs to be fully engaged and be involved throughout the implementation of the project: they need to understand that at present the project is being ineffectively and inefficiently implemented and significant steps need to be taken to turn this around.*

Table 3. The members of the Project Implementation Unit, including position and period within the position.

Name	Position	Employment dates - From	Employment dates - To
Ms. Emily	Project Manager (IC)	13 June 2013	12 May 2014

²⁸ As it was designed, the PMU was to be based in CEPA and, as mentioned above, staffed by “regular personnel” of CEPA (however unrealistic that is!).

²⁹ The server is in place but, apparently, the UNDP-GEF projects that were to pay for the ISP have not done so, leaving CEPA (and other partners) without connectivity.

Fajardo	National Protected Area System Project Manager (Govt. contract)	30 July 2014	31 December 2014
	Technical Specialist (FTA)	2 March 2015	To present
Ms. Ovin Wafewa	Project Associate (SC)	1 April 2016	To present
Mr. Thomas Waika	Project Assistant (IC)	7 November 2016	To present
Mr. Kepslok Kumilgo	West New Britain Provincial Field Coordinator (SC)	21 December 2015	To present
Mr. Ben Ngava	Community Conservation Area Coordinator for Pomio District (IC)	4 November 2016	To present
Mr. Raymond Unasi	East New Britain Provincial Field Coordinator (SC)	31 March 2014	31 July 2015
Ms. Iga Ila	Project Assistant (IC)	20 July 2015	
Ms. Junita Yehirai	Project Assistant (SC)	17 September 2013	31 August 2015

4.3.2 Work planning

81. At present, workplanning is being done, as is usual for UNDP-GEF projects, on an annual basis. However, the workplan is not being approved, as it should, by the PAB (following on from the discussion above regarding PAB dysfunctionality). Indeed, as mentioned above, the last PAB meeting was held on 15 December 2015. Part of the PAB's responsibilities is to review expenditure of the previous years (against the workplan and budget for that year), and approve the following year's budget and workplan. The delivery of the project is, therefore, singularly the responsibility of the PAB. **In order for the PAB to take its responsibilities more seriously, the UNDP-Resident Representative must escalate the issue and ensure that they attend PAB meetings (and if he is absolutely unable to attend, the DRR should attend in his place) – so as to demonstrate the emphasis that they place on the responsibility vested in the PAB. In addition, PAB meetings should take place no less than three times a year (once to review the upcoming workplan and budget, once to review the expenditure and once, mid-year, to review progress and to review the PIR).**

82. In conclusion, the project is falling very short in terms of ensuring proper standards of project management are in place and it is up to all the partners step up to their responsibilities.

4.3.3 Project Finance and Co-finance

83. The project has an overall grant from the GEF Trust Fund of USD 6.9 million. According to the project document, this is coupled with USD 23 million of co-finance – making for a total project budget of USD 29.9 million.

84. At this point of the project, a total of just over USD 3.456 million (or almost precisely 50% of the overall GEF budget) of the GEF budget has been expended. In overall terms, this means that delivery is relatively good. However, then expenditure to date is examined across the different Outcomes, expenditure on Outcome 3 is very high (relative to the amount budgeted in the project document) while expenditure on Outcome 4 and on the project management budget is low (relative to the amounts budgeted in the project document – see Table 4).

Table 4. The expenditure, to date, overall and by Outcome compared to the amounts as budgeted in the project document.

	Budgeted	Actual	% spent
Outcome 1	1,700,000	870,733	51%
Outcome 2	2,500,000	1,072,822	43%
Outcome 3	1,100,000	990,317	90%
Outcome 4	1,000,000	342,044	34%
Project Management	600,000	180,762	30%
Total	6,900,000	3,456,681	50%

Table 5. The project expenditure as compared to the budgeted amount (as per the approved yearly budgets associated with the annual workplan), by Outcome and by year; all figures in USD.

Outcome	Program	2012			2013			2014		
		Budgeted	Actual	% spent	Budgeted	Actual	% spent	Budgeted	Actual	% spent
1	GEF	-	0.00	-	404,000.00	7,202.26	1.78	797,500.00	200,244.24	25.11
	UNDP					48,751.25			1,269.17	
2	GEF	-	18,780.90	-	312,000.00	158,019.97	50.65	685,867.00	163,522.63	23.84
	UNDP								157.85	
3	GEF	-	0.00	-	40,000.00	6,939.00	17.35	235,000.00	86,579.93	36.84
	UNDP									
4	GEF	-	0.00	-	144,000.00	-	0.00	339,000.00	82,745.10	24.41
	UNDP							54,000.00		
Project Mgt	GEF	-	58,716.48	-	169,000.00	3,301.88	1.95	101,000.00	37,189.35	36.82
	UNDP					43,343.63		46,000.00	88,720.47	192.87
Totals	GEF	-	0.00	-	1,069,000.00	175,463.11	16.4	2,158,367.00	570,281.25	26.4
	UNDP					92,094.88		100,000.00	90,147.49	90.1
Overall total		-	0.00	-	1,069,000.00	267,557.99	25.0	2,258,367.00	660,428.74	29.2

Outcome	Program	2015			2016			Total		
		Budgeted	Actual	% spent	Budgeted	Actual	% spent	Budgeted	Actual	% spent
1	GEF	476,000.00	288,364.36	60.58	555,000.00	374,922.55	67.55	2,232,500.00	870,733.41	39.00
	UNDP				70,000.00	417.40	0.60	70,000.00	50,437.82	72.05
2	GEF	1,110,000.00	253,232.36	22.81	315,000.00	479,267.11	152.15	2,422,867.00	1,072,822.97	44.28
	UNDP								157.85	
3	GEF	985,229.00	390,535.26	39.64	575,000.00	506,263.66	88.05	1,835,229.00	990,317.85	53.96
	UNDP	30,000.00	19,701.70	0.00		1,996.20		30,000.00	21,697.90	72.33
4	GEF	107,000.00	68,349.21	63.88	210,000.00	190,950.06	90.93	800,000.00	342,044.37	42.76
	UNDP	10,000.00	-	0.00	15,000.00	0.00	0.00	79,000.00	0.00	0.00
Project Mgt	GEF	109,000.00	90,538.28	83.06	150,000.00	-8,983.23	-5.99	529,000.00	180,762.76	34.17
	UNDP	45,000.00	95,405.81	212.01	19,892.00	86,361.37	434.15	110,892.00	313,831.28	283.01
Totals	GEF	2,787,229.00	1,091,019.47	39.1	1,805,000.00	1,542,420.15	85.5	7,819,596.00	3,456,681.36	44.20
	UNDP	85,000.00	115,107.51	135.4	104,892.00	88,774.97	84.6	289,892.00	386,124.85	133.20
Overall total		2,872,229.00	1,206,126.98	42.0	1,909,892.00	1,631,195.12	85.4	8,109,488.00	3,842,806.21	47.40

85. When these figures are examined in more detail (see Table 5), there are various things to note, corroborating the observations made elsewhere in the report including that the project activities only really started in 2014 (with the exception of some activities in Outcome 2 which started in 2013). Since 2014, spending has remained uneven, relative to the annually approved budgets (for various aspects that illustrate this unevenness, see figures **in red** in Table 5) and across all years and all Outcomes, spending of the GEF funds have been consistently low (relative to the annually approved budgets – although this has been improving as the project has progressed). This may reflect the team’s inability to predict with any precision what they will and, perhaps more pertinently, will not achieve in any given year.

86. There are two further things to note on the expenditure to date. First, the project has expended a total of USD 494,594.04 on the costs for project management. If the project had relied only on the budget allocated by the GEF for project (a sum of USD 600,000) then by this stage, the project would have consumed 82.4% of the budgeted amount. As it is, the project has only expended 30% of the project management budget – but only because it has relied on UNDP TRAC funds to make up the difference. This will continue to be the case over the remainder of the project’s life.

87. Second, in terms of monitoring the expenditure of the co-finance, the project has done a good job of doing this only for the UNDP funds that have been invested in project activities and project management (see Table 5)³⁰. No other data have been collected to monitor co-finance expenditure³¹ and **the project needs to put systems in place to ensure that this is done hereon – with further efforts to calculate co-finance expenditure retrospectively** (although this will be done in the knowledge that these data will not be incomplete and, therefore, by the end of the project, the total spent as co-finance will be an underestimate)³².

³⁰ **Comment on draft report:** “CEPA has agreed to valuate costs in kind to be part of tracking co-finance to the project e.g. rental costs of CEPA SEP, manhours etc...” **MTR response:** This is a welcome initiative; the project should collaborate with CEPA to make this happen.

³¹ In November 2017, the project provided some cofinance information; these have been included in Annex VII.

³² To date, as far as the MTR can observe, the co-financiers have included the following organisations: CEPA, the Australian Government (DFAT – in the Kokoda Initiative), the Provincial and Local Level Governments, the local communities (especially, for example, the time that people spend meeting with project partners), the NGOs and CBOs where they spend more than the funds allocated by the project and in those occasions when they cash-flow the project activities, the private sector partners (e.g., NBPOL and HPOL) where they are working with the same recipient partners, and, finally, other organisations that are involved in similar work and use the opportunity to extend and share their results with the project (e.g., the conservation planning work that has been carried out by TNC with CSIRO and DFAT and the PES valuation that has been carried out by CSIRO).

88. The low rates of expenditure can, at least in part, be attributed to a number of different factors: i) the slow start up of the project and project activities, and ii) there have been delays and issues with procurement, recruitment and transferring funds from UNDP to the partners. Indeed, neither the project partners nor UNDP appear to have the organisational capacity to respond to the complexities of planning, spending, reporting and accounting for amounts transferred to them, particularly when these things are managed on a quarterly basis (as is the norm for UNDP). There is no doubt that this goes both ways – thus, both UNDP and the project partners are equally responsible for delays. This, in many cases, leads to activities starting and stopping and then having to be re-started as the flow of funds is inconsistent. Overall, it requires a significant level of organisational capacity to ensure that i) requests for funds are submitted, ii) for funds to be transferred to the partners, iii) for the partners to carry out the activities smartly and efficiently such that over 80% of the funds are expended within the quarter, iv) for the activities associated to expenditure of the funds to be reported and the expenditure to be accounted for all well before the end of the quarter such that v) the request for the subsequent quarter's funds is similarly submitted such that vi) the funds are transferred such that there is no break in funds for partners. For those organisations with a larger pool of funds off which to draw, there are many examples of them 'cash-flowing' the project activities; however, the majority of the partner organisations simply do not have the luxury of other funds off which to draw and when the cash dries up, activities simply grind to a halt. For many reasons, this is far from ideal, not least that it leads to alienation of the partners – particularly the local communities who are the project partners in the existing WMAs or the CCAs that are in the process of being established.

89. This begs the question whether such a system (which simply reflects UNDP's way of doing business – applied equally across the globe) is "fit-for-purpose" in Papua New Guinea (or any similar country with capacity challenges). In some countries in which partners (with similar levels of capacity) are engaged, a 'float' of one quarter is provided such that the partner organisation should have a consistent flow of funding for its activities³³. However, this requires some level of trust – which does not

³³ **Comment on draft report:** "Give some clarity on UNDP implementation modality on how CEPA can be viewed as a key implementing partner (resourced) and its support to sub-national level activities. Please make this highlighted area a Recommendation. Refer to Harmonised Approach to cash transfer re: results of the micro-assessment of CEPA. How is CEPA's capacity being built and responsibilities transitioned as it relates to financial capacity building". **MTR response:** The comment here is very interesting and informative – and can lead to substantial debate. First, it begs the question of whether the project has responsibilities to build CEPA's capacity to "pass" the micro-assessment. Second, there are some ironies with respect to the

always appear to be the case among the partners working in PNG. Taken together, this has contributed to cumulative delays in project implementation.

4.3.4 Project-level Monitoring & Evaluation Systems

90. The project's M&E framework is similar to the majority of all UNDP-GEF projects with USD 180,000 allocated for project monitoring. This may appear, at first glance, to be more than many other project allocate to M&E but it is a realistic reflection of the cost of travel (which is obviously necessary to carry out M&E) in PNG.

91. Despite the allocation of such a budget, the project's M&E is being carried out very poorly³⁴. This is at a number of different levels. First, some of the baselines for the PRF have not even been established – despite the fact that this is (approximately) midway through the project. Somewhat fortuitously, the GEF-5 (that is now also under implementation) uses some of the same data (e.g., the Capacity Scorecard for CEPA) and, as such, the project can share data that has been collected therein. The M&E being carried out by the NGO and CBO partners is variable.

92. Overall, however, the project has focused on getting activities done – rather than monitoring either how the implementation is going or on the impacts of the implementation. This reduces the possibility of *adaptive management* as the project is implemented. Moreover, given the state of the project's implementation (see Section 4.2.1), it is evident that closer scrutiny is necessary and especially from the UNDP-CO senior staff and the UNDP-GEF RTA (based in Bangkok).

93. In summary, then, there is a need for improvement – in recognition that M&E is central to the process of holding people to account.

94. In addition to these few observations and those already mentioned above (e.g., see comments in the PRF – see Table 2), there is one critical comment regarding the M&E framework: *the METT is not fit-for-purpose in the context of Community Conservation Areas (CCAs) in PNG*. Indeed, simply posing some of

implementation of internationally funded projects such as these: in well-capacitated countries, the government partner organisations often appreciate that their staff has neither the capacity nor time to implement such projects – and, as such, they are implemented by UNDP or some other third-party organisation. In contrast, in lower capacity countries (where time and capacity are a significant barrier), the partner organisations wish to be the implementing organisation. Third, the point being made here is less about CEPA but more about other project partners (e.g., NGOs working in partnership with the PAs) – and about UNDP's role in project implementation: UNDP certainly *should not be a limiting factor in implementation*.

³⁴ **Comment on draft report:** “The UNDP-CO assurance role in monitoring has not been undertaken to date. The results actual field monitoring is like a check and balance and is very critical to inform UNDP/IP to guide project implementation”. **MTR response:** The MTR concurs completely: the UNDP-CO has not been fulfilling its assurance and monitoring role.

the questions within the METT led to expectations being created. As a result, the team that carried out the METT analysis, (laudably) adapted the questions as best they could in an attempt to reduce the expectations that were being created through the process of applying the METT to the protected areas across the country (using what may be called METT-A, see Annex V for the data from the METT analysis). The team took the process one step further and produced a further adapted METT that they considered appropriate for the context of PNG (what may be called METT-B): i.e., one that would measure the management effectiveness of the protected areas within the country but which would not create expectations.

95. The MTR recommends in the strongest possible terms that METT-B be further examined (using a participatory process involving stakeholders who, in turn, are involved in protected area management in PNG) and finalised as a tailor-made METT appropriate for the context and circumstances of PNG. This adapted METT should, thereafter, be applied across the country.

96. The MTR appreciates that one of the principles of GEF protected area projects is the uniform application of the METT across all projects. However, when the application of the METT leads to the creation of expectations that, ultimately, lead to undermining the very management effectiveness that the tool is supposed to be monitoring, it is simply wrong (if not immoral) to continue to apply the original METT.

97. Within the context of *this* project (and probably that of the GEF-5 project) and for the purposes of monitoring its effectiveness, the (slightly) adapted METT (METT-A using the parlance suggested above) will need to continue to be applied. However, all future projects (including GEF project – including the forthcoming GEF-6 project) and work within the protected area system of PNG should use a METT that is fit-for-purpose for the context of PNG (i.e., the finally endorse version of METT-B).

4.3.5 Stakeholder engagement

98. Despite the fact that stakeholder identification in the project document was absent, the project has been carrying out satisfactory engagement of stakeholders. Indeed, the very nature of working in Papua New Guinea demands high levels of stakeholder engagement and consultation. Part of this is driven by the land tenure system of the country, with the greater majority of the land held in customary ownership. The project is adhering to the principle of Free Prior Informed Consent (FPIC) of the communities such that in the areas in which it is establishing CCAs, letters of consent are sought following an FPIC process³⁵.

³⁵ Free Prior Informed Consent (FPIC) is a thorny issue and it is resented by some sectors; it is a principle to which not all people adhere and unethical behavior abounds. It is, however, a

99. Furthermore, the policy and legislative processes in which the project has engaged (i.e., for the development of the PA Policy and the PA Bill), consultations were extensive and thorough. Indeed, almost all people consulted over the course of the MTR mission commented on the extent of the consultations carried out in the process of developing the PA Policy and, especially, the PA Bill (even though, as described above in Section 4.2.1, there are still a number of concerns about the PA Bill's text).

100. At the level of the demonstration/pilot sites on New Britain, interactions among the stakeholders is further facilitated by the project through stakeholder meetings. Such interactions should be encouraged – and even increased – such that (both positive and negative) lessons are learned and shared.

4.3.6 Reporting

101. The project is generally adhering to the normal reporting requirements of UNDP-GEF projects with the production of the annual PIR. There are the usual issues with the PIR: like many UNDP-GEF projects, the project team fills the PRF with an extensive narrative rather than adhering to quantitative information about progress against the indicator towards the EOP target. There are sections in the PIR that are designed for the narrative reports and **the project should ensure that the PRF in the PIR contains *only* the quantified information** (assuming, that is, that the indicators in the PRF are *measurable* or *quantifiable* – see the PRF and comments in Table 2 on this subject).

102. The project did not produce an Inception Report (despite the fact that the production was mentioned, as normal, in the project document). This is probably the symptom of two issues: i) there is an incomplete understanding of GEF project processes and requirements – and the purpose of the inception workshop and report (again, despite the fact that the objectives of the Inception Workshop and Report are described in some detail in paragraphs 238 *et seq.* in the project document) – within the UNDP-CO (as well as among all other partners) and ii) the inception workshop was held (on 30 August 2012) just ten days after the UNDP Project Document was signed (on 20 August 2012).

4.3.7 Communication

103. It is evident that communication is not the strong point of *many* of the organisations in PNG and, as a result, there are rumours and whispers and misunderstandings on every subject. The GEF projects in PNG are no exception to this. Rumours abound with significant expectations of what the GEF should and should not be doing in the country. There is some basis for

principle that is written into the draft PA Bill (and this is one of the reasons that the draft PA Bill is resented by some sectors).

such expectations given that the GEF grants represent the most significant long-term funding to the protected area system of the country. As a result, people do expect that there should be impacts and changes. Nonetheless, the misunderstandings and misconceptions need to be managed – and the principal way of doing this is through effective communication. To date (and with the exception of stakeholder engagement in specific processes or exercises), the project has not been very effective at managing expectations or understandings. Therefore, there are three aspects of communication that need to be addressed.

104. The first aspect – communication among the partners involved in the project on the island of New Britain – is already being addressed by the project. These partnership meetings should continue and be strengthened further with the specific aim of sharing experiences and learning lessons. [In addition to this, as indicated in footnote 16, there are good lessons to be derived from other networks of community-conservation areas around the globe that are wholly applicable to the PNG context. [The MTR strongly recommends that the project explore the feasibility of establishing such a network or association of community-conservation areas either at a national level or, probably more practicably, at a sub-regional level such as on the island of New Britain.](#) The model of the Northern Rangelands Trust is particularly applicable because many of the issues are shared, including, for example, security and ethnic diversity, governance issues and access to natural resources – although it should be recognised that there are also differences.]

105. The second aspect – managing the expectations of the communities and ensuring that they understand, and take ownership and responsibility for the process of establishing and managing the community conservation areas – has been less addressed by the project. Within this, there has been a good deal of misunderstanding or, alternatively, a lack of recognition by the project for the motivations of the communities for the establishment of a community conservation area (as previously discussed – see para 56 in Section 4.2.1). Therefore, a key step in establishing a good relationship would be for the project to understand clearly the motivations for any one community to establish a community conservation area. The step thereafter is to get the communities (and most particularly the management committee), to understand the process of establishing a community conservation area and all the steps that are required (and the justification for each of those steps). [This would result in the communities having a *roadmap* of the process which would enhance understanding of where the process is going and why each step of the process is important to achieving the end result. Having the roadmap will also allow the communities to have precise knowledge of exactly where they are in the process at any given moment and enable them](#)

to map progress towards establishment and effective management of the community conservation areas. The roadmap could be best presented in a (culturally and contextually appropriate) visual form that illustrates the process with some mechanism to indicate where any given community is at any given moment. Such a roadmap will also allow the project (and project partners) to be held to account by the community.

106. The third aspect is for the project to communicate the strategy (with its associated roadmap – as described in para 59 of Section 4.2.1) for the remainder of the project’s life. This will help manage expectations and give all stakeholders a clear indication of what might be achieved by the end of the project. It will also help hold the project to account for achievement of those things.

107. Finally, the project – with the UNDP-CO and PMU – needs to make a concerted effort to communicate information about the project (including its aims and objectives, and most specifically the *results* and *impacts* that people can expect the project to deliver by the end of the project) and the status of the implementation of the project at any given moment. This will obviously help to alleviate any misconceptions and misunderstandings of the project but also allow the project to be held to account by the stakeholders. There are numerous tools that the project can use to optimise communications but of course they should, as suggested above, be culturally and contextually appropriate. Full transparency will also, of course, allow the stakeholders to hold the project to account.

108. Further to this point, the project should publish all technical reports through a website (preferably by having project pages on *both* the websites of CEPA³⁶ and the UNDP-CO). There should be good maps of the pilot sites (with some descriptions of the sites and regular updates of where in the process to establishing the CCAs each of the sites is at any given moment). The project should find mechanisms to provide updates and reports against the strategy and roadmap for the project for its remaining life. This process should be assisted by the UNDP-CO and possibly the UNDP-GEF RTA (in Bangkok) to provide information on and linkages to the GEF such that stakeholders have better access to and understanding of the GEF.

109. Finally, the project partners – CEPA and the UNDP – should be mindful that they should also be monitoring the *success* and *impact* of these communication efforts (ideally using adapted Knowledge, Attitudes and Practice – or KAP – surveys).

³⁶ CEPA’s current partners (including JICA, DFAT and the UNDP-GEF projects) could do well to invest some funds to improve the CEPA website, <http://pngcepa.com>, which is inelegant and littered with adverts.

4.4 Sustainability

110. The process of establishing – and then effectively managing – community conservation areas is long and often treacherous. The long-term sustainability of the conservation areas will be achieved only through time, building capacity, putting in place robust governance systems, managing expectations, mentoring, monitoring and evaluating, and catalysing sustainable financing.

111. The processes initiated under this project to establish community conservation areas on the island of New Britain have *only just started* (relative to the length of time necessary to achieve fully sustainable conservation areas). There is a vast distance to go.

112. In many places around the globe, the concepts of independence and exit strategies – particularly in protected areas that are managed by the communities that live within or surrounding the protected area – have been rejected. What this means is that there is the realisation that community conservation areas can never be independent or sustainable, and that some level of technical and/or financial support will be necessary. This means that there is a need for systems that provide financing ad infinitum. The project should, therefore, seek to put in place systems that are designed to provide the support that the community conservation areas will need in the very long term – together with the partners that work with the communities. If the project manages to do this by the end of the project, it will be the project's most significant achievement.

4.4.1 Financial Risks to Sustainability

113. Ensuring the financial sustainability of the community conservation areas is embedded within the project design (specifically Outputs 3.2.3 and 4.2.1) and there is even an objective-level indicator (as evidence of the importance that is given to this – see indicator 5 at the objective level: *“Funding for conservation and management of CCAs is sufficient to underwrite core activities, and is sustainable over time”*). Therefore, despite the fact that there is a GEF-6 project (the objective of which is *“to reduce the funding gap for PNG's protected areas in order to improve their management effectiveness, and the livelihoods of their communal land owners”*) that is currently under preparation, the project should focus on this aspect as well. Indeed, the two projects can work in synergy to test, pilot and demonstrate the feasibility of different mechanisms for achieving financial sustainability within the protected area system. To this end, [the project should work with the designers of the GEF-6 project to develop strategies that will work towards achieving financial sustainability of the CCAs. Once designed, the project should work to put them in place.](#)

4.4.2 Socio-economic Risks to Sustainability

114. At this point in the project's life, there is one overriding concern with socio-economic sustainability: the project needs to manage the expectations of the land owners and land users who are associated with the CCAs. The fact that this is necessary is best illustrated by the WMAs with which the project is working (with the aim of converting these areas to CCAs). The WMAs have been largely ignored for a sustained period of time – and this has led to significant disgruntlement among the people. At some point, this could turn into perceived injustice – which, in other areas of the globe, can result in retaliatory actions by the local communities. It is essential, therefore, that the project engage and communicate with the land owners and land users such that expectations are managed (and see Section 4.3.7).

115. In addition, corruption remains a risk and there will continue to be people within each community with which the project engages who will be tempted by offers made by industries. These have the potential to undermine the environmental and social work of the project. The project partners will have to remain vigilant to such events.

4.4.3 Institutional Framework and Governance Risks to Sustainability

116. The Conservation and Environmental Protection Authority (CEPA) is a relatively new organisation (created through the CEPA Act of 2014 – although, in practice, little has functionally changed in the creation of CEPA from the Department of Environment and Conservation, DEC). Nonetheless, the institutional setup is relatively robust and even though there are elections slated for July 2017, the expectation is that little will change with the institutional setup.

117. In contrast, there are a number of issues regarding CEPA's mandate and the attitude of civil servants working in government institutions.

118. First, on the subject of CEPA's mandate, there were numerous comments made by interviewees that were cause for concern. For example, one interviewee stressed that, "*CEPA must own the management plans of the community conservation areas!*" This perception, in terms of i) CEPA's mandate, ii) the attitude of that civil servant and iii) the issues of who should be taking the lead in the management of the CCAs, is wrong. Indeed, there is the perception that CEPA should be taking the lead – and ownership – of the protected areas of the country. And yet, how can this be the case when the majority of the protected areas of PNG are on customary land? Indeed, the CEPA Act (of 2014) does not even mention protected areas (although it does refer to the Conservation Areas Act of 1978 – which, in principle, will be superseded by the PA Bill once it has been enacted). As such, the CCAs – with their management plans – should be wholly owned by the landowners and land users that live within and surrounding the areas – and not by

CEPA³⁷! CEPA, therefore, is the organisation that should be providing an enabling environment and support for CCAs to flourish and, most importantly, to exist with no threat from powerful, external (and often corrupt) forces because there is a robust, resilient and unchallengeable legal status for them. Beyond this, CEPA should be facilitating and providing support in the process of achieving effective management of the CCAs and, finally, supporting the CCA relationships with i) local level governments (LLGs, districts and provincial governments), ii) their partner NGOs, and iii) with donors.

119. The starting point here is to ensure that there is a clear understanding of the institutional role and mandate of CEPA and how this translates into actions. *It is, therefore, within this context and to these ends that the project (and other projects and partners) should be building the capacity of CEPA.*

120. At the level of the community conservation areas, the project's work is all the more challenging because it flaunts the rules of thumb of development work: the project is attempting to create institutions (CCAs) within a limited timeframe with a limited budget. The long history of development around the world warns against this because of the sustainability risks associated with it. *Given the project's limited timeframe, it must work to ensure the sustainability of the institutions it is in the process of creating* (see Box 1). This includes that the CCAs have an unassailable legal foundation. It also includes ensuring outstanding governance systems are put in place with good leadership, developing capacity (including operational capacity), building strong and resilient partnerships, and ensuring financial sustainability (as described above).

Box 1. Global lessons for effective community conservation areas.

Lessons from around the globe have demonstrated that community conservation areas function effectively under the following conditions. Community conservation areas are legally recognised institutions (within the legislative framework of the country). They are run by democratically elected boards (usually 8-12 members) with each member being elected on a limited term of office. Board members meet quarterly, to discuss matters pertaining to CCA funding, operations and partnerships. Their primary role is to provide leadership and oversight in all matters, to ensure transparency, adherence to the law, and equitable representation and sharing of revenue. They are also key in ensuring the voice of the constituent

³⁷ This is, of course, in contrast to the protected areas that are established *on state owned land*: CEPA has the responsibility to manage these areas effectively. In addition, CEPA should be strategically pursuing protection of all areas under state ownership that is important from a biodiversity, ecosystem service and ecological process perspective as well as facilitating the establishment of CCAs (for example, by seeking partners to work with the land owners and land users) to protect biodiversity, ecosystem services and ecological processes on customary land.

community is heard.

Good governance is at the heart of community conservation. It affects levels of community support, ensures the quality of security, access to and use of natural resources, brings together different ethnic groups in peace, and builds on traditional institutional and cultural practices to promote conservation and community development. Good governance is a function of a number of interacting parameters (and as a result, can be measured and monitored): *accountability, representation, transparency and equity* (effective AGMs, leadership and community support, institutional registration, composition and rotation of board, revenue sharing bylaws, publication of revenues, reporting to the board) ii) *financial management, donor relations and fund-raising* (budget management, audit and follow-up, donor relations, and independent funds raised) and *conservation area operations* (programme and budget execution, asset management, HR and admin procedures).

121. Finally, there are significant risks within the areas of legislation and governance. First, if, for whatever reason, the PA Bill is not approved by the NEC and not enacted, then there will be significant negative impacts. And there are reasons to believe that its passage through the NEC will not be so smooth: the extractive industries are deeply opposed to the Bill (partly because it includes the principle of Free Prior Informed Consent, FPIC, in it) and they are unlikely to facilitate its easy passage.

122. The Bill also contains the description of the protected area categories for PNG – including the community conservation areas. Indeed, the establishment of CCAs under this project ($n = 13$ on New Britain island) are all dependent on the successful passage and enactment of the PA Bill. As such, the project partners should do whatever they can to support the passage and enactment of the PA Bill.

4.4.4 Environmental Risks to Sustainability

123. This project represents a high risk, high impact project. In other words, there are significant risks (many of which have been already explored in this report), not just to the success of the project. The majority of these surround the people (local communities, land owners, land users) who living within and surrounding the protected areas. Establishing protected areas is a sensitive and delicate process with many pitfalls. If the process ends up being unhinged in any way (and there are plenty of ways in which this may happen), there will be a sense of perceived injustice among the communities. If this turns out to be the case (and unlike the majority of places around the world in which community-based conservation areas or conservancies are being established, the people have alternatives to which they can and may turn: in the words of one interviewee these include, “*the less environmentally-friendly people of the world*” (taken here to mean, for example, the oil palm companies that have not signed up to the Roundtable on Sustainable Palm

Oil, RSPO, or logging companies that are not Forest Stewardship Council, FSC).

5 Conclusions and Recommendations

5.1 Conclusions

124. While the project suffered a slow start up, there has been some steady progress particularly in two aspects of the project's work: i) the development of a legislative framework and ii) the process of establishing community conservation areas on New Britain Island. However, the delays to the start-up of the project and the fact that a number of aspects of the project design have been neglected (or ignored or both) mean that at the point of the MTR, the project has accomplished a guess-estimate of between 30-35% of all that it set out to achieve. As a result, [the project partners \(primarily the UNDP-CO together with CEPA but also involving the UNDP-GEF RTA from Bangkok\) need to develop a strategy or roadmap \(as part of the management response to this MTR report\) of what can \(and, importantly, what cannot\) be achieved in the remaining life of the project. This should lead to a detailed workplan and budget being developed – which should, in turn, be approved by the reinvigorated Project Advisory Board and UNDP-GEF RTA/Directorate \(depending on the changes to the project scope at midpoint\).](#) There should be a sense of urgency to do this: already the project is running late and there is a vast amount to do – especially dealing with the sustainability issues (as described in Section 4.4).

125. There are profound complications of carrying out timebound projects in PNG – especially those that involve i) a government agency whose capacity and functionality has changed little since it was renamed an authority and ii) processes to secure letters of consent through a free prior informed consent process. The lesson to be learned here is that projects need to take this into account when they are being designed – and the project design *did* try to take this into consideration (the project is designed as a seven-year project!). However, the designers put together an extremely complex project – and, consequently, still underestimated the amount of time that it would take to get the project off the ground and going.

126. Finally, it is extraordinary and there is no small amount of irony that in a country in which customary ownership of land is so deeply enshrined in the psyche of the people and in the legal framework of the country – including the constitution – that so much of this project is about land and legal protection of land from the more exploitative elements of society. Indeed,

legal protection of land appeared to be foremost in the minds of the people living within and surrounding the CCAs³⁸.

MTR Ratings & Achievement Summary Table

Measure	MTR Rating	Achievement Description
Project Strategy		<p>The project was designed as a USD 6.9 million dollar, seven-year project. It was designed as an all-encompassing project and included some tangential aspects that, while they have some impact and influence on protected areas, they are quite removed from the effective management of protected areas. The project design underestimated the time that it would take to get the project started (and as a result a no-cost extension is being recommended by the MTR).</p> <p>There are two overriding threads to the project: i) the creation of an enabling policy and legislative framework and ii) to trial the establishment of community conservation areas in two parts of the country.</p>
Progress Towards Results		
Objective level	MS	<p>The project has far to go to achieve its objective (develop and demonstrate resource management and conservation models for landholding communities that effectively incorporate community-managed conservation areas as part of agreed national priorities with industry and government). There has been some good progress on two fronts: i) the legislative framework (with the Policy, draft Policy Implementation Plan, and draft Bill), and ii) the work with protected partners to establish CCAs on New Britain. However, there is far to go.</p>
Outcome 1	MS³⁹	<p>While there are aspects of Outcome One that the project has not even started (and, as a result, will probably be dropped from the project), there has been significant progress to create an enabling environment through the PA Policy and draft PA Bill. The development of CEPA's capacity has far to go – primarily to turn the organisation from one that behaves as a traditional government agency to one that facilitates and enables.</p>

³⁸ This is not some sort of expression of a Drydenian “noble savage” with the people living in blissful harmony with their natural surroundings and being compelled by their better natures to protect it. Rather it is simply an expression of distaste for the alternative – exploitation by unscrupulous industrial companies. It is only with a series of probing questions do people acknowledge the natural resources on which they are dependent (indicative, at least in part, that they take them for granted). And that they really could care less for the other more esoteric forms of biodiversity!

³⁹ **Comment on draft report:** “CEPA and UNDP suggest a reconsideration of the rating to ‘satisfactory’ based on page 17-18”. **MTR response:** While there are definitely aspects that are satisfactory – even highly satisfactory – such as the work on the PA Bill and PAIP, there are significant shortcomings in other areas of Outcome One (see 49 *et seq.*).

Measure	MTR Rating	Achievement Description
Outcome 2	MS	On the island of New Britain, with a number of partners, the project has taken strides to establish CCAs and to convert WMAs to CCAs; however, there is far to go before these are robust and resilient. Conversely, the project has yet to engage in the Owen Stanley Range.
Outcome 3	MS	In terms of establishing governance structures for the CCAs, there has been moderate progress and almost all CCAs now have management committees. Again, this is an early step in the process and the governance of the CCAs requires much more work. The project has yet to tackle the issue of sustainable financing plans for the CCAs.
Outcome 4	MU	Relatively little has been carried out under Outcome Four although the project is working with the Provincial Governments (and should continue to do so).
Project Implementation & Adaptive Management	MU	<p>The project suffered from significant delays and confusions at its start-up. Since then, the project has suffered further cumulative delays. In addition, the project management arrangements, as they currently stand, bear no resemblance to the management arrangements as they were designed (although the MTR recommends that with the exception of moving the PMU to the CEPA offices as soon as it is feasible to do so, they should remain as they are). At the level of the pilot sites on New Britain, the project is primarily engaging through a number of partner organisations – but there are significant differences among the strengths and weaknesses of these organisations and hence little uniformity about how they are approaching the task of establishing CCAs. Through miscommunication and misunderstandings, the project has neglected to engage in the Owen Stanley Range.</p> <p>In contrast to these examples of less exemplary implementation, there are some very positive aspects of implementation. For example, the development of the PA Bill was carried out in a fully consultative manner.</p>
Sustainability	ML/MU	There are some aspects in which sustainability is moderately likely while other aspects are moderately unlikely. This is simply indicative of how far the project has to go before sustainability is assured. The concerns lie primarily at the level of the CCAs: the project (which is of a limited duration and with a limited budget) has gone through the risky step of creating new institutions. The key to increasing the likelihood of their sustainability will be to establish robust and resilient partnerships with funding mechanisms that are long-lasting. There are capacity issues at all levels (including within CEPA) and there is much to do here before sustainability is assured.

5.2 Recommendations

127. This report is scattered with numerous recommendations and suggestions (which, in order to make them noticeable, they have been displayed in blue through the text; some of which are reiterated in the remaining sections of the report, see sections 5.2.1 *et seq.*). However, as indicated in the paragraphs above, there is a need to decide on what can be realistically achieved in the remaining life of the project. There is no doubt that there are various things that have yet to be started will need to be dropped. This process to consolidate, clip and focus the project will also need to ensure that whatever remains will remain consistent to the project objective and contribute to the intended project outcomes. Coupled with this process will be the need to amend the PRF (suggestions and recommendations for how to do this is included in Table 2).

128. The project started as a seven-year, ambitious project. At the point of the GEF CEO Endorsement (in June 2011), it was projected that the project would end in mid-2018. However, the UNDP Project Document was only signed in August 2012 – indicating that the new projected end of project date should be **August 2019**. And then the Project Manager was only appointed just over ten months later. In addition, and as has been described at various points of this report, there have been cumulative delays to the project's implementation. Therefore, at the very least, there should be a no-cost extension until **December 2019**. However, given that this is a point more than two-and-a-half years away and in order to pinpoint more precisely when the project should end, there should be a review of project progress at the end of 2018 (linked to the annual workplan and budget for 2019). The project management team should, at this point, present to the PAB what they will have achieved by the end of the project on the basis of the assumption that it closes in December 2019. If there is a need for a *short* further extension of, say, six months (thus, resulting in project closure in June 2020), then this is the point at which they should argue for it.

129. However, this is all subject to the availability of suitable funding to allow the project to continue. What is being recommended above is a *no-cost extension* with respect to the GEF grant alone. As indicated in Section 4.3.3, the project has relied on UNDP TRAC funds to cover the additional costs of project management to date. This is not only expected to continue but may even increase in the coming years of the project's life. Therefore, as the project moves forward, its dependency on UNDP will increase: this is a commitment that the UNDP-CO must make.

Table 6. The summary of MTR recommendations for the project

No.	Recommendation	Timing	Responsibility
21.	Develop a strategy (as part of the management response to this MTR report, with a detailed workplan and budget) of what can and cannot be achieved in the remaining life of the project. The strategy, workplan and budget should be approved by the Project Advisory Board & UNDP-GEF RTA/Directorate	Immediate	PMU, PAB, UNDP-GEF RTA
22.	At the very least, there should be a no-cost extension until December 2019 (with a review of the situation in December 2018)	Immediate; review Dec 2018	PAB, UNDP-GEF RTA
23.	The functionality of the PAB must be reinstated with regular meetings and full responsibility (see para 66 <i>et seq</i> in Section 4.3.1).	Immediate	UNDP-CR & DRR; CEPA-NPD, UNDP-GEF RTA
24.	Adjustments and amendments to the project results framework (see Table 2)	Immediate	PMU, PAB, UNDP-GEF RTA
25.	The Project Management Unit moves to CEPA offices (see Section 4.3.1).	Once CEPA moves to new offices	CEPA, PMU
26.	The management arrangements of all UNDP-GEF projects harmonized (see discussion in Section 4.3.1)	Within six months	UNDP-CO, CEPA
27.	Monitoring co-finance	Remainder of project	PMU
28.	The amended version of the METT should be examined, tested and adopted as the METT for the country (although the slightly amended version will have to be used for all M&E until the end of the project, see discussion in Section 4.3.4).	Remainder of project (and onwards thereafter)	CEPA, PMU
29.	The names for the CCAs should be decided (by consensus) by the land owners, land users and clans associated with the land and then used consistently thereafter.	Immediate	CEPA, PMU
30.	Collect baseline data for some indicators and be diligent about monitoring rest (see Table 2).	Remainder of project	PMU
31.	Improve reporting – the PRF should be very precise and quantitative as possible (the indicators are supposed to be “measurable” after all!); there are other areas of the PIR that can be used for a narrative report.	Remainder of project	PMU
32.	Channels of communication; effectiveness of communication (see Section 4.3.7) – to manage expectations and dispelling misunderstandings and misconceptions about i) the project and ii) about the role of the GEF in PNG.	Remainder of project	PMU, CEPA, UNDP-CO
33.	Take up opportunities for the project to engage in Owen Stanley Range – but this should be done in synergy with the other actors (see para 46(c) in Section 4.2.1).	Immediate	CEPA, the Kokoda Track Authority, DFAT, other UNDP-GEF projects (and possibly Power PNG and EDA

No.	Recommendation	Timing	Responsibility
			RAMU)
34.	Improve gender mainstreaming – the project needs to work on strategies for how this can best be done – acknowledging, first, that gender mainstreaming is not just a number of women that happen to become involved in processes (even though that is a small part of it).	Remainder of project	PMU, UNDP-CO
35.	Appropriate capacity development for CEPA – relative to CEPA’s mandate, the project should build and implement a strategy that will contribute to building CEPA’s capacity (see Section 4.4.3)	In coming three months and then for remainder of project	PMU, CEPA, UNDP-CO
36.	Recognise the actual drivers for establishment of CCAs and use this information to catalyse further CCAs across the country (in partnership with other ongoing initiatives).	Remainder of project	PMU, CEPA, conservation partners
37.	Make CCA management plans bylaws and regulations contextually appropriate and ensure they encourage compliance.	Remainder of project	PMU, project partners
38.	The PA Policy Implementation Plan presents an opportunity for the project to contribute to the implementation of the policy – particularly those aspects that are synergistic with the objective and targeted outcomes of the project. The project should work with the consultant developing the PA Policy Implementation Plan to determine where those synergies lie and how the project may contribute to their implementation.	Ongoing	PMU, CEPA
39.	The project must have developed and implemented a strategy such that at project closure, the continuity of the CCAs is guaranteed (see Section 4.4). To this end, the project (and, importantly, the project partners) may choose to form an association (or similar umbrella organisation) that will work to sustain the processes started by the project and the impacts that may have been achieved by project closure. This would, of course, be linked to ensuring financial sustainability (in partnership with the GEF-6 project).	Remainder of project	PMU, project partners
40.	Build a strategy for replication because as the success of the CCAs grows, other clans, land owners and/or land users may seek to establish their own CCA (as is already happening in East New Britain).	Remainder of project	PMU, project partners, CEPA

5.2.1 Corrective actions for the design, implementation, monitoring and evaluation of the project

130. *Reinstatement of the PAB.* This is a critical issue. In partnership with the CEPA leadership, the UNDP-GEF RTA and the UNDP Country Representative must ensure that this happens, ensuring that the PAB fulfils its mandate and responsibility (see para 66 in Section 4.3.1).

131. *Adjustments and amendments to the project results framework.* The amendments recommended by the MTR are to be found in Table 2.

132. *The Project Management Unit moves to CEPA offices.* As detailed in Section 4.3.1, the PMU should be housed in the CEPA offices (particularly once CEPA has moved from its current location into the new office building).

133. *The management arrangements of all UNDP-GEF projects harmonized.* In order to ensure harmonisation across the UNDP-GEF projects (and potentially other UNDP projects) and to ensure cost efficiency, the management arrangements of all these projects should be reconsidered (having examined the management arrangements that are put in place in other countries – see footnote 25 for suggestions). Following this process, if there is a need to take on an additional team member – especially to coordinate the operations in the field (especially on New Britain island in cooperation and collaboration with the Provincial Governments) – then a Chief Operations Officer may be recruited.

134. *Roadmap to end of project with details of what can and what cannot be achieved.* The project, as designed, was far too ambitious and there will be aspects that will not be achieved. These will have to be rationalised in concert with those aspects that should be achieved (if the project ramps up implementation). The rationalisation process should include developing a strategy for the remaining time of the project, linked to a workplan and budget (see Sections 4.2.1 and 5.1 for details). It may come to pass that because some aspects do not get done there will be money remaining at the end of the project. This is fine: these funds will have to be returned to the GEF at the end of the project. However, the project should stay true to itself and not be tempted to spend the funds for the sake of it.

135. *Monitoring co-finance.* The project has an obligation to monitor the co-finance expenditures (almost as much an obligation as the actual GEF and UNDP expenditures). A system needs to be put into place to do this (and there are some good examples from other UNDP-GEF projects on how this may be done).

136. *The METT.* As indicated in the discussion above (see Section 4.3.4), the METT is not fit-for-purpose in PNG and the amended version (produced by the consultants that carried out the assessment of protected areas) should be examined, tested and adopted as *the* METT for the country. [That being said, for the purposes of this project, the (slightly amended) version will have to be used for all M&E until the end of the project.]

137. *Consistency of naming.* There was occasional confusion among and occasional objection to the names being used for the CCAs. The names for the

CCAs should be decided (by consensus) by the land owners, land users and clans associated with the land and then used consistently thereafter.

138. *Collect baseline data for some indicators and be diligent about monitoring rest.* As indicated in Section 4.3.4, the M&E to date has been poor and the adherence to the PRF negligent. Some of the baseline have yet to be collected (see Table 2).

139. *Improve reporting.* While the annual PIR has been duly completed, like many other UNDP-GEF projects, the project uses the PRF (within the PIR) as a section for a narrative report. Instead, the PRF should be very precise and quantitative as possible (the indicators are supposed to be “measurable” after all!); there are other areas of the PIR that can be used for a narrative report.

140. *Channels of communication; effectiveness of communication.* In Section 4.3.7, a number of different recommendations are made for improving communication as a specific tool for managing expectations and dispelling misunderstandings and misconceptions about i) the project and ii) about the role of the GEF in PNG.

141. *Incorporation of Owen Stanley Range.* The Owen Stanley Range was included within the project’s design. Because of miscommunication and misunderstandings, the project has yet to carry out any work in the area. There still are opportunities for the project to engage – but this should be done in synergy with the other actors (including, CEPA, the Kokoda Track Authority, DFAT, other UNDP-GEF projects – and bringing in potential PES partners such as Power PNG and EDA RAMU – see para 46(c) in Section 4.2.1 for recommendations on how this should be done).

142. *Gender mainstreaming.* The *only* rhetoric that the project has regarding *gender mainstreaming* is the number of women involved in the management committees of the community conservation areas. There is so much more to gender and gender mainstreaming and the project needs to work on strategies for how this can best be done – acknowledging, first, that gender mainstreaming is not just a number of women that happen to become involved in processes (even though that is a small part of it).

143. *Appropriate capacity development for CEPA.* Section 4.4.3 explores the concept of CEPA’s mandate and how the project may contribute to building CEPA’s capacity.

5.2.2 Actions to follow up or reinforce initial benefits from the project

144. *Drivers for establishment of CCAs.* The project and project partners have been operating as if the conservation of biodiversity, ecosystem services and ecological processes are the key drivers for the establishment of the community conservation areas. This is not the case and needs to be recognised by all partners. Indeed, the biodiversity surveys and conservation

planning may (mostly) only be useful as a post hoc determination of what a CCA might conserve. Thus, if we understand the motivations for why any given set of clans, land owners and/or land users might want to establish a community conservation area in their land, we might have the key to extending the protected area coverage; on the other hand, if we persist in emphasizing the biodiversity, ecosystem services and ecological processes – to which the communities have little conscious relationship or care – we have less chance of extending the protected area coverage as much as we could. This means that there is a need to understand the reasons why communities might wish to seek the legal protection that a community conservation area affords any piece of land.

145. In contrast, there are two *vastly* important pieces of work that CEPA (with other conservation partners) should be doing: i) facilitating and enabling the establishment (thorough partnerships, engagement and FPIC processes) of protected areas in the Key Biodiversity Areas (KBAs) and few last remaining pristine wilderness areas (for example, the Kamula Dosa area) – but using the knowledge that the communities in those areas will not be motivated by the biodiversity, ecosystem services and ecological processes that happen to exist in their areas, and ii) working with the extractive industries and industrial agriculture sector to rescind the licenses or concessions in the key biodiversity areas of the country.

146. *CCA management plans.* Further to the point made above, when the management plans, bylaws and regulations for any given area are developed, they should not contain punitive measures for (“illegal”) use of natural resources – as this will simply lead to resentment (especially because people are not motivated to establish CCAs on the basis of biodiversity). Instead, the management plans, bylaws and regulations should encourage compliance.

147. *The PA Policy Implementation Plan* – this presents an opportunity for the project to contribute to the implementation of the policy – particularly those aspects that are synergistic with the objective and targeted outcomes of the project. The project should work with the consultant developing the PA Policy Implementation Plan to determine where those synergies lie and how the project may contribute to their implementation. This would represent *adaptive management* of the project.

148. *Ensuring sustainability of the CCAs.* In a number of places in the report, the sustainability of the community conservation areas is discussed (see, for example, Section 4.4). The project must have developed and implemented a strategy such that at project closure, the continuity of the CCAs is guaranteed. To this end, the project (and, importantly, the project partners) may choose to form an association (or similar umbrella organisation) that will work to sustain the processes started by the project and the impacts that may have

been achieved by project closure. This would, of course, be linked to ensuring financial sustainability (in partnership with the GEF-6 project).

5.2.3 Proposals for future directions underlining main objectives

149. *Replication.* As the success of the CCAs grows, other clans, land owners and/or land users may seek to establish their own CCA. Indeed, this is already happening in East New Britain. At this point, having an umbrella organisation to enable, facilitate and guide the process (ideally, using the roadmap produced by WBCA under this project) would be important. Again, there are lessons to be learned from existing and similar situations around the world – the best example of which might, again, be the Northern Rangelands Trust in Kenya.

Community-based Forest and Coastal Conservation and Resource Management in Papua New Guinea

**Midterm Review
Volume II: Annexes**

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Annex I: Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for the Mid-Term Review (MTR) for the full-sized UNDP/GEF supported project titled “*Community-based Forest and Coastal Conservation and Resource Management in Papua New Guinea (PIMS#:3936)*” implemented through the Conservation and Environment Protected Authority (formerly Department of Environment and Conservation). The project started in August 2012, and is in its fourth year of implementation. This ToR sets out the expectations for this Mid-term Review (MTR). The MTR process must follow the guidance outlined in the document, [Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects.](#)

2. PROJECT BACKGROUND

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

However, the primary threats to terrestrial biodiversity in PNG are deforestation and degradation (from logging and subsistence agriculture), mining (including pollution and waste runoff) and agricultural conversion (e.g. for oil palm, biofuels, etc.). Not only does forest loss result directly from these activities, but the secondary effects from improved road access makes frontier areas susceptible to ongoing clearing for agriculture and salvage logging. Recent spatial analysis suggested that the average annual rate of deforestation and degradation across all regions of PNG over the 1972-2002 period was 1.4%, almost twice the rate previously recorded. It is estimated that by 2021, 83% of the commercially accessible forest areas will have been cleared or degraded if current trends continue. Much of the logging-related forest loss is concentrated in lowland forest areas; by 2002, lowland forests accessible to mechanized logging were being degraded or cleared at the rate of 2.6% annually. In particular, the islands region (New Britain and New Ireland) has been subject to intense logging activity; the majority (63%) of the 2.8 million ha of accessible lowland forests in these areas had been deforested or degraded by 2002. Logging was initially focused in the islands region because of ease of access, fertile soils and good quality forest, more recently this region has been the centre of intensive oil palm plantation development.

Since 2007, PAs cover remained at 4.1% of the land area and far less than 1% of marine areas – well below the CBD targets. The focus of PA establishment has been on inclusive community-driven models, particularly WMAs. Some local communities have also been declaring ad-hoc community conservation areas (both terrestrial and marine) through the establishment of conservation deeds or conservation contracts under contract law, with the help of grassroots NGOs. However, these community conservation areas are not formally recognized as part of the national PA network. Most existing protected areas in PNG have been designated as WMAs under the Fauna (Protection & Control) Act 1966, since this is the legal structure that most readily accommodates existing community resource management systems. However, this act focuses on faunal resources, and is therefore not an effective legal structure for comprehensive biodiversity conservation at the landscape or ecosystem level.

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

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

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

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

identical with non-PA forest areas (indeed, field surveys in New Britain showed that significant portions several small WMAs have been converted to oil palm by local communities).

For the aforementioned reasons, a viable long-term solution to the increasing threats to PNG's high conservation value forests is to bring a representative sample of the country's biodiversity resources under some form of protection. This required recognition of customary tenure as the Government have had limited ability to demarcate conservation areas and the current WMAs are ineffectively managed and supported; certainly few if, can conform even to the minimum management requirements for multi-use PAs under the IUCN Categories V or VI. Moreover, the PAs that do exist largely fail to achieve any strategic coverage of key biodiversity habitats. The challenge is to develop an effective model of protection which recognizes and accommodates the unique resource ownership structure in PNG but offers real economic and/or development incentives for long-term conservation of important habitats. Thus, this project's long-term vision is to establish a national system built upon existing community-based resource management structures, which conserves a comprehensive, adequate, representative and resilient network of priority biodiversity assets that support sustainable economic growth.

Thus, the Government of Papua New Guinea (GoPNG) through the Conservation and Environment Protection Authority (formerly Department of Environment and Conservation) with the support of United Nations Development Programme (UNDP) and financial resources from the Global Environment Facility is currently implementing the "Community-based Forest and Coastal Conservation and Resource Management in Papua New Guinea".

3. PROJECT OBJECTIVES AND EXPECTED OUTCOMES

This project aims to develop a government-supported and driven approach to enabling environment for the establishment and support of community conservation areas in PNG and to develop effective natural resource management and financing systems. The overall objective of the project is to develop and demonstrate resource management and conservation models for landholding communities that effectively incorporate community-managed conservation areas as part of agreed national priorities with industry and government. This involves demonstration of how the acquisition and dissemination of better national conservation policies and biodiversity planning information will improve natural resource management systems to better support and fund community conservation areas.

Thus, with the support of UNDP, this project should enable the Government to scale up the approach initiated at Kokoda by the Conservation and Environment Protection Authority (formerly Department of Environment and Conservation) to establish priority conservation targets and work with local communities, industry and other government agencies to manage economic activities in ways that meet landscape-level biodiversity conservation and sustainable-use objectives.

4. MID-TERM REVIEW OBJECTIVES

The Mid-Term Review (MTR) will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success and challenges with the aim of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

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

The MTR is intended to identify weaknesses and strengths of the project design and to come with recommendations for any necessary changes in the overall design and strategy of the project by evaluating the adequacy, efficiency, and effectiveness of its implementation, as well as assessing the project outputs and outcomes to date. Consequently, the review mission is also expected to make detailed recommendations on the work plan for the remaining project period as well as assess the necessity for any time extension to achieve the expected key results from this project.

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

5. SCOPE OF MID-TERM REVIEW

The scope of the MTR will cover all activities undertaken in the framework of the project. The reviewer will compare planned outputs of the project to actual outputs and assess the actual results to determine their contribution to the attainment of the project objectives. The evaluation will diagnose problems and suggest any necessary corrections and adjustments. It will evaluate the efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency. The evaluation will also determine the likely outcomes and impact of the project in relation to the specified goals and objectives of the project.

The evaluation will comprise the following elements:

- a. Assess whether the project design is clear, logical and commensurate with time and resources available;
- b. A review summary of the project and all its major components undertaken to date and a determination of progress towards achievement of its overall objectives;
- c. A review of project performance in relation to the indicators, assumptions and risks specified in the logical framework matrix and the project document
- d. An assessment of the scope, quality and significance of the projects outputs produced to date in relation to expected results;
- e. An analysis of the extent of cooperation on engendered and synergy created by the project in each of its component activities;
- f. An assessment of the functionality of the institutional structure established and the role of the Project Advisory Board, Project Management Unit, Implementing Partner, the Technical and Advisory Support Teams or working groups;
- g. Identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the project document;
- h. Identification of any programmatic and financial variance and/or adjustments made during the first three years of the project and an assessment of their conformity with decisions of the Project Advisory Board and their appropriateness in terms of overall objectives of the project;
- i. A review of project coordination, management and administration provided by the PMU. This review should include specific reference to:
 - Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;
 - The effectiveness of the monitoring mechanisms currently employed by the project managers in monitoring on a day to day basis the progress in project execution;
 - Administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project and present recommendations for any necessary operational changes; and
 - Financial management of the project, including the balance between expenditures on administrative and overhead charges in relation to those on the achievement of substantive outputs.
- j. An assessment of the extent to which project outputs to date have either sufficient or poor quality scientific and technical data and knowledge that have influenced the execution of the project activities;
- k. A prognosis of the degree to which the overall objectives and expected outcomes of the project are likely to be met;
- l. Lessons learned during project implementation;
- m. Recommendations regarding any necessary corrections and adjustments to the overall project work plan and timetable for the purposes of enhancing the achievement of project objectives and outcomes.

6. REVIEW METHODOLOGY

The international consultant will lead the MTR which will be conducted in a participatory manner working on the basis that its essential objective is to assess the project implementation and impacts in order to provide basis for improvement in the implementation and management.

The MTR must provide evidence based information that is credible, reliable and useful thus the international consultant will provide the overall guidance and lead the review of all relevant sources of information including documents prepared during the preparation phase, the Project Document, project reports including Project Performance Reports/PPRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the international consultant considers useful for this evidence-based review).

The MTR International Consultant is expected to lead the engagement with the Project Team, government counterparts, the UNDP Country Office, UNDP-GEF Regional Technical Advisers, and other key stakeholders.

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

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

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to key partners and pilot provinces); executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR is expected to conduct field missions to Port Moresby, Papua New Guinea, including the project sites in East and West New Britain Provinces.

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

7. DETAILED SCOPE OF MID-TERM REVIEW

The MTR will assess the following four categories of project progress.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

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

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

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

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

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

⁴ Populate with data from the Logframe and scorecards

⁵ Populate with data from the Project Document

⁶ If available

⁷ Colour code this column only

⁸ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

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

- Compare and analyse the Project Results Tracker within the PIR at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

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

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?

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

Reporting:

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

Communications:

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

iv. Sustainability

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

Conclusions & Recommendations

The MTR will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.⁹

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary.

⁹ Alternatively, MTE conclusions may be integrated into the body of the report.

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

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

Ratings

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

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

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

Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

8. CONSULTANCY

The International Consultant with relevant qualifications and experiences outlined under section 10 shall be engaged to lead the review according to the planned schedule.

The International Consultant should have in-depth understanding of UNDP supported projects including evaluation experience, and s/he will have the overall responsibility of organizing and completing the review, and with contributions, preparing the overall MTR methodology and MTR inception report, and submitting the draft and final MTR reports.

The collection of documents is to be done by PMU prior to commencing the work. The international consultant will sign an agreement with UNDP PNG and will be bound by its terms and conditions set in the agreement.

9. PROPOSED SCHEDULE

The consultancy will be for approximately 28 working days and will not exceed five months from when the consultant is hired. The review will include a country mission to PNG as well as a desk review and preparation of an inception report prior to the country mission, and preparation of the draft and final version of the MTR report. The international consultant will be paid in four payments as outlined in part 13 including international and domestic travel and DSA. The international consultant is responsible for submission of the draft Final Report to UNDP for circulation to relevant agencies within three weeks after the completion of the Evaluation mission to PNG. The international consultant will finalize the report within two weeks upon receiving comments and feedback from stakeholders compiled by UNDP.

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

10. DELIVERABLES

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

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

#	Deliverable	Description	Timing	Due Date	Responsibilities
1	MTR Inception Report	MTR clarifies objectives and methods of Midterm Review/Inception Report	No later than 2 weeks before the MTR mission	15 December 2016	MTR submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	15 Feb 2017	MTR presents to project management and the Commissioning Unit
3	Draft Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 2 weeks of the MTR mission	28 Feb 2017	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 2 weeks of receiving UNDP comments on draft	14 Mar 2017	Sent to the Commissioning Unit

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

11. MTR ARRANGEMENTS

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

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

12. TEAM COMPOSITION

The International Consultant will conduct the MTR. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The international consultant will be supported by UNDP country office and/or the project team.

Annex II: Itinerary and people met over mission to Papua New Guinea

Date	Activity
Wed 1 March	<p>Arrival in Port Moresby</p> <p>Meeting with Project Manager for briefing on mission</p> <p>Security briefing with UNDSS</p> <p>Meeting with Ms. Barbara Masike, TNC Country Director</p> <p>Meeting with Brian Brunton, legislative drafter on the proposed Protected Area Bill</p>
Thu 2 March	<p>Meeting with Patricia Kila on biodiversity offsets work</p> <p>Briefing with Ms. Kumaras Kalim, Acting Director CEPA Sustainable Environment Program (conservation wing)</p> <p>Meeting with Mrs. Yasap Popoitai, Ms. Patricia Kila with the CEPA Team (Ms. Yvonne Tio, Executive Manager, Marine, Mr. Vagi Rei, Manager, Marine Ecosystem Management; Mr. Bernard Suruman, Manager Marine Protected Areas; Mr James Sabi, Manager Terrestrial Ecosystems Management; Mr Elton Kaitokai, Snr Program Officer –Terrestrial Ecosystems, Frederick Ohmana, Snr Program Officer, TPA, Madeleine Lahari, Program Officer TPA), on the PA Policy Implementation Framework</p> <p>Meeting with team from SPREP/PA Solutions (Ms. Fiona Leverington, Ms. Ann Peterson and Mr. Greg Peterson with the PA Solutions) on the Protected Area Policy and PA Assessment</p>
Fri 3 March	<p>Travel to Kimbe, West New Britain</p> <p>Field mission accompanied by Mr. James Sabi, CEPA Terrestrial Ecosystem Management with the project team Mr. Ben Ngava, Project Field Coordinator for Pomio District, East New Britain; Mr. Kepslok Kumilgo, Project Field Coordinator for West New Britain; Ms. Emily Fajardo, Project Technical Specialist</p> <p>Briefing with the Provincial Administrator Mr. Williamson Hosea with Mr. Peter Sanamia, Provincial Adviser on Environment, Forest and Climate Change; Mr. Desmond Vaghelo, Provincial Environment Officer</p> <p>Meeting with Live and Learn PNG office with Ms. Corry Sil, Country Manager; Mr. Percy Kambui, Project Coordinator, Mr. Lazarus Peka, Project officer; Mr. Daniel McIntyre, Live and Learn Australia Technical Adviser</p> <p>Meeting with Mahonia Na Dari with Ms. Cecille Benjamin, Chairperson of MND Board, Stephanie Tangole, Project Manager; George Ulae, Project Officer</p>
Sat 4 March	<p>Site visit and meeting with Pokili WMA Management Committee and Rapuri Village</p>

Date	Activity
	Visit to Hot Spring and Wild Fowl nesting site Travel back to Kimbe
Sun 5 March	Reflection and report writing, and free time
Mon 6 March	Travel from Kimbe to Bialla Meeting with CCA Committee at Baikakea, and courtesy call to East Nakanai LLG Travel back to Kimbe
Tues 7 March	Meeting with Mr. Michael Bragg, Sustainability Manager, New Britain Palm Oil Meeting with Garu WMA Management Committee and site visit of hot springs
Wed 8 March	Travel to Kokopo Briefing with Deputy Provincial Administrator Mr. Levi Manu, East New Britain Skype call with Allen Allison, Bishop Museum
Thu 9 March	Travel to Warangoi and Arabam Site visit of reforestation, rice milling/farming with interviews on site Meeting with Arabam/Raigel/Maranagi wards – Mr. Urban Nick, ARM Vice Chairperson; Severin Nuvu, ARM Treasurer Meeting at OISCA Rabaul Training Center Mr. Ehara, International Technical Adviser, Mr. Raymon Joshua, Project coordinator, Mr. Benson Midi, OISCA Manager, Mr. Norbert Perry, OISCA Director Travel back to Kokopo
Fri 10 March	Meetings in Kokopo (NGO partners): <ul style="list-style-type: none"> • Barefoot Community Services Mr. Simon Passingan with Mr. Clive Passingan and Racheal Passingan • Wide Bay Conservation Association Ms. Elizabeth Tonge, Executive Director • Forcert Peter Dam, Technical Adviser and Cosmas Makamet, Executive Director
11 – 12 Mar	Reflection and report writing, and free time
Mon 13 March	Flight to Port Moresby Meeting with Partners with Melanesia Mr. Ken Mondial, Executive Director Meeting with Celcor Mr. Peter Bossip
Tue 14 March	Travel to Variata National Park and Owen Stanley Range & Kokoda Trail (and surrounding locations) Meeting with Project Manager

Date	Activity
	Preparation for presentation
Wed 15 March	Debriefing with UNDP Ms. Tracy Vienings, UNDP DRR; Mr. Hisashi Izumi, Head of Programme with Ms. Fajardo Meeting with Nate Peterson and Vanessa Adams (TNC) on updated PoWPA
Thu 16 March	Meeting with GEF OFP and CEPA Managing Director Mr. Gunther Joku Presentation of observations and recommendations to key stakeholders (CEPA) Travel from Port Moresby to Kampala, Uganda

Annex III: The ratings used by the MTR

The review will be carried out according to the UNDP/GEF Monitoring and Evaluation Policy. Therefore, the MTR will focus on and provide ratings for: i) the progress towards results, by component and outcome, ii) project implementation and adaptive management, and iii) sustainability (and the risks thereto). Overall there will be an emphasis on supportive recommendations.

The ratings that will be used for the MTR

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.
Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.
Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex IV: The trainings (either formal or informal) used by the project

This list includes any process that may constitute training – therefore, it includes people involved in GEF planning processes, GIS processes. In other words, while some of these do not constitute “formal” training processes, the people are actually having their capacity build.

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
OISCA	· mapping exercises	3	Arabam, Raigel, & Maranagi communities
	· Environmental Awareness	6	Arabam, Raigel, & Maranagi communities (2 each)
	· Agriculture related training at OISCA	4	4 youths
	· GIS training UPNG	1	Joshua Raymond
	· Drone operation training	1	Joshua Raymond
Barefoot Community Services	Awareness on CEPA	90	Manginun (16), Galuwe (15), Olaipun (22), Klampun (25), Mu'u (12)
	Community development training	94	Manginun (21), Galuwe (18), Olaipun (16), Klampun (27), Mu'u (12)
	- Capacity needs identification	94	Same as above
	- Changing society	94	Same as above
	- Organisational Development	94	Same as above
	- Management systems	94	Same as above
	Protected Area training - CCA, LMMA	92	Manginun (18), Galuwe (15), Olaipun (17), Klampun (27), Mu'u (10), Teimtop (5)
	Clan land Boundary mapping – Land Use Planning, Resource Management Planning	89	Manginun (21), Galuwe (18), Olaipun (16), Klampun (20), Mu'u (9), Teimtop (5)
	Landowner agreement - L/O Consent Letter	57	Manginun (20), Galuwe (23), Olaipun (14)
Basic GIS Training (See Section on GIS Training)	1	Clive Passingan	
CELCOR	Community Legal Education Training		
	Community Legal Education Training (Dispute resolution and land mediation) and identification of key or outstanding graduates. The paralegal training also focus on natural resource management in Nakanai Range, covering West Pomio Mamusi, Central inland Pomio, and Siniviti. Training was focused on training district LLG, ward and community members	100	20 women, 80 men
	Paralegal training # 1 (Arabam village, Siniviti LLG).	43 (7 females & 36 males)	Arabam, Reigel and Maranangi villages
	Paralegal training # 2 (Warangoi)	30 (5 females & 25 males)	Rieit, Dadul, Sunam, Laup, Ivon, Kulungere, & Gore villages, plus Siniviti administration staff
Paralegal training # 3 (Central Inland Pomio	23 (5	Pomio Village - Kerekena, Parole,	

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Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	LLG, Pomio village)	females & 18 males)	Malakur, Ngavale, Bain, Wards
	Paralegal training # 4 (Matong vialle, Central Inland Pomio LLG)	18 (1 female & 17 males)	Matong village, Pouka & Tokai
	Paralegal training # 5 (Bago village, Central Inland Pomio LLG)	22 (4 females & 18 males)	Lele, Kemetani, Malboni, Muela, Bago and Merebo Villages Village court officials from various villages (magistrate, Village court recorder, peace officer, court clerk)
	Paralegal training # 6 (Manginun village, West Pomio LLG)	34 (9 females & 25 males)	Manginun, Mauna, Gugulena, Irena, Totongpal, Puapal, Poro/Salel, Kaiton Villages, Mauna Councilor, Village magistrate, peace officer (Manginun)
	Paralegal training # 7 (West Pomio/ Mamusi 1 & 2)	26 (3 females & 23 males)	Pepeng, Sivauna, Paleavolou, Aona, Bairaman, Kaiton, Pulpul, Buka, Palmalmal, Totongpal, Talie, Gugulena, Malakur, & Manginuna Villages, LLG Manager, Melkoi CDO
New Guinea Binatang Research Center	Training of postgraduate studies students through data collection for completion of studies. Studies will be published with acknowledgement credited to UNDP and CEPA for the funding. Data and training towards post-graduate students.	5	2 PhD students (Uni of South Bohemia, Czech Republic) , 1 Mphil student (Unitech) & 2 MSc students (UPNG & Uni Sussex)
	Training of BRG staff and assistants by senior staff on different taxonomy namely, birds, plants, moths, bats, ants, frogs, and butterflies, including socio-economic studies	11	BRG Staff and assistants
	Training of undergraduate students in the lab moths and butterflies training for their 6 months of final year project.	2	University of Natural Resources 4th year students
	6 weeks intensive training of village assistants in taxonomy and other fields	20	Wongou Land Group
Mahonia Na Dari	Leadership training basic book keeping	Not recorded	Communities of Gule, Makasili, Rikau, Galio, Tagaragara, Vavua, Rapuri, Koimumu, Lavege, Ubai
	Basic WMA OR CCA rangers training	Not recorded	Same as above
	Community resources mapping workshop	Not recorded	Same as above
	Pokili - Management Training-roles and responsibility Training	30	Same as above
	Pokili - Leadership, Book keeping	30	Same as above
	Pokili - Community Resource Mapping	30	Same as above
	Garu - Management Training-roles and responsibility Training	21	Communities of Garu, Vogohu, Kavutu, Bere
	Garu - Leadership, Book keeping	21	Communities of Garu, Vogohu, Kavutu, Bere

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	Garu - Community Resource Mapping	28	Communities of Garu, Vogohu, Kavutu, Bere
	Lake Hargy – Management Committee- Roles and Responsibility Training	20	Baikekea Community
	Ranger Training	20	Lake Hargy (2), Garu (5), Pokili (13)
TNC	West New Britain Inception Workshop	31	11 females and 30 males representing TNC (6), Mahonia Na Dari (2), WNB Provincial government (9), Live and Learn (4), NBPOL (1), CCDA (1), Walindi Plantation Resort (1), Pokili Community Conservation Area (1), UNDP (1), Binatang Research Center (1), PNG Center of Locally Managed Marine Area (1)
	Talasea District Ridge to Reef workshop	31	Participants from Biala include 23 males and 8 females representing District Administration, East Nakanai LLG (15), Central Nakanai (4), Bali Vitu LLG (2), OPIC (1), TNC (3), Ward member (1), UNDP CEPA (1), Kimbe Urban LLG (3), Hoskins LMUA (1)
	Kandrian/Gloucester District Ridge to Reef workshop	50	15 females and 35 males with participants from Kandrian District (9), WNB Provincial Government (2), Kandrian LLG (2), Kandrian Inland (4), Gasmata LLG (4), Kandrian Coastal LLG (12), Kali Kove LLG (3), Mosa LLG (3), NBC (2), UNDP (1), TNC (2), Live and Learn (2), KKH Project (1), CEPA (1),
FORCERT	Training on leadership, roles and responsibilities for management team, financial literacy using 'Moni Stori' tool, Community Legal Education training by Celcor, Sawmill and Chainsaw training, Chain of Custody training, Basic Forest Inventory Training, and Land use planning (LUP) training.	Whole community	Whole community, management committees, youths, sawmill team crew, PES inventory team, community leaders, church leaders, chosen individuals etc (Ainbul)
	Training on roles and responsibilities for management team, financial literacy using 'Moni Stori' tool, Community Legal Education training by Celcor, Sawmill and Chainsaw training, Chain of Custody training, Basic Forest Inventory Training, Carbon (PES) training, basic GPS training by CEPA, and LUP training	Same as above	Whole community, management committees, youths, sawmill team crew, PES inventory team, community leaders, church leaders, chosen individuals etc (Tavolo).
	Training on Sustainable Forest Management for CBO, ARM, financial Literacy training using moni stori tool, Forest Inventory and set up establishment training, Carbon (PES) Inventory training, and LUP training were conducted	Same as above	Whole community, management committees, youths, sawmill team crew, PES inventory team, community leaders, church leaders, chosen individuals etc. (Arabam, ARM)
Live and Learn	- Conservation and sustainable resource management education and awareness workshops. Build awareness and capacity of	30-70	3 sites covering 6 communities. Pindir, Mang, Rangih and Logorum Communities. 1 coastal clan (Rangih), 4

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	communities towards promotion of sustainable resource management in the Whiteman		inland clans of Mang, Pinirs Giring, & 7 Miu clans of Langorum)
	- GIS mapping and map preparation Training using QGIS	30-70	Miu tribe
	- 2 days Conservation and REDD+ Educational awareness workshop	40-70	4 villages (Mang, Pinir, Langorum and Rangihi of Mui Tribe)
	Rangihi community training and capacity needs identification workshop	Not recorded	Rangihi Community
	- 5 field trip and trainings on project steering committee formation process, pertaining to Conservation and sustainable resource management plan	30-70	Miu tribe
	- Participatory landuse mapping workshop, including sustainable resource management workshop. Assessment of alternative livelihood opportunity, with input from provincial government, LLG and private sector	30-70	Project steering committee from each villages, except Logorum
	- Stakeholder support network workshop, including RAP workshop identifying social, environmental, physical and cultural assets. Also include GPS Mapping and landuse mapping,	21	a Rep each from PNGFA, CEPA, OCCD, Dept Planning WNB, Dept. Forest, Environment and Climate Change, WNB, Dept Agriculture WNB, Dept. Lands WNB, Kaliai Kove LLG, Inland Kandrian LLG, Mahonia Na Dari, FORCERT, CELCOR, PNG EFF, TI PNG, TNC, NBPOL, OPIC, Walindi Resort and Baia Fishing Tours
	- 2 Days PRA/RAP Workshop identifying social, environmental, physical and cultural assets	100	Representatives from all communities (4 tribes and 8 villages) comprising all gender, both young and old. 56 Rangahi/Miu, 8 Mang /Miu, 19 Pinir/Miu, 3 Langorum/Miu, 9 Lamogai/Mulakaino, 2 Gui/Kombe, 3 Vogevoqe/Kombe.
	-Awareness Activity conducted in 2 communities covering customary resource management practices, introduction to conservation and biodiversity concepts, an introduction to the links of forests and climate change forest and land uses changes, pros and cons of different land-uses, barriers and bridges to developing a conservation project, local decision making structures and potential governance structures	100	Representatives from 4 targeted communities
	PRA/RAP abridged workshop held in Langorum, identifying social, environmental, physical and cultural assets.	39	27 Langorum, 1 Umbi, 6 Apim, 5 Borosngin (16 women and 23 men).
	RAP/PRA Workshop in 2 communities identifying social, environmental, physical and cultural assets	20	1 Large workshop with representatives from all communities except Langorum, in place of 2 workshops.
	Development of a resource management plan	20	3 day steering committee workshop held

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	workshop and Steering committee workshops		in Pinir, Mang, Langorum and Rangih. Prior to this workshop, 4 Steering committee workshops were held
Malcolm Keako from CEPA	Basic GIS Training (GPS Tracking and Mapping of data) at Kokopo	20	Partner NGOs, communities and East and West New Britain Provincial Administrations
	GPS Training in Tavolo WMA	10	Tavolo WMA communities
Bishop Museum	Prep on specimens of amphibians and reptiles for description by Dr. Allen Allison @ Baining survey	1	Raymond Joshua
	Plant Studies (plant collections and analysis) from the Baining Mountains	1	Heveakore Maraia, Masters Student, PNG University of Technology
	Training of CEPA staff on the intergration of IUCN REDD list species data from SIMS to NBMS, using ArcGIS for species distribution and spatial data onto the SQL server. Training provided by Dr, Allison	>5	CEPA staff, Dr. Allen Allison of Bishop Museum and Department of Environment Australia
UQ	Planning workshop on conservation targets for priority sites for both marine and terresstial, using Marxan analyses on PowPA	11	Vanesa Adams, Vagi Rei, Emily Fajardo, Elton Kaitokai, Madeline Lahari, Joseph Jure, Malcolm Keako, Bernard Suriman, Fabian Taimbari, Barnarbas Wilmot, James Sabi
	Workshop to review draft final priorities for Land-sea Assessment, to discuss timing of small group training, review of priorities by experts and final delivery of prokject in February 2017	9	Vanessa Adams, Viv Tulloch, Emily Fajardo, Patrick Kila, Kay Kalim, James Sabi, David Leverington, Nate Paterson, James Allen
	Small group training session on Marxan and data delivery of data inputs in priority seeting using ArcGIS	2	James Allan and Malcolm Keako
	Workshop for relevant stakeholders and expert to review the conservation priorities and to identify any fnal gaps or modification	13	Vanessa Adams, James Allan, Nate Peterson, Fiona Leverington, Peter Hitchcock, Jehu Antiko, Stephen Richards, Allen Allison, Kay Kalim, Kaiye, Malchom Keako, Patricia Kila, Mat Krokenberg
	International and National Expert Review Workshop on PowPA for priority areas using Marxan and GIS for planning of priority areas	31 & 33	PNGFA, FRI, JICA, CEPA, UNDP, UPNG, NMAG, TNC, Exxon Mobil, MRA, IWC, SJR, ECA, James Cook University, Australian National University
WCS	Ornithology and GIS training with WCS	1	Desmond Vaghelo
SPREP/UNDP GEF/CEPA	Management Effectiveness Teacking Tool (METT) assessment/training in Protected Area management East New Britain	23	8 Protected Areas (Reps from CEPA, SPREP, UNDP GEF, Landowners and Protected Area Managers/Committees)
	Management Effectiveness Teacking Tool (METT) assessment/training in Protected Area management in East New Britain	80	7 Protected Areas (Reps from CEPA, SPREP, UNDP GEF, Landowners and Protected Area Managers/Committees)
	Management Effectiveness Teacking Tool (METT) assessment/training in Protected	206	48 Protected Areas (Reps from CEPA, SPREP, UNDP GEF, Landowners and

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	Area management in PNG		Protected Area Managers/Committees)
CEPA-UNDP GEF	CEPA Strategy and Change Planning		
	With CEPA senior mgt and executives	14	
	Meeting 1 with core group	38	
	Meeting 2 with core group	38	
	With CEPA senior mgt	6	
	Consultation/training for the proposed PA Bill		
	-CEPA PA Bill Project Committee	17	CEPA staff
	-CEPA PA Bill Project Committee	14	CEPA staff
	-Highlands Region consultations on the Bill	49	Various stakeholders
	-MOMASE Region consultations on the Bill	36	Various stakeholders
	-NGI Region consultations	68	Various stakeholders
	-Southern Region consultations	46	Various stakeholders
	-CEPA	28	CEPA staff
	-Inter-government Agencies 2 days formal workshop	90	Various stakeholders. Day 1= 58 and Day2=32
	-Follow-up one on one meets	18	Various government staff. 6 agencies met and each agency maximum of 3 people
	-Oceans Policy Core Team headed by Dept of Justice & Attorney General (International Unit)	23	Various government staff
	-NCD Stakeholder Workshop at Lamana in collaboration with Mama Graun Trust Fund	68	Various stakeholders
	-Chamber of Mines & Petroleum	13	Chamber of mines and Petroleum staff
	-One on one meetings with respective government agencies	6	Various government staff
	-CEPA-JICA, Legislative Drafter	4	CEPA-JICA staff and Legislative Drafter
	Training on the Legislative Review on Protected Area		
	In Adelbert Range & Madang provincial administration	24	
In Suua, Alotau & Milne Bay province and district administration	36		
With private sector	2	ExxonMobil	
With national government	5	PNG Forest Authority and CLRC	
With CSO	8	CI, TNC, PwM, LEAF, PNGCLMMA, and UPNG	
Consultation/training policy development on Protected Area			
CEPA Internal workshop			

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	Highlands regional consultation	43	Various stakeholders from Government, NGOs, Universities, private sector
	MOMASE regional consultation	56	Various stakeholders from Government, NGOs, Universities, private sector
	NGI regional consultation	64	Various stakeholders from Government, NGOs, Universities, private sector
	Southern regional consultation	42	Various stakeholders from Government, NGOs, Universities, private sector
	Expert peer review	16	
	CEPA Internal workshop	12	
	TRAININGS FOR PROTECTED AREAS POLICY IMPLEMENTATION PLAN (PAPIP)		
	-CEPA Internal Workshop	26	CEPA staff
	-CEPA Internal Workshop	26	CEPA Staff
	-CEPA Internal Workshop	27	CEPA Staff
	-Highlands Region consultations	49	Various stakeholders from Government, NGOs, Universities, private sector
	-MOMASE Region consultations	36	Various stakeholders from Government, NGOs, Universities, private sector
	-NGI Region consultations	68	Various stakeholders from Government, NGOs, Universities, private sector
	-Southern Region consultations	46	Various stakeholders from Government, NGOs, Universities, private sector
	-Inter-government Agencies 2 days formal workshop	90	Various government agencies. Day 1= 58 and Day2=32
	-NCD Stakeholder Workshop at Lamana in collaboration with Mama Graun Trust Fund	68	Various stakeholders from Government, NGOs, Universities, private sector
	-CEPA first consolidation workshop	14	Various Stakeholders, from Government, NGOs, Universities, private sector
	-CEPA second consolidation workshop	6	Various Stakeholders, from Government, NGOs, Universities, private sector
	Landuse planning workshop with CEPA. Training facilitated by David K. Mitchell, Matt Wolnicki and Malcolm Keako, with powerpoint presentation from 11 participants	27	CEPA Pom (7), CEPA Popondetta (1), Environment Australia (1), Dept. of Lands and Physical Planning (2), PNG Forest Authority (5), Forest Research Institute (1), Dept. of Petroleum and Energy (1), Mineral Resource Authority (2), East New Britain Administration (1), JICA (1), UNDP-GEF (5), Rose Consulting (1), P4SD (1), Conservation International (1), The Nature Conservancy (1), Live and Learn (2), Forcert (1), Partners With Melanesia (1), Tree Kangaroo Conservation Program (2)
	ELWG & NPAS Workshop, SEP Division, CEPA and GEF 4 & UNDP. Presentations	20	UNDP (1), Conservation International (1), ELWG (3), PNG EFF (1), CEPA (4), 1

Training provided by	List of trainings	Indicative number of attendees	Name of target group/ community/ individual
	included legislative review, Lessons learnt, implication on Marinetime Zone Act and PNG's Ocean policy, , Overview of ADB/ CEPA marine program, priority conservation within EEZ, ELWG background and Constitution, Biodiversity offset policy, regulatory status and gap analysis, andUNDP GEF partnership with CEPA. Facilitated by 11 participants		WCS, Private Consultant (1), Alotau Environment (1), PNG Maritime Boundaries Delineation Projects (1), CEPA/UNDP (3), ADP/CTI/CEPA (1)
Designing the Biodiversity Offset Mechanism in PNG	CEPA In House workshop	14	
	CEPA and other national government agencies, private sector and universities	32	UNDP, Conservation International, PNG EFF CEPA, WCS, TNC, WWF, FORCERT, LEAF Universities
Payment for Ecosystem Services	Interviews during 4 missions in New Britain Island	59	Community reps, provincial reps and private sector including hotel owners/managers
Wide Bay Conservation Association	3 workshops with core group from NGO representatives and community leaders	45	Various civil society leaders from NGOs, Universities, faith-based organizations, communities

Annex V: The Monitoring Effectiveness Tracking Tool (METT)

See attached Excel Spreadsheet

Annex VI: An audit of the comments made on the draft MTR report & responses thereto

Comment, location	MTR response
Minor edits, typographical errors	All corrected and incorporated into the final version of the report
Factual errors (of which there were a small number)	All corrected and incorporated into the final version of the report
Specific comments made on the draft report	Through the draft report, various reviewers made comments. Throughout the final version of the report, the comment on the draft report and MTR response have been included in the place in which the comment was made as a footnote (see relevant footnotes through the report, Vol I). This represents the principal audit trail for the comments and responses to those comments.
Cofinance data	Some cofinance data were provided in the consolidated comments received on the draft MTR report in November 2017; these have been included in Annex VII (see below).
Comment on Section 3.1: "Please include narrative on the: Institutional, and policy factors relevant to the project objective and scope."	Included, as requested: see para 17 <i>et seq.</i> of Vol I of the report.

Annex VII: The cofinance data provided to the MTR in November 2017

Organisation	Expenditure	Estimated total
CEPA	E. Fajardo 6-month salary @ K 34,000 per month = K 204,000 Travel allowances for CEPA staff during the regional consultation on PA Bill back-to-back PA Implementation Plan K 200 per day x 12 staff x 5 days x 4 regional meetings = K 48,000	USD 80,000
East New Britain Provincial Administration	PGK 1,000,000 for 2 years (or equivalent to US\$ 314,465)	Total commitment of US\$ 459,119 or PG K 1.460 million
West New Britain Provincial Administration	PGK 460,000 for 2 years (or equivalent to US\$ 144,654)	

Annex: VIII: Indicative questions to be used in structured and semi-structured interviews

1. What is the achievement, so far, of which you are most proud?
2. If you could go back in time, what would you change or do differently?
3. If you could go back in time, which activities would you definitely do again?
4. If the project had an extra USD 2 million and an extra two years, what else would you consider doing?
5. What are you doing to ensure take up/replication of the concept and processes in other landscapes?
6. What are the effects of inflation or changes in the exchange rates to the budgeting and/or expenditure?
7. Please give examples of how you are ensuring cost effectiveness?
8. Please provide all information on cofinance to date, including both cash and in-kind expenditure and a summary of the items on which the co-finance has been spent.
9. What is your role/relationship with the project?
10. What are you doing to ensure sustainability of the project's processes and impacts?
11. This (xxx) success seems very good: what did you do to achieve it?
12. Who are the partners (i.e., people actively working to the same goals) on the project?
13. Who would you say *owns* the project?
14. Who are the stakeholders in the project (i.e., people that are involved in the project, either actively or passively or will be affected by the project in some way)?
15. Who prepares the TOR for all contracting?
16. Who signs the contracts?
17. Imagine this scenario: if the Minister phones you up and says that he needs to make a brief report on the project to the President and he needs 5 bullets on the following subjects:
 - Key successes
 - what would you advise the next door country to do if they were to implement a similar project
 - what works and why
 - what does not work and why
 - key challenges
18. Is the project having any useful (but unplanned) spin-offs?
19. Is the project having any detrimental or negative (but unplanned or unintended) impacts?
20. This is a UNDP project – what advantages or disadvantages does this bring? What if it was a World Bank project instead – what difference would that bring?
21. If you were to re-write the Project Document, what would you change?
22. Who are the project's champions?
23. Standard issues:
 - Project Manager Forum
 - Procurement rules and efficiencies
 - UNDP training/support
 - Financial audits
 - Cofinance information
 - Communication strategy?
 - Monitoring awareness/knowledge
 - Backing up data and digital information
 - Team functionality
 - Staff turn over
 - If training is provided, how is training is now being used in job?
 - How including gender and/or indigenous peoples issues?
 - Need to provide all information, including equipment, inputs, infrastructure, tracking tool data.
 - If there was a delay, what was the reason?
24. How is the project aligned to the national development plan, region-level development plans and the UNDAF?
25. Is the project trying to increase awareness? If so, among which target groups? How is the project monitoring changes in awareness and attitude? How has any changes in attitude and awareness affected project implementation, and how is it being used in the daily, professional lives of the target groups?

26. Infrastructure has been developed over the course of this project. Was it in alignment with the strategic plan developed at the landscape level? If not, how was the decision made for any given infrastructural input?
27. New institutions have been created over the course of the project. How will these be sustainable? In five years' time, how do you imagine the committees functioning?
28. Why did the Financial and Administrative Assistant resign?
29. What monitoring activities are being undertaken to determine the impact of the project?
30. How does the project interface with the (XXX) reform processes in the country?
31. The (XXXX) appears to be largely unsuccessful – why? How could it have been improved?
32. It appears as if some key stakeholders were not included – e.g., XXXX, etc. Would it have been useful to try to include some of these organizations, at least on an ad hoc basis?
33. How is the project interfacing with regional governments?

Six questions to overcome fear of failure:

- What would you attempt to do if you knew you could not fail?
- What if I fail — how will I recover?
- What if I do nothing?
- What if I succeed?
- What's truly worth doing, whether you fail or succeed?
- In this failure, what went right?

Annex IX: UNEG Code of Conduct Form

Evaluators/Consultants:

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

MTR Consultant Agreement Form

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

Name of Consultant: Stuart Williams

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

Signed at Lilongwe, Malawi (Place) on 14 November 2017 (Date)



Signature: _____

Annex X: MTR Final Report Clearance Form

Midterm Review Report Reviewed and Cleared By:	
Papua New Guinea UNDP Country Office	
Name: _____	
Signature: _____	Date: _____
UNDP-GEF Regional Technical Advisor, Bangkok	
Name: _____	
Signature: _____	Date: _____