

**Final Evaluation of the Milne Bay
Community-based Coastal and Marine Conservation**

July 2006

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Annex 1: Terms of Reference for the Evaluation Team

Milne Bay Community-based Coastal and Marine Conservation FINAL EVALUATION (JUNE 2006)

(The formatting and font size below have been modified to reduce length but the text is unchanged from the ToR as provided by UNDP, except several marginal ToR annexes have been deleted where noted)

Background

Milne Bay Province is located on the eastern extremity of the island of New Guinea, at the edge of a biologically rich coral triangle. The Province's coastal and marine environment is an area identified as a globally important storehouse of marine biodiversity, harboring a range of tropical ecosystems. The diversity of species within these ecosystems is one of the highest in the world, compared to other coastal and marine eco-systems in the Pacific Rim.

The Milne Bay Community-based Coastal and Marine Conservation Project in Papua New Guinea was approved by GEF in 2002. The project's development objective is to conserve a representative sample of Milne Bay Province's globally significant biodiversity. The project seeks to achieve this by establishing a community-based conservation management framework in partnership with national and provincial government authorities, local level government, the private sector, non-government organizations and the local resources owners. Specifically, the project aims to focus on mitigating the threats to marine biodiversity through the establishment of community managed protected areas and building capacities at the provincial, local and ward committee level governments, with the aim of transferring management to local ownership for sustaining project outcomes. The project's immediate objectives (ie intended outcomes) are to:

- Build capacities and strengthening policy and institutional framework at the local and provincial levels to support community-based conservation processes.
- Operationalize a system of Marine Protected Areas by providing resources-owning communities with the necessary information, training, equipment and organizational structures to manage reef systems.
- Undertake environmental education and awareness to build new conservation constituencies that will facilitate future conservation of marine ecosystems by Milne Bay people.
- Ensure alternative livelihood strategies are sustainable and in harmony with conservation objectives.

Project development objective, purpose and outputs as stated in the approved brief are given in **Annex 1**.

The project document was signed by the three main project partners, Government of Papua New Guinea (GoPNG), UNDP Papua New Guinea and Conservation International (CI) in November 2002. The project was designed as a 10-year intervention divided into two 5-year phases covering four geographic zones. The total budget for Phase I (excluding PDF-B funds) was US\$ 6.443 million, comprising:

- \$3.2 million from the Global Environmental Facility (GEF)
- \$0.500 million from UNDP (TRAC funds)
- \$0.318 million from the Japanese Human Development Trust Fund (JHDTF)
- \$0.570 million from Government of Papua New Guinea (GoPNG)
- \$1.650 million from CI
- \$0.140 million from the Australian Centre for International Agricultural Research (ACIAR)
- \$0.108 million from the Australian National University (ANU)

Phase I of the project has been executed by CI under UNDP's NGO execution modality on the understanding that project implementation would be transferred to the Milne Bay Provincial Administration as soon as adequate capacity had been developed, which was to be assessed periodically through independent evaluation (see Part III 'Management Arrangements' of the Project Document and related Annexes).

Phase 1 was designed to pilot the project's conservation approach in the first of the four target zones, where social feasibility analysis undertaken during the course of project preparation had indicated that prospects for successfully

mitigating threats to biodiversity were strong. During Phase I, the project was to test and adapt appropriate conservation models that take into account local social, economic and ecological characteristics, while also establishing an enabling institutional and policy framework.

Phase 2 will allow for the consolidation of project achievements during Phase I, including enhancing the sustainability of project outcomes. Innovative processes and conservation approaches that were tested in Phase I and found to be effective will be implemented in the other zones.

The Project Office is located in Alotau, the capital of Milne Bay Province. Initial start up of the project was slow due to difficulties encountered in appointing a suitable CTA and in filling other key positions. A CTA was appointed in January 2004.

A Project Inception Workshop was held in April 2004 and a detailed Inception Workshop Report was prepared together with a 3-year Workplan for 2004-2006. Implementation was greatly intensified and accelerated subsequently to compensate for slow implementation in the preceding years.

Given that the project started officially at the end of November 2002 (with the signing of the project document), Phase I should normally have ended in November 2007. However, the rate of implementation and expenditure over the past year indicate that Phase I funds will have been completely utilized by December 2006.

A mid-term evaluation was proposed for end 2005 but given that a final evaluation was planned for 2006, it was subsequently decided that it would be neither cost-effective nor technically meaningful to do two major evaluations within a six-month period. However, independent financial audits of the project have been conducted annually.

Objectives of the Evaluation

The final project evaluation is a requirement of the UNDP/GEF for all regular projects and is intended to provide an objective and independent assessment of project implementation and impact, including lessons learned to guide future conservation efforts. The evaluation covers the entire project including non-GEF financed components.

The overall objective of final project evaluations is to assess the achievement of global environmental objectives¹ and planned project objective and outcomes/impacts² as well as the delivery and completion of project outputs/activities³. The evaluation will also evaluate the strengths and weaknesses of project design, implementation, monitoring and adaptive management and sustainability of project outcomes.

The overall evaluation of project achievements should cover the following broad areas:

1. Project conceptualization, design and implementation approach, including execution modalities
2. Ownership of the project at the national, provincial and local levels
3. Stakeholder participation, including gender differences in participation and influence
4. Sustainability of project achievements and impacts
5. Replication approach
6. Financial planning and sustainability, including the timely delivery and use of co-financing and an assessment of expenditure against outcomes
7. Cost-effectiveness
8. Monitoring and evaluation and the application of adaptive management principles (including use of logframe, tracking tools for GEF's SP1 and SP2, the annual Project Implementation Reviews, etc.)

¹ This should be the highest level in the project's logical framework, which is often labeled the "goal" to which the project contributes. Different implementing agencies are using different terms for this level. The World Bank often refers to this level as the "global objective". UNEP uses "overall project objective" to describe this level, while UNDP has used "development objective".

² "Project objective" is the second highest level of objectives in the logical framework. This are referred to by the World Bank as development objectives, by UNDP as project objectives and by UNEP as "objectives".

³ The UNDP/GEF logframe hierarchy has the project goal or development objective at the top, followed by a project objective (ideally just one), several outcomes (generally 4-5), with numerous proposed outputs under each proposed outcome, and a range of activities related to the delivery of each output. However, the Milne Bay project has 2 objectives and the Project Document refers to what we now consider Outcomes as Project Outputs. Please refer to the Project Implementation Review (PIR) for 2005 in which the different logframe levels are reflected accurately.

9. Lessons learned – (“best practices”, what should be done differently in other comparable projects, and what should not have been done because it had little or negative impact on the overall objective and/or achievement of stated outcomes?

Additionally, the evaluation should address the following specific questions relevant to the Biodiversity Focal Area of GEF:

1. How has the project contributed to establishment or extension of Marine Protected Areas and to improving their management and sustainability – to what extent can this be measured and quantified?
2. How has the project contributed to conserve and ensure sustainable use of biological resources in the production environment (landscape and seascape)?
3. How has the project contributed to improve the enabling environment through effective policies, institutional capacity building, increased public awareness, appropriate stakeholder involvement, promoting conservation and sustainable use research, leveraging resources and providing incentives for conservation?
4. How has the project facilitated fair and equitable sharing of the benefits arising from the use of genetic resources?
5. What is the project contribution to replication or scaling up of innovative practices or mechanisms that support the project objectives?
6. To what extent has the project contributed to the improved conservation of biodiversity including globally significant biodiversity and to what extent can this be measured?

Issues for special consideration by the evaluators are discussed below.

Special Issues to be addressed

1. The project was designed prior to the current GEF Strategic Priorities (SPs) and contains elements of both SP1 and SP2, “Catalyzing the sustainability of Protected Area Systems” and “Mainstreaming biodiversity conservation into productive sectors and landscapes”. The evaluators should assess whether the project falls primarily within SP1 or 2. Guidance notes on these two strategic priorities will be made available to the evaluation team by the UNDP/GEF Regional Technical Advisor (RTA).
2. The preferred project execution modality for UNDP is National Execution (NEX) and more and more projects are now under NEX rather than Direct Execution by UNDP Country Office (DEX) or NGO execution. It was agreed that Phase I of the Milne Bay project would be executed through an NGO, Conservation International, while sufficient capacity was developed within the Milne Bay Provincial Administration to administer and implement the project. While there is provision in the project document for stand alone capacity assessments of the provincial administration, the present evaluation should also make its own assessment of this aspect including the following:
 - a) The effectiveness and efficiency of NGO execution of this project.
 - b) The extent to which the capacity of the Provincial Administration and other relevant stakeholders has been further developed and strengthened in ways to enable the transfer of project implementation and management responsibility to the Provincial Administration.
3. Phase I was designed to be completed in 5 years. Despite a slow start, (eg CTA on board only in January 2004 and Inception Workshop in April 2004), project funds will have been almost fully utilized by December 2006, after 4 years of implementation. This is believed to be due to accelerated implementation in the last two years to make up for lost time in earlier years. The evaluation needs to make an independent assessment of project expenditure against actual results/impacts in relation to planned project outcomes and outputs.
4. A 3 year Community Engagement programme was designed and implemented in Phase 1 as a first step to gain resource owners support and commitment to establishing MPAs. The evaluation should make assessment of the community entry approach, mechanisms for consultations and participation processes.

Ratings of Key GEF Project Review Criteria

The final evaluation will include ratings on the following two aspects:

- (1) Sustainability and
- (2) Achievement of objectives/outcomes (the extent to which the project's environmental and development objectives and outcomes were achieved).

Optionally, evaluators should provide ratings for three more criteria:

- (3) Implementation Approach;
- (4) Stakeholder Participation/Public Involvement; and
- (5) Monitoring & Evaluation.

It is recommended that the evaluators use a four value rating system as follows:

HS = Highly Satisfactory; S = Satisfactory; MS = Marginally Satisfactory and U = Unsatisfactory

Final evaluations should present and analyze main findings and key lessons, including examples of best practices for future projects in the country, region and GEF (technical, political, managerial, etc.). Evaluations should also clearly set out and explain any differences or disagreements between the findings of the evaluation team, the IA/EAs, the GEF recipient organization and other major stakeholders.

Evaluation Team

The evaluation team will comprise three members – (I) two independent international consultants and (II) an independent national consultant (i.e. not associated in any way with the project and not serving government official) with the appropriate range of skill sets, including a biodiversity specialist, an institutional specialist and an environmental awareness and education specialist. A Team Leader will be selected based on extent of prior experience of UNDP/GEF biodiversity project evaluations and of PNG and the Pacific more generally. The Administrator, Milne Bay Provincial Government, the Milne Bay Project's Chief Technical Advisor and his staff as well as UNDP Papua New Guinea, Port Moresby, and the UNDP/GEF Regional Unit in Bangkok, will facilitate the work of the evaluation team.

Specific Tasks of the Team Leader

The Team Leader will have overall responsibility for the work and operation of the evaluation team, including the coordination of inputs from different team members. The TL will also have overall accountability for the production of the agreed outputs. The TL will report technically to UNDP Papua New Guinea and to the UNDP/GEF Regional Unit, Bangkok. Administratively and for contract purposes, the TL will report to UNDP Papua New Guinea. The TL will receive assistance from UNDP PNG and the Milne Bay Project Team to facilitate the evaluation mission, particularly in terms of provision of information and data, arranging meetings as well as logistical arrangements generally in Port Moresby and in the field in Milne Bay. The UNDP/GEF Regional Technical Advisor will provide technical support to the evaluation team in terms of provision of information and data and guidance on GEF evaluation requirements.

Methodology/Evaluation Approach

The evaluation methodology will be determined by the evaluation team, guided by the requirements of GEF as articulated in various guidelines, policies and manuals on the conduct of final evaluations for GEF projects as well as key project documents such as the approved project brief, the final project document, the inception workshop report, the project logframe and annual budgets and workplans, the annual Project Implementation Review and the GEF Tracking Tool for SP1 and SP2 projects. Additional guidance and clarifications may be provided by the UNDP/GEF Regional Technical Advisor.

The evaluation methodology should be clearly documented in the final evaluation report including comprehensive details of the following: a) Documents reviewed, b) Interviews conducted, c) Consultations held with all key stakeholders, d) Project sites visited, and e) Techniques and approaches used for data gathering, verification and analysis.

Time Table and Itinerary

The evaluation will be of duration of 24 Calendar days starting on 10 June 2006 with the following tentative schedule:

10 June	Evaluation Team arrives Port Moresby
10-13 June	Initial briefings with UNDP PNG, CI and Milne Bay Project CTA. Desk review of all the relevant documents and reports. Briefing from the UNDP/GEF RTA by telephone.
14 June	Evaluation Team arrives Alotau, Milne Bay
14-27 June	Field visits to Project Headquarters and sub-project sites. Meetings and consultations with key stakeholders including Milne Bay Project Team, project partners, beneficiaries and other stakeholders. This would include amongst others Milne Bay Provincial Administration and Governments (from Provincial to Ward level), technical institutions, NGOs, Civil Society Organizations, communities and beneficiaries amongst others.
27 June	Evaluation Team returns Port Moresby
28 June	Presentation of preliminary findings to key stakeholders to obtain initial feedback
29-30 June	Finalization of Interim Final Evaluation Report
1 July	Interim Final Evaluation Report provided to UNDP PNG and UNDP/GEF for further circulation to key stakeholders
8 July	Deadline for feedback on Interim Final Evaluation Report
15 July	Submission of Final Evaluation Report to UNDP PNG and UNDP/GEF

Consultations

A list of key documents that must be consulted is given in Annex 3. These will be made available by UNDP PNG, UNDP/GEF and the Milne Bay Project Team. A suggested list of meetings and field visit sites is provided in Annex 4. However, to meet the objectives of an evaluation the consultants are free to consult all reports, files, manuals, guidelines and resource people they believe to be necessary to carry out a fair and balanced evaluation and are therefore free to modify the suggested meetings and field visits given in Annex 4. The consultants are also expected to conduct interviews and meetings so that those interviewed have adequate opportunity to present their views without fear that they may in some way be disadvantaged for expressing those views. This is regarded as an important measure to ensure that the evaluation is a truly independent assessment and that it encompasses a full range of views on project implementation and effectiveness.

The mission will maintain close liaison with UNDP Resident Representative in PNG, with the concerned officials and agencies in UNDP, including the UNDP/GEF Regional Technical Advisor in Bangkok, and the PNG Government Agencies and counterpart staff assigned to the project. Although the mission should feel free to discuss with the authorities in PNG anything relevant to the assignment, under the terms of reference, it is not authorized to make any commitments on behalf of UNDP/GEF or the PNG Government.

Reporting & Deliverables

The team will make a verbal presentation to stakeholders towards the end of the evaluation, having first discussed the content of this presentation with UNDP PNG and the UNDP/GEF RTA. After the presentation the team will take

note of verbal and/or written responses to its presentation and consider these in preparing an interim evaluation report that will be provided to UNDP PNG for distribution to stakeholders before the team leaves PNG.

A further week will be given for the receipt of comments on this interim report and a final evaluation report will then be prepared. While the evaluation team is free to determine the actual layout of the final evaluation report, the minimum GEF requirements for reporting content are given in Annex 5 along with a sample report outline. The Team Leader will forward this final report by e-mail to UNDP PNG and the UNDP/GEF RTA in Bangkok. There is no requirement for hard copies.

Annex 1

Development Objectives/Goal. To conserve a representative sample of the globally significant marine biodiversity of Milne Bay Province.

Project Purpose. A community-based conservation management framework is operationalised in partnership with national and provincial government authorities, the private sector, non-government organizations and the local resources owners.

Project Outcomes⁴ The project outcomes as stated in the original GEF-approved Project Brief (but called outputs in the brief) are: 1) An enabling environment for marine conservation and near-shore resource management is established at the Provincial, Local Level Government and Ward levels; 2) A representative network of community-based marine conservation and sustainable near-shore resource management areas is established; 3) An environmental education program and conservation awareness activities are imparting marine conservation values and resource management skills to students in formal and informal settings (elementary, primary and secondary schools, vocational schools, church schools); and 4) Conservation objectives are overlaid into land use strategies on densely populated small islands

Annex 2: Explanation of GEF Terminology and Additional Guidance for Evaluators

(This has been deleted from ToR to save space but is readily available from GEF)

Annex 3 Key Documents to be consulted by the Milne Bay Project Final Evaluation Team

(Deleted as documents are referred to in a separate annex to this report)

Annex 4 Details of Proposed Meetings in Port Moresby and Milne Bay, including proposed field site visits

(The list of those to be met in Port Moresby and Alotau has been deleted.

A separate annex lists those who were met and it is far more comprehensive than specified in the ToR.)

⁴ These are called 'Outputs' in the original Project Brief but correspond to Outcomes in the latest GEF logframe terminology, which is also used in the annual Project Implementation Review report.

Annex 5: Sample Outline for a Final Evaluation Report for a GEF Project

The sample outline indicates the minimum requirements for the content of a final evaluation report for GEF. These should be adapted and expanded as appropriate to fit specific project circumstances.

Executive Summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

Introduction

- Purpose of evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

The project and its development context

- Project start and its duration
- Problems that the project seeks to address
- Immediate and development objectives of the project
- Main Stakeholders
- Results expected

Findings and Conclusions

A) Project Formulation

- Implementation Approach
- Country ownership/Driveness
- Stakeholder participation
- Replication approach
- Cost effectiveness
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Indicators
- Management arrangements

B) Implementation

- Financial Planning
- Monitoring and evaluation
- Execution and implementation modalities

- Management by the UNDP country office
- Coordination and operational issues

C) Results

- Attainment of objectives
- Sustainable
- Contribution to upgrading skills of the national staff

D) Recommendations

- Corrective actions for the design, implement, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposal for future directions underlining main objectives

E) Lesson Learned

- Best and worst practices in addressing issues relating to relevance, performance and success.

F) Annexes

- TOR
- Itinerary
- List of persons interviewed/consulted & interview questions / topics discussed
- Summary of field visits
- List of documents reviewed
- Questionnaire used, if any, and summary of results

Annex 2: Itinerary

Work began in early June 2006 with the formal evaluation mission starting on 10 June 2006 with the team arrival in Port Moresby. The timetable was as follows:

Prior to formal beginning of evaluation:

Early June E-mail & telephone contact with various stockholders

Port Moresby:

Saturday	10 June	Evaluation Team arrival in Port Moresby; reading materials
Sunday	11 June	Reading materials and team meetings; briefing by CTA; interview staff of ADB Fisheries Project.
Monday	12 June*	National holiday. Reading materials; initial meeting with UNDP CO. Meetings with stakeholders.
Tuesday	13 June	Briefing by Res Rep and Deputy Res Rep, UNDP Country Office; and interview with CI Port Moresby

Milne Bay Province:

Wednesday	14 June	Flight to Alotau at 06:00; welcome and presentation by Governor, followed by a detailed presentation by Project staff until 18:30
Thursday	15 June	Full team Field trip to Maramatana LLG TL & EA Field trip to Garuahi IS Discussions with Provincial Steering Committee
Friday	16 June	TL, EA Visit to Netuli Island and meeting with community IS Discussions with MBPG officials & private sector
Saturday	17 June	Full team Review information & study project documents
Sunday	18 June	Full team Review information & study project documents
Monday	19 June	TL, EA Miscellaneous discussions with Project staff & others IS Discussions with MBPG officials & private sector
Tuesday	20 June	TL, EA Meet with Nuakata resource owners; VET team IS Discussions with MBPG officials & Project staff
Wednesday	21 June	TL, EA Meeting with Misima VETs, LLG reps, Wialoki and Mwanewa resource owners IS Discussions with MBPG officials & Project staff
Thursday	22 June	TL, EA Meeting with Dawadawa resource owners IS Discussions with MBPG officials & Project staff
Friday	23 June	TL, EA By road to East Cape and boat to Nuakata Island IS Discussions with MBPG officials & Project staff
Saturday	24 June	TL, EA, IS Study project documents; Discussions with MBPG officials & Project staff
Sunday	25 June	Full team Reading, writing & misc interviews
Monday	26 June	Full team Discussions with Project staff & statutory bodies
Tuesday	27 June	Morning: Wrap-up briefing to MBPG Administrator and (full team) Directors (09:30-10:30) Wrap-up briefing for Project Staff (10:30-11:45) Afternoon: Obtaining additional reports & final interviews (full team) of Project staff (13:00-16:00) Return to Port Moresby (17:00 flight)

Port Moresby:

Wednesday	28 June	Full team Morning discussion with UNDP CO and RTA re findings; afternoon presentation to national stakeholders (13.00 to 16.00)
Thursday	29 June	Preparation of Interim Report
Friday	30 June	Full team Interim report completed; submitted to UNDP CO
Saturday	01 July	Full team Depart Port Moresby

After departure from PNG:

From 03 - 21 July	Feedback considered & drafting of Evaluation Report
Saturday 22 July	Completion of Evaluation Report

* Members of national Project Steering Committee & key government agencies were unavailable

Note: TL = Team Leader; IS = Institution Specialist; EA = Education & Awareness Specialist

Annex 3: List of Persons and Organisations Consulted

Two hundred people were interviewed in the course of the evaluation. Of these, the majority were on a one-to-one basis and the rest in small groups. Well over 75% were PNG citizens.

1) Persons and Organisations Consulted in Port Moresby

Port Moresby	(10–13 June and 27–30 June 2006)
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UNDP

Ms Jacqueline Badcock	UN Resident Coordinator & UNDP Resident Representative
Mr Jan-Jilles Van Der Hoeven	Deputy Resident Representative
Mr Dirk Wagener	Programme Coordinator
Ms Sultana Bashir	GEF Secretariat, Bangkok <sultana.bashir@undp.org>
Mr Tony Torea	Environment Programme (phone : 689 9555)
Mr John Gacutan	Programme Support Unit
Ms Gwen Maru	Environment Programme (replacing T Torea; 688-6862)

Project Staff

Peter Mackay	Chief Technical Adviser
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Conservation International (Melanesia)

Mr. Gaikovina Kula	Executive Director, Melanesia Program (and member of National Project Steering Committee)
Dr Suzette Stephens	Director for Conservation Science, Melanesia Program

National Project Steering Committee

Mr. Michael Avosa	PNG Country Program Manager South Pacific Program, World Wildlife Fund
Dr. Jane Mogina	Senior Lecture, Biology Department, (former Steering Com.) University of Papua New Guinea; moginaj@upng.ac.pg
Mr. Reichert Tanda	Senior UN Programme Officer, Department of National Planning and Monitoring
Mr Thomas Takahu	GEF Focal Point Officer, Department of Environment and Conservation

Other & Non-Governmental

Mr. Paul Lokani	Country Director, The Nature Conservancy
Dr Lance Hill	Prof of Biology, UPNG
Ms Nancy Ebbes	ADB Implementing Officer, PNG (former CI staff member)
Ms Patricia Kailola	Fisheries consultant, PNG National Fisheries Authority
Mr Garry Preston	Coastal Fisheries Management and Development Project
Ms Ursula Kaly	Environmental Monitoring Adviser, Coastal Fisheries Management and Development Project
Mr Phil Shearman	Director, GIS, UPNG; Phil.Shearman@upng.ac.pg
Dr Linus Digimirina	Head of Social Works Discipline, UPNG

2) Persons and Organisations Consulted in Milne Bay Province

Alotau (14-27 June 2006)

Milne Bay Provincial Government

Mr Tim Neville	Milne Bay Provincial Governor and MP for Alotau
Mr Henry Bailasi *	Provincial Administrator (Head of Public Service)
Directorate of Corporate Services:	
Mr Stephen Gibson **	Deputy Provincial Administrator & Director
Mr Taeva (Trevor) Tarurau **	Principal Advisor, Planning (and formal Liaison Officer between Project and MBPG (from January 2006)
Mr Ida Garo	Principal Advisor, Human Resource Development
Mr Hau'ofa Sailasa *, **	Manager, Works Supervision Unit (former Administrator)
Mr Vincent Onevagi	Tourism Marketing Planner, National Cultural Commission, (on secondment to MBPG but attached to the Project)

Directorate of Economic Services:

Mr Gerega Kila **	Director
Mr Leki Romulas **	Principal Advisor, Agriculture & Livestock
Mr Thomas Peter **	Acting Principal Advisor, Fisheries & Marine Resources
Mr Michael Ova **	Principal Advisor, Education
Mr Jack Purai **	Principal Advisor, Health
Mr Michael Viula	Environmental Inspector / Environment Officer
Mr Ephrame Yaborn **	Principal Advisor, Commerce and Industry
Mr Peter Mark	School Inspector (vocational)
Mr Markan Sale	Liaison Officer (secondary and vocational schools)
Ms Esuva Kuele	Liaison Officer (primary schools)

Directorate of Governance and Community Development:

Mr Nimrod Mark **	Director
Mr Michael Kape **	Principal Advisor, Local Level Government
Mr Wilson Lote **	Principal Advisor, Law and Order
Ms Sunema Bagita **	Principal Advisor, Community Development
Mr Augustine Wampe	Provincial Police Commander

Milne Bay Church Development Fund (grant recipients)

Rev. Lenden Butuna	Chair
Dr Winter Petiliani	Vice chair
Father Shanty Chacko	Board Secretary, Catholic Church representative
Rev. Clyde Igara	Board Member, Anglican Church representative
Rev, Gaubi Gabutu	Board Member, United Church

Milne Bay Province Micro Capacity Assessment Team (UNDP funded)

Ms Susil Nelson	Senior Accountant, PriceWaterhouseCoopers, Port Moresby
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* Member (or former member) of the National Project Steering Committee

** Member of the Provincial Project Steering Committee

2) Persons and Organisations Consulted in Milne Bay Province (continued)

Project Staff in Alotau

Management and Operations:

Mr Peter Mackay	Chief Technical Advisor
Mr Bena Seta	Program Manager
Mr Thomas Olsen	Team Leader, Finance and Administration
Mr Willie Solomon	Manager, Safety and Logistics
Mr Mola Sione	Project Accountant
Ms Cecilia John	Office Assistant

Institutional Strengthening Team:

Mr Geoff Callister	Coordinator / Team Leader
Ms Tamalis Akus	Legal Advocacy Officer (away)
Mr David Kwong	Mapping and GIS Officer
Ms Lyn Raphael *	Legal Advocacy Officer
Ms Lisa Tabogani	Secretary (temporary)
Ms Serena Billy	Field Coordinator / Liaison Officer (former VET)

Community Livelihoods and Development Team:

Mr Mikkel Christiansen	Coordinator / Team Leader
Mr William Lakain	Resource Economist
Mr Jimmy Saoia	Land Use Specialist
Mr Riu Hitolo	Community Fisheries Officer
Mr Fred Sando	Field Coordinator / Liaison Officer (former VET)
Mr Don Taylor	Tourism consultant (formerly AYAD)

Biodiversity Conservation and MPAs Team:

Mr Noel Wangunu	Coordinator / Team Leader
Mr Stanley Wapot	Protected Area Management Officer
Mr Robert Yen	Marine Biodiversity Officer
Mr Jimmy Muraga	Biological Monitoring Officer
Ms Emma Galele	Women and Youth Officer
Mr Cam Hallows *	Protected Area Officer

Education and Community Awareness Team:

Ms Modi Pontio	Coordinator / Team Leader
Mr George Aigoma	Coast Care Officer
Mr George Bukoya	Communications Officer
Mr Nick Alex *	Coast Care Officer

Village Engagement Teams: (VET's are casual employees of the project)

Ivan Legrah	Mary Enuka
Balosi Zeman	Fred Sando
Hau'ofa David	David Tugitalele
Robert Daniel	Thomas Tom
Charlie Graham	

* Australian Youth Ambassador for Development (AYAD volunteer)

2) Persons and Organisations Consulted in Milne Bay Province (continued)

Conservation International (non project)

Mr Bruce Beehler	Vice President for Melanesia, Washington, DC
Mr David Mitchell	CBC, Alotau (former project and PDF B staff)

Schools (associated with the project)

Mrs Emma Leisetta	Headmistress, Ladawa Community School
Mrs Leah Yalingai	Headmistress, Rabe Community School
Ms Jolleth Ben	Year 5 Teacher, Rabe Community School
Ms Melba Nobolo	Headmistress, Lelehudu Community School

Statutory Bodies and Non Government

Mr Peter Tarumuri	GM, MB Magic Tours & board member Visitors' Bureau
Mr Simon Ellis	Education Milne Bay (project contractor; phone: 641 0146)
Mr Jeff Kinch	ADB resource management consultant, Alotau (and former project and PDF B staff; phone: 641 0397)
Mr Timothy Seeto	GM, Alotau Enterprises & Vice Chair of Milne Bay Chamber of Commerce and Industry
Mr Alby Ken	Manager, Milne Bay Micro Finance
Mr Roderick Teto	CI Officer, Milne Bay Micro Finance
Mr Chris Abel	Chairman & Managing Director, Masurina Ltd.
Mr Brian Brunton	Environment Alotau (NGO; env attorney; phone: 641 0343)
Ms Eimi Kigolena	Manager, Milne Bay Tourism Bureau <info@milnebaytourism.gov.pg>

Maramatana Local Level Government

Members:

Mr James Rubeni	President
Mr Alfred Tilaka	Councillor (Porotana Ward)
Mr Gideon Bailasi	Councillor (Keia Ward)
Mr Alphius Garubedidi	Councillor (Awaiama Ward)

Public Service:

Mr Danny Stanley	Area Manager
Mr Clive Aradina	Garuaahi Station Manager/Project Officer
Ms Glenda Mora	Accounts Clerk
Mr Albert Budiara	Assembly Clerk
Mr Marco Noah	Dept of Primary Industries Officer (on attachment)
Ms Esther Stanley	Community Development Officer
Ms Maeline Mumurit	Typist

2) Persons and Organisations Consulted in Milne Bay Province (continued)

Maramatana Local Level Government (continued)	
<u>Village communities:</u>	
<u>Garuahi</u>	
Mr Verna Guise	Counsellor
Miss Alice Bailasi	Counsellor
Mr Gabriel Kareba	Counsellor
Mrs Lorna Gaciato	Community Based Organisation
Mrs Maily	Community Based Organisation
Mr Denzil Warren	Village Elder
<u>Iapoa No. 2</u>	
Mr Oswin Tawowile	Village Elder
Mrs Eileen Gwadima	Counselor
Mrs Nolan Darudi	Fisheries Management Committee
Mr Neddy Cadigan	Village Elder
Mrs Judith Iaupe	Ward Development Committee
Mrs Norah Gosen	United Church Women's representative
Mr Lucian Keith Idem	Land Mediator
Mr Washington Dilolai	Ward Development Committee
Mr Dudley Bagorai	Village Recorder
Mr Cyprian Wakuwakuri	Village Elder
Mr Lowen Goto	Fisheries Management Committee
Mr James	Village Peace Officer
Mr Wilkinson Goto	Village Elder
Mr Simon Daule	Village Elder
Mr Allan Sagi Rubeia	Village Recorder
Mr Elvis Sinoni	Fisheries Management Committee
Netuli	
<u>Village community:</u>	
Mr Frank Bailasi	Mrs Anna Basana
Mr Omeri Basana	Mr Simon Daule
Mr James Tawowile	Mr Jerico Diliko
Mr Itopele Selwin	Mr Heilie James
Mr Gibson Oure	Mr Ezekiel Tawowile
Mrs Mary Luke	Mr Dudley Bagorai
Mrs Judith Iaupe	
Nuakata (met in Alotau)	
<u>Members:</u>	
Mr. Ambros Deilala	Community Leader
Mr. Jasper Eric	Land Mediator
Mr. Demoi Albert	WDC Member
Mr. Wilson Jonathan	Health Committee
Mrs. Malaia James	Village Elder
Mrs. Ruthy Mesigai	Community School Committee
Mrs. Maria Noah	Health Committee

2) Persons and Organisations Consulted in Milne Bay Province (continued)

Nuakata (additional members met at Nuakata)	
Village community:	
Mr Manoa Elekana	Agriculture Committee
Mr. Isikeli James	NGO Committee
Mr. Oleni Mata	NGO Chairman
Mr. James Noah	Agriculture Committee
Mr. Duncan Anthony	Community Elder
Mr. Emasi Sakiusa	Youth President
Mr. Paul Diawasa	NGO Committee
Mr. Mathew Lemeki	Community Member
Mr. Nelson	Community Member
Mr. Isowa Noah	Sunday School Teacher
Mr. Rev Wilson Madiu	United Church Minister
Mr. Sesei	Nuakata Community School Head Teacher
Mrs. Patricia Noah	Women Fellowship Secretary
Mrs. Lynnette Wiliki	Agriculture Committee
Hutu Local Level Government	
David Israel	Councillor, Lower Dawadawa
Simon	Education Chairman, Lower Dawadawa WDC
Elizah	Economics Chairman, Lower Dawadawa WDC
Helen Daguela	Leader, Hihyaola sub-clan
Rupert Welehidi	Leader, Gwagwabu sub-clan
Maino Sese	Representative, Taladiu sub-clan
Frank Milio	Leader, Lolofa sub-clan
Louie Billy	Leader, Sabasaba sub-clan
Kiran Paul	Leader, Hiyai Dulia sub-clan
Costa Gorio	Gwagwabu/Modewa
Palaimo Omisuh	Gwagwabu/Modewa
Alotau Local Level Government	
Mr Sanori Elliot	Manager Alotau LLG
Elsewhere	
Village communities:	
Paul Faiteli	Lelehudi Community leader
Labeli Selubi	Mwanewa Resource Owner
Marida Ginisi	Wiyaloki Resource Owner
LLGs:	
Enoka Waukosi	Executive Officer Lousiade LLG
Kuli Ben	Louisade LLG
Eliot Kasiyatala	Louisade LLG
Manasa Rome	Bwanabwana LLG

3) Persons and Organisations Consulted Outside of Papua New Guinea

Communications were primarily electronic or by telephone

Between 5 June and 15 July 2006	
Mr Jeff Liew	Pacific Regional Sustainable Livelihoods Specialist, UNDP Pacific Sub Regional Centre, Fiji <eshdp@undp.org>
Mr Barry Lalley	Bismarck Ramu Group, Madang <barry@dg.com.pg>
Mr Aaron Jenkins	Senior Programme Officer, Wetlands International, Fiji (& Madang) +679 323 2979 <apjenkins@wetlands-oceania.org >
Mr Stuart Chape	Island Ecosystems Programme Manager, SPREP, Samoa <stuartc@sprep.org>
Ms Sue Le Mesurier	Community Assessment Participation Specialist, SPREP, Samoa <suem@sprep.org>
Mr Peter Watt	ADB Coastal Fisheries Management and Development Project <pgd_watt@yahoo.ca>
Ms Greta Kwasnicka Todurawai	President, Milne Bay Chamber of Commerce and Industry <grettak@daltron.com.pg> (by e-mail from UK)
Mr Julius Violaries	Nawae Construction Company
Mr John Gonapa	Conservation Melanesia (and former project staff)
Mr Simon Foale	SMIP, Australian National University
Mr Tim Clairs	UNDP/GEF secretariat (formerly responsible for the project) <tim.clairs@undp.org>
Mr Colin Filer	SMIP, Australian National University

Annex 4: List of Documents Reviewed

This is an incomplete illustrative list of documents that were read in part or full during the preparation of this evaluation. Many Project reports were prepared or finalised early during the project (i.e. from December 2003) based on earlier drafts written during the PDF B phase. It is not always possible to distinguish between late PDF B and early project documents.

Project staff provided a DVD containing about 470 documents to the evaluation team. There are somewhat fewer distinct documents, as there are duplicates and different versions of the same report. Not all reports are included in this list but a copy of the DVD has been made available to UNDP Port Moresby and the UNDP GEF Secretariat in Bangkok.

Finally, the team had access to numerous internal CI, UNDP and Project notes and memoranda, totalling about 50 documents in total. These are not included below.

1) Project-related documents and reports: prior to January 2004

- CBC&MC project, 2003 National Project Steering Committee Report for July
- CBC&MC project, 2003 Project Progress Report for July to December
- CBC&MC project, 2003 Provincial Project Steering Committee Report (July)
- CBC&MC project, undated Project Inception Report for PDF B phase (PNG/99/G41; prepared by Gaikovina R. Kula, David Mitchell and Bena Seta; prob. early 2003)
- CI, 2000 A Rapid Marine Biodiversity Assessment of Milne Bay, Papua New Guinea – Survey II 2000 (RAP Bulletin of Biological Assessment No. 29)
- CI, 2001 Below The Surface: Coral Reefs in Papua New Guinea , A Teacher’s Manual (draft; PDF B phase; PNG/99/G41)
- CI, 2001 Community-Based Coastal and Marine Conservation in Milne Bay Province (Prospectus for a Joint Project of UNDP, CI, GoPNG, GEF; June)
- Education Milne Bay, 2003 Community Trainer Workshop (Report of Workshop of 30 June – 4 July 2003)
- UNDP, 1997 Environment Programming Mission to Papua New Guinea (prepared by Piddington, K., Baines, G., Barry, G., and Huber, M)
- UNDP, 2000 Proposal for a GEF PDF Block B Grant for Community-Based Coastal and Marine Conservation in Milne Bay Province (December)
- UNDP, 2001 Community-based Coastal and Marine Conservation in Milne Bay Province (Project Brief)
- UNDP, 2002 Community-Based Coastal and Marine Conservation in Milne Bay Province (Project Document; September)
- UNDP, 2006 Milne Bay Project Monitoring and Evaluation Activities (Port Moresby)

Awareness pamphlets in English:

(In all languages, all pamphlets are dated Nov. 2002 so drafts clearly prepared during PDF B phase)

- CBC&MC project, 2002 Beche-de-mer
- CBC&MC project, 2002 Clam (November)
- CBC&MC project, 2002 Coastal and Offshore Fishing Area
- CBC&MC project, 2002 Generalised Life Cycle of Marine Turtles
- CBC&MC project, 2002 Mangrove
- CBC&MC project, 2002 Mudcrabs
- CBC&MC project, 2002 Rubbish
- CBC&MC project, 2002 Shark

CBC&MC project, 2002 Trochus
CBC&MC project, 2002 Turtle
CBC&MC project, 2002 Use of Lead for Beche-de-mer Fishing

Awareness pamphlets in the Misima language:

CBC&MC project, 2002 Beche-de-mere, Beche-de-mere Processing, Beche-de-mere Restrictions, Beche-de-mere Size Limits (3 pamphlets)
CBC&MC project, 2002 Fisheries and Fauna Acts
CBC&MC project, 2002 Mangrove
CBC&MC project, 2002 Mudcrabs
CBC&MC project, 2002 National Beche-de-mer Management Plan of 2001
CBC&MC project, 2002 Organic Law
CBC&MC project, 2002 Rubbish
CBC&MC project, 2002 Shark
CBC&MC project, 2002 Trochus
CBC&MC project, 2002 Turtle

Awareness pamphlets in Tewale language:

CBC&MC project, 2002 Beche-de-mere
CBC&MC project, 2002 Mangrove
CBC&MC project, 2002 Mudcrabs
CBC&MC project, 2002 Shark
CBC&MC project, 2002 Trochus
CBC&MC project, 2002 Turtle (2 pamphlets)

Awareness pamphlets in the Tubetube language:

CBC&MC project, 2002 Beche-de-mere
CBC&MC project, 2002 Crab (2 pamphlets)
CBC&MC project, 2002 Mangrove
CBC&MC project, 2002 Seagrass
CBC&MC project, 2002 Shark
CBC&MC project, 2002 Trochus
CBC&MC project, 2002 Turtle

Stock Assessment Results

(Drafts dated in late PDF B phase; final reports in December 2002)
Stock Assessment Results for the Councillors of Bwanabwana Rural LLG
Stock Assessment Results for the Councillors of Luisiade Rural LLG
Stock Assessment Results for the Councillors of Yeleamba Rural LLG
Stock Assessment Results for Trobriand Islands
Stock Assessment Results for the Woodlark Island Fishermen's Association

Community Resource Profiles

(Drafts dated in late PDF B phase; final reports in December 2002 with translation to local language)
Community Resource Profiles for Brooker Island
Community Resource Profiles for the Deboyne Islands
Community Resource Profiles for Engineer Group, including Dawson & Anagusa Isl
Community Resource Profiles for Nuakata, Iabam and Pahilelele Islands
Community Resource Profiles for Ware Island

2) Project-specific documents and reports: January 2004-June 2006

- ANU, 2005 Sharks, Sea Slugs and Skirmishes: Managing Marine and Agricultural Resources on Small, Overpopulated Islands in Milne Bay, PNG (draft by Simon Foale for SMIP component, October)
- CBC&MC project, 2002 Community Entry Patrol # 1: August 31 To September 28 2002 Alotau Team (with Patrol # 1 Report - Samarai Team)
- CBC&MC project, 2003-2005 UNDPGEF Financial Reports (Excel spreadsheets):
UNDPGEF Financial Report 2003 Original (prepared in early 2004)
UNDPGEF Financial Report Jan-March, April-June, July-Sept & Oct-Dec 2004
UNDPGEF Financial Report Jan-March, April-June, July-Sept & Oct-Dec 2005
UNDPGEF Budget 2005 with Actual Expenditures to December
UNDP - Status of Project Funds Utilization thru Dec 05
CI Matching - Parallel Funds 202 through Quarter 1 of 2006
UNDPJHDTF Financial Report Jul-Sep 2005 & Oct-Dec 2005
UNDPTRAC Financial Report Oct-Dec 2004 - Revised
UNDPTRAC Financial Report Jan-March, Apr-Jun, July-Sept & Oct-Dec 2005
– all Revised
- CBC&MC project, 2004 Annual Project Report for 2004 (Project PNG/02/G31)
- CBC&MC project, 2004 Briefing Note from the May 24, 2004 Netuli Island MPA awareness workshop
- CBC&MC project, 2004 Draft Project Inception Report (PNG/02/G31/A/IG/71; March)
- CBC&MC project, 2004 Final Project Inception Report & 2004-2006 Workplan (PNG / 02/G31/A/IG/71; revised incorporating inception workshop results; July)
- CBC&MC project, 2004-05 Project Progress Reports:
July-Sept 2004, Oct-Dec 2004; and July-Sept 2005
- CBC&MC project, 2004-2005 National Project Steering Committee Reports:
November 2004; May 2005; and November 2005
- CBC&MC project, 2005 Annual Project Report / Project Implementation Review (APR/PIR) for 2005 (Project PNG/02/G31; July)
- CBC&MC project, 2005 Community Coast Care Management Program, 2005 – 2007
- CBC&MC project, 2005 Management and Community Development Options for a Marine Protected Area in the Netuli Island Area of the Milne Bay Province. Papua New Guinea (November)
- CBC&MC project, 2005 Nuakata, Iabam and Pahilele Island Spawning Aggregation Site Confirmation (October)
- CBC&MC project, 2005 Report on Milne Bay Vocational School Teachers In- Service Training 3rd-7th October, 2005
- CBC&MC project, 2005 Results of the Nuakata Marine Surveys (April)
- CBC&MC project, 2005 Samarai Patrol # 08 Report, 25 July –28 August
- CBC&MC project, 2005 Sea Matana Wasa (Project newsletter; ssue 2 May-July)
- CBC&MC project, 2005 Sub clan history and land records(Example for Clan: Houlana. Sub-clan: Beluti. Area: Lauadi land & marine area. Ward: Guga. LLG: Maramatana; September)
- CBC&MC project, 2006 Community Options Paper For The Nuakata, Iabam And Pahilele Area (May)

- CBC&MC project, 2006 Concept Paper: Legal Gazettal and Management of Community-Managed Marine Areas in Customary Marine Waters in Milne Bay (Draft; June)
- CBC&MC project, 2006 Milne Bay Turtle Management Strategy 2006-2012 (Strategic Plan Draft 1; June)
- CBC&MC project, 2006 Performance Assessment Plan for Community-Managed Marine Areas in Milne Bay Province (first draft; June)
- CBC&MC project, 2006 Preliminary Assessment of the Status of Dugong Population in Samarai, Milne Bay Province (January)
- CBC&MC project, 2006 Province wide Habitat Map (draft)
- CBC&MC project, 2006 Response to the Interim Evaluation Report from the Milne Bay Project Team (Alotau; dated 30 June but finalised about 10 July)
- CBC&MC project, 2006 Subclan history and land records (33 page questionnaire; June)
- CBC&MC project, 2006 Summary of the Activities and Results Achieved by the Milne Bay Community-based Coastal and Marine Conservation Project (Draft; 26 June)
- CBC&MC project, undated Coastcare Program and Works
- CBC&MC project, undated Community Engagement As A Tool To Support Conservation Outcomes In Milne Bay, Papua New Guinea
- CBC&MC project, undated Terms of Reference for Provincial Project Steering Committee (apparently 2003)
- CI, 2004 UNDP Financial & Compliance Examination and Financial Statement for November 29, 2002 to December 31, 2003 (with Independent Auditors' Report and Independent Auditors' Reports on Compliance and Internal Control)
- CI, 2005 Schedule of Rates for Project Staff (Port Moresby & Alotau (December)
- CI, 2006 Response from Conservation International on Independent Review Interim Report on Milne Bay Marine Program (letter from Bruce Beehler; Washington DC; 18 July)
- CI/MBPG, 2006 A Collaborative Framework between MBPG Executing the Government Component of Activities and Conservation International Executing the Donor Component Activities (January)
- Education Milne Bay, 2005 Training Needs Assessment: Strategic Training Framework and 2005 Training Assistance Program (prepared for the CBC&MC project; February 2005)
- PWC, 2005 Management Letter & Audit Report of the Milne Bay Biodiversity Conservation Project (*draft*; Port Moresby, April)
- PWC, 2006 Management Letter & Audit Report of the Milne Bay Biodiversity Conservation Project (*draft*; Port Moresby, May)

3) Other Conservation International documents and reports:

- CI, 2002 CI Melanesia Operation Manual (first draft; Port Moresby, May)
- CI, 2004 Finance Manual (Washington, DC; January)
- CI, undated CI External Grant Policy (Port Moresby)
- CI, undated Melanesia Center for Biodiversity Conservation (Fact Sheet; Wash., D.C.)

4) Government of Papua New Guinea documents and reports:

- GoPNG, 2004 The Medium Term Development Strategy 2005-2010
- GoPNG/UNDP, 2004 Millennium Development Goals: Progress Report for Papua New Guinea 2004
- MBPG, 2000 Provincial Development Policies 2001-2010 (Alotau; December)
- MBPG, 2006 Provincial Development Policies 2006-2015 (Alotau; revised May)
- MBPG, undated Approved Functional Structure; Milne Bay Administration and Vacant Positions (Alotau, apparently mid 2006)

5) Other documents and reports:

- GEF, 2003 Guidelines for Implementing Agencies to Conduct Terminal Evaluations (Revised and Final; May)
- GEF, 2003 Measuring Results of the GEF Biodiversity Program (GEF Council No. GEF/C.22/Inf.7; October)
- GEF, 2003 Review of Financial Arrangements in GEF-Supported Biodiversity Projects (Monitoring and Evaluation Working Paper 11; June)
- GEF, 2004 Guidance on the Development of Projects under Strategic Priority BD-1 – Catalyzing the Sustainability of Protected Areas (UNDP GEF Biodiversity Advisory Note; Draft 1; March)
- GEF, 2005 GEF Biodiversity Strategic Priority 2 (BD2) (UNDP GEF Biodiversity Advisory Note; Version 1; March)
- GEF, 2005 Monitoring and Evaluation Policies and Procedures (main document plus 12 annexes; 2002 with updates in 2004 & 2005)
- GEF, 2005 The Role of Local Benefits in Global Environmental Programs:
Part One: Nature and Conclusions of the Study (and Management Response)
Part Two: Study Findings (and Technical Response)
(GEF Office of Monitoring and Evaluation, November)
- GEF, 2006 GEF Impact Evaluations: Initiation and Pilot Phase – FY06 (Approach Paper by David Todd and Josh Brann, GEF Evaluation Office; February)
- GEF, 2006 Indigenous and Local Communities and Biodiversity Conservation (brochure)
- GEF, 2006 The GEF Monitoring and Evaluation Policy (3 February)
- GoPNG, 2004 The Medium Term Development Strategy 2005 – 2010 (Our Plan for Economic and Social Advancement; November)
- GoPNG, undated Facts about Milne Bay (downloaded from:
<http://www.milnebaytourism.gov.pg/facts.html>)
- IUCN/WCPA, 1998-2000 Best Practice Protected Area Guidelines series (series editor Adrian Phillips):
No. 1: National System Planning for Protected Areas (1998);
No. 2: Economic Values of Protected Areas: Guidelines for PAs (1998);
No. 3: Guidelines for Marine Protected Areas (1999);
No. 4: Indigenous and Traditional Peoples and Protected Areas: Principles, Guidelines and Case Studies (2000);
No. 5: Financing Protected Areas: Guidelines for Protected Area Managers (2000);
No. 6: Evaluating Effectiveness: A Framework for Assessing the Management of Protected Areas (2000)
- SCBD, 2004 Integrated Marine and Coastal Area Management (IMCAM) Approaches for Implementing the Convention on Biological Diversity (Secretariat CBD Technical Series No. 14; January)

- SCBD, 2004 Technical Advice on the Establishment And Management of a National System of Marine and Coastal Protected Areas (Secretariat CBD Technical Series No. 13; January)
- SCBD, undated Biological Diversity and Tourism: Development of Guidelines for Sustainable Tourism in Vulnerable Ecosystems
- UNDP, 1998 Procedures for National Execution (New York, February)
- UNDP, 2001 Managing for Results: Monitoring and Evaluation in UNDP, A Results-Oriented Framework (UNDP Evaluation Office, New York, November)
- UNDP, 2002 Handbook on Monitoring and Evaluating for Results (UNDP Evaluation Office; June)
- UNDP, 2004 Millennium Development Goals: Progress Report for Papua New Guinea (UNDP with Government of Papua New Guinea)
- UNDP, undated Participatory Monitoring and Evaluation: Approaches to Sustainability: Learning, Ownership and Better Management (Thematic study; UNDP/GEF Bureau for Development Policy)
- WB, 2002 Building Biodiversity Governance Through Stakeholder Participation (Précis No. 228, Operations Evaluation Department)
- WWF, 2005 Marine Protected Areas: Benefits and Costs for Islands
- WWF, undated Creating Networks of Marine Protected Area
- WWF, undated Marine Protected Areas: Providing a Future for Fish and People

Annex 5: Illustrative Statements by Interviewees Regarding the Project

The evaluation team interviewed 200 people in June – July 2006. The following statements were made by those who were personally interviewed or who communicated by e-mail or telephone. They illustrate the range of views expressed to the team during the evaluation exercise and reflect the percentage of positive and negative statements made. In some cases the words have been edited slightly for clarity or brevity but the statements are accurate representations of what was said. Some views expressed could have been listed under different categories. Individuals are not identified as the information was provided in confidence.

It is very common for people to conflate ‘CI’ and the project; they tend not to be distinguished. Where those interviewed were clearly referring to the project when they said CI, we have changed the wording to ‘project’.

Overall View of the Project	Speaker
Many staff are my friends but I am sorry to say that the overall image of the project in Milne Bay is not positive.	Local businessman
We support the project aims but not its implementation. (Similar statement from more than twenty people.)	MBPG PA
It is a very, very good project. It is addressing the key issues we need to address if Milne Bay is to develop sustainably for our people	Expatriate businessman
Big cars, fancy office, lots of talk but nothing to show for it (Similar statement from more than a dozen people.)	MBPG PA
I am embarrassed when I walk down the street. If this is the UNDP style, I am ashamed to be part of it and would not want to work with a UNDP project again.	Local project staff
Is this the way UNDP operates in other projects? Big expensive meetings for the elite? Sometimes I am ashamed to be associated with UNDP.	Another local staff member
When I read my letter about evaluation I joked “What! Evaluate words or actions?”	Ward Councillor
CI was clearly aware of serious problems with the project by early 2005, fully 18 months ago, but they seemed to be unwilling or unable to do anything positive.	NPSC member
It is a great project in concept. We really need it. (Commonly expressed)	Various MB residents
The only thing which will save this project is the forgiving nature of Milne Bay people	Local project staff
It is a really good project but badly managed.	Senior MBPG staff

Notes: MBPG PA = Milne Bay Provincial Government Principal Adviser
NPSC = National Project Steering Committee

Main successes of the project?	Speaker
There has been a clear improvement internationally and nationally of the Alotau marine conservation profile. At the local level community awareness has been raised, some bad practices (for example cyanide fishing) reduced, and a ban was imposed on live fish trade in the province. These are real accomplishments.	CI staff
There have been excellent communications at the political level within the province and this establishes a good foundation for future success by the province	Local private sector observer

Main successes of the project? (continued)	Speaker
The VET training under Modi was very good. We learned far more from her than through the EMB course. (Similar statements from a number of VETs)	VET
By far the biggest benefit has been the communications network that the project supports and we share with the project. It has helped us immensely.	MBPG PA
The genealogical work and the way it is being used to develop appropriate management mechanisms for local tenure. The basic social structure is mapped out, lowering disputes.	Project staff
The successes are more potential than actual but could be significant. The project's tourism work could provide a small but significant income to villages through guesthouses, handicrafts, performances, etc. It is at the stage where it could lift off., especially if there are international flights to Alotau	Former staff member
It's not so much success as being very close to success with the community managed marine areas. It can be hard to see the positives through all the mess but we really are very close with some CMMAs.	Project staff member
There has been a ban on live fish exports from Milne Bay and the project should get some of the credit. After a shaky start, the project has also been effective in reducing overexploitation of beche-de-mer.	CI staff member
The management models have been developed after very extensive consultation at community, Ward, and local level government level, especially the LLGs. This provides a solid foundation for local management.	A Project Team leader

Main Problem Areas of the Project?	Speaker
There are two major problems at provincial level. One, there has been no real effort at building provincial government capacity to manage this sort of project. Two, and this is related to the first point, the project has essentially established a parallel government, carrying out in isolation many of our functions. This angers me.	MBPG PA
The major problems identified with the engagement of the community-at-large (i.e. not the communities targeted by the project), including the business and NGO's in Milne Bay is the perceived arrogance of the management teams and their reluctance to co-operate with people they do not like. The lack of support given to the Provincial Tourism Bureau and to the manageress there in particular was very distressing to witness, not only by the business community but also by the people of Milne Bay	Expatriate businessman
Problems began with the tremendous pressure to spend. I don't know if this came from UNDP or CI or internally at project level but it badly distorted our work	National project staff
The project approach is to spend whatever is needed to get the job done, even if the job is unclear	National project staff
Lack of consultation, that's the thing. I know the project is very active, very busy because we share a communications network and I listen to people going here and there all the time. But this is the only way I have some idea what they are doing.	MBPG PA
No clear focus. It is like a car speeding along with no clear destination and no brakes, with sudden changes in activities depending on the last person to come in and talk to senior management.	National project staff

Main Problem Areas of the Project? (continued)	Speaker
I think it is lack of clear priorities. I really don't know what my priorities are. The work plan looks good but it is a joke.	National project staff
There is not enough effort to genuinely cooperate with local people who should be counterparts. I know we have some people who are all talk and no action. They are not effective. They have their own agendas. We have some strong personalities who are not so easy to work with. The project must work with our key people. It was a bad mistake to alienate them because the bad feelings spread far beyond the individual in such a small place. And I don't mean just one incident or person.	MBPG PA
One of the worst impacts has been the impact of the influx of outsiders on rentals. House rents have really shot up.	Local resident
The Inception Report is a big part of our problems as it reflected the views of one person, not the steering committee or CI.	CI staff member
The lack of any control by CI is the main problem. They could not manage the project leadership so they gave the project a blank cheque to do what it wanted with no interference from CI in Port Moresby or Washington.	CI staff member
There is constant tension between the teams and project management. How did Netuli get picked up? Why are we in Goodenough? How did Dawadawa come up 6 months ago? Where should we work? What is our focus? There is too much focus on livelihood at provincial, rather than community, level. There has been tension over the reef surveys and the top-down options papers. A key problem is that ultimately we have limited say in project methodologies or areas of work concentration.	A Project Team leader

Transparency of Project Activities	Speaker
I don't understand why all these big grants go to private companies and so-called NGOs that were actually set up by the project, not the community. Why is there nothing much for working directly with, and through, the provincial government structures?	MBG PA
It was generally accepted that the senior management colluded with senior provincial politicians to carry on their own agenda, with very little transparency. While I do not believe that this was seriously the case, the fact is that a lot of people believe it to be so.	Expatriate businessman
We signed contract with the project and have worked very hard on the activities. We are delivering. We're eager to continue but they have not provided the payments promised and we are financially desperate. We have hired someone to coordinate the work. He has resigned from UNITECH in Lae but now we cannot pay him. This is embarrassing. We are concerned, very concerned, that the project may not live up to their agreement as we hear many stories of broken promises.	Church minister
There is none. ... we are like mushrooms kept in the dark and fed bull****t.	Project staff
You should investigate the use and abuse of finances. For example there are strong rumours that project staff and wives are shareholders in Education Milne Bay and this is wrong.	LLG official

Transparency of Project Activities	Speaker
The villagers say, “You CI come and act as politicians, making promises you don’t deliver”	Local project staff
There is no transparency. Start by publishing all contractual agreements between CI and UNDP with the MBPG and all accounts of monies allocated and spent on the project.	Local resident

Technical Backstopping by Conservation International	Speaker
I have never had a response ever from CI Washington on any e-mailed request, on any topic. I gave up after 10 or 15 times. There is no backstopping from CI.	Project staff
I requested information on how CI adapts standard GIS techniques for marine specific maps. There was never any reply from them, which was really disappointing, as I understood that was part of their function.	National project staff
I was able to get a useful CI report on nature-based tourism from the web but that was just luck. No one at CI responded to my requests for information.	Former project staff
One of my colleagues tried a few times to get CI to provide some guidelines or sample materials suitable for our environmental awareness work but gave up after the lack of anything back from CI	National project staff
Until 2006, the project was charged 15% of the cost of one the CI staff from the CBC (Melanesian Center for Biodiversity Conservation) and he provides technical advice and support to the project	National project staff
One of the CBC staff is supposed to provide technical backstopping but he has never done so.	National project staff

Work plans	Speaker
How can our team plan work if we don’t know how much money has been allocated for our work?	A Project Team leader
In early June we were told to prioritise whatever would look good to the evaluators. That’s our work plan!	National project staff
I am used to working within clearly defined priorities with clear budget limitations. Both have been lacking here.	National project staff
All of the project work plan activities should have a clear capacity building component with the provincial government or LLGs. I do not believe they have this.	MBPG PA
We have work plans worked out at team level but my work is often disrupted. I get distracted when one of the senior staff says, ‘do this today’ but usually it is not something which is a priority.	National project staff

Is work-planning a joint effort of Project and MB Provincial Government? To what extent Does the Project Genuinely Work with the MBPG?	Speaker
For each position there must be a counterpart. ‘... not UNDP, not a CI project .. but Government’ project	UNDP *
We work largely in isolation from the provincial government	A Project Team leader
The project management does not listen to us. They never took the time to learn how the provincial government system works and have not tried seriously to work with us.	Senior MBPG staff member
We tried to work physically with the provincial government by repairing some of their buildings and locating there. CI refused, saying it was due to donor restrictions on how we could spend money.	Senior project staff member
The projects non-MPA activities are not consistent with our sectoral plans. We have a provincial plan but it is not used to guide the project at all	Senior MBPG staff member
It is difficult in practice When we invite provincial government staff to accompany us and work together they often insist on a payment of kina 50 or 80 per day, even if we meet all transport & food costs. They love to complain about the project but the local staff do try to work with them. The problem is as much with the government as with the project.	Local project staff member
The MBPG is a separate entity from us. There is no mandate for us to go down the line in planning with them. We provide them with quarterly reports and have an open door policy. We deal with them at the PA level, not below because this would interfere with the PA’s jurisdiction. For better cooperation and coordination we should employ a full time liaison officer.	Senior project staff member

* UNDP/GEF and UNDP/Port Moresby respectively from final Inception Report

<u>Regarding Allegations that Project is buying conservation</u>	Speaker
The CI emphasis on hard-core biodiversity and incentives has threatened us. A cargo cult is being constructed. If CI expects us to follow the party line on incentives, they need to offer practical advice, not criticism of us. We are <i>very</i> critical of CI’s financial incentive approach.	A Project Team leader
Most of the time they go here and there. If they can drive around in flashy cars why can’t they give the 4,000 kina they promised for water piping?	Ward Councillor
Exchanges are common in Melanesia. I feel we have found a decent balance. We are not buying conservation	Senior Project staff

Comments on the Project Design, Project Document, etc.	Speaker
There was lots of time and resources, a strong engagement team, lots of community consultation, and a solid project design. However, we underestimated the cost of carrying out the work.	CI staff
The Inception Report spreads our efforts too thinly but it is far more clear than the muddled project document.	A Project Team leader

Comments on the Project Design, Project Document, etc. (continued)	Speaker
The Project document is actually quite good. The goals were achievable within the time and financial resources that were available. Six community-managed MPAs in 5 years was achievable. It has been done elsewhere in PNG and could have been done in Milne Bay. But this does depend on what CI and UNDP will accept as a legitimate MPA.	National steering committee member
The project design was very good. There was lots of good work during the PDF B phase and solid, professional and analytical input in the project design.	CI staff member
The prodoc is so huge! It put us off and we never really read it or assimilated it.	MBPG PA

Effectiveness of the Project Steering Committee(s)	Speaker
[Senior management] runs the provincial committee. As far as I know, it has not met in about 18 months.	Project staff
Is there a provincial steering committee?	Project staff
I was a national PSC member but never received any minutes or report prior to the next meeting. The composition must be improved and its decisions must be acted upon. There were too many uninterested or just busy civil servants as members and not enough outside or technical people.	Former national PSC member
The national PSC ToR are in the prodoc and are clear. However, there was never any committee leadership so it has been ineffective. The follow-up by the PSC is simply not there.	National PSC member
It does not function. Develop a steering committee with 'real people', real civil society participation.	Alotau resident
Are there terms of reference for the committee? I am a member but have never seen the TOR although I asked for them.	National PSC member
The national PSC was brainwashed by the project. It was an ineffective rubber stamp.	Former project staff

Monitoring and Evaluation	Speaker
UNDP has failed utterly at this. How could they possibly provide a rescue package in 2006 without any investigation of the reasons for our problems?	Project staff
There was nothing ever resembling a Tripartite Review. The national PSC pretty much listened to the project management and did not seriously function as a review body.	A Project Team leader
There is normally internal M&E by CI but in this case we failed. We were stumped and we are culpable	CI staff

Financial Management	Speaker
I am called a team leader but I have never been given any idea of my budget for activities despite requests. How can I plan my work? I am told to just go ahead and the money will be there.	Project staff
I feel sorry for the financial manager. He is not given copies of contracts and is often surprised at invoices for things he doesn't know about.	Project staff

Financial Management	(continued)	Speaker
Just do your work. If we run out of money we'll tell you.		Senior project management
It was never clear to us whether CI small grants were part of CI parallel funding or additional. This was a grey area. We were never sure what money we had to spend		Senior project staff
I was worried when we treated CI small grants as additional money because I never saw anything from CI to indicate that this was extra funding.		A Project Team leader
The project approach is to spend whatever is needed to get the job done, even if it is the wrong job		Project staff
The steering committee debated financial management issues several times. We had these fears early on that project management wanted expediency in spending, not the rationale use of funds. Project decisions on big spending were made in isolation from the provincial government and this offended many people.		National steering committee member
The CTA has full financial authority. The project staff have obligated huge sums without any vetting by the financial people		CI staff member

I would have left the project some time ago but I don't want people to say I abandoned a sinking ship. I am from Milne Bay and feel an obligation to help make it work.		National staff member
Staff morale has been low for some time. Why did UNDP wait so late to evaluate us? They should have known about this long ago.		National staff member
I am from Milne Bay and have come to love my work so much. We depend on the sea and need to understand the resource and how to sustain it. I love this work wholeheartedly and I'm so lucky I've had the chance to learn so much from the dim dims (expatriate staff) and especially my local colleagues. I definitely want to remain with the project next year. However, I am unhappy with our top-down approach at community level and these complicated options reports. How can Netuli people possibly understand it?		National staff member
For me the past two years here have been very exciting. Despite my concerns about many things, I'd sign another contract now if it were offered. I remain committed to the goals of this project. Too much pointing of fingers just hurts what we can do from now on, on the ground.		National staff
I am happy working here. I came for family reasons and the nature of the project, not the money. My moral outlook is consistent with what the project is supposed to do. If it continues, I want to stay and help to improve its' results		National staff member
Can I now ask you a question? Can you give me some encouragement? Can you suggest any reason I should stay with this project?		Australian volunteer
I came with very high motivation but it is not as I expected. There have been heated arguments but this does not result in any changes.		National staff

Staff Morale	(continued)	Speaker
CI talks so much about poverty alleviation and treating people fairly but we are paid less than the poverty line. They do not care about us.		VET
After talking to senior management, I just want to bang my head against the wall. The local staff are great. We could do so much quickly and cheaply if we were allowed to, and this is so frustrating		Volunteer staff member
I am somewhat vexed at the situation. We are not doing the small-scale inexpensive sustainable stuff. Local staff are losing their motivation as they are good sharp people who not listened to.		Project staff
I was offered another position – a good one – several months ago but refused because I believe in the project’s goals. However, I am very disillusioned at the way experienced national staff are ignored and sidelined. I stay from a feeling of obligation		A Project Team leader
Morale is low. Communications and cooperation between teams is hopeless. There are no discussions arranged to share ideas. There is a serious lack of respect for people’s professional abilities among the senior management.		Local project staff
I really like my work and would like to stay on after November. I get frustrated but my morale is good		Local project staff

Community and LLG Engagement		Speaker
We ran the thin line of conflict of interest regarding land disputes ... but the provincial administration actively encouraged us to facilitate the Netuli dispute.		A Project Team leader
We have in general not built on indigenous knowledge and real community consultations although we have done far better in some communities than in others.		A Project Team leader
I think it is inconsistent. We talk to team leaders about community issues but no feedback from most of them. The next trip, we raise new issues without resolving the old ones. It is confusing for us and for them.		VET
The community entry processes that work in PNG were completely ignored by the project from 2004.		CI CBC staff member
The assistance we provided to Nuakata was very good, a bush oven and poultry raising. But it may be a dead end as they have other stronger commitments. They don’t really help the community.		Local project staff
We are not assessing community livelihood opportunities but family or clan opportunities such as guest houses, improved fishing or copra production. This won’t improve chances of a sustainable MPA. Also some of our ideas are practical but most will require a high degree of ongoing subsidies		Local project staff
The project informs us but does not really work with us. However, what they do is consistent with our own goals for development.		LLG official
I have been very reluctant to involve myself in land mediation and cannot justify it merely because my boss told me to do it.		Local project staff

Community and LLG Engagement (continued)	Speaker
CI tends to push its ideas but they also listen to the community. The project could accomplish a lot more cheaply if they worked more closely with LLGs and stopped all this empire building.	LLG official
I am not directly involved but I feel it is not our role to solve land disputes or carry out genealogy studies. With the mining industry precedence in Milne Bay, involvement in these areas leads to greater expectations of payouts. That is very obvious to me.	Local project staff
I don't like the flip charts we use in communities. The English is too technical but we were told not to revise them for village level comprehension	VET

Miscellaneous Comments	Speaker
I value [the Australian volunteer] who has taught me a lot. We complement each other well.	Project staff
The tourism industry is essentially anti-project. We really tried very hard to work with them but it has been impossible	Project staff
After more than ten years, I am unsure why CI is here. Even now I wonder what the purpose is. The business community has been poorly informed about the project and even today there is confusion about its purpose.	Local businessman
The local staff are very good, very professional, the best I have ever worked with. It is a great team	Project management
GEF Bangkok is partly responsible for this mess. They allowed a defective Inception report to be approved.	Former project staff member
We haven't really overextended the project. If we have the skills and needs exist, why not do it?	A Project Team leader

How Could/Should Project be Improved in Final 6 Months of Phase 1?	Speaker
We need to clearly define our core areas and focus only on them	Project staff
We should quickly work out some practical strategy for completing our most important work., such as community management plans. We should honour commitments we have made to communities, especially those providing a support mechanism rather than cash.	A Project Team leader
Some things are easy. Just give us access to all project reports. Set up a library room with copies of all reports that government staff can access.	MBPG PA
We need to engage with the 'action persons', not just the elite. We also need to really consider local cultural sensitivities and stop trying to buy conservation	Local project staff
We need to clearly separate the operating costs of MPA management from community livelihood support.	A Project Team leader
We should continue slowly and honestly, using VETs from their own communities. We should provide practical training for the communities, not EMB-style	VET

Improvements in Final 6 Months of Phase 1? (continued)	Speaker
Provide work to both the MBPG and local NGOs with separate funds allocated for government and NGO efforts.	Alotau resident
We must draw strict lines on activities and expenditures with no more outside agreements with church groups, youth groups, counselling services, etc. We must concentrate solely on work which directly improves management of marine areas.	Local project staff
Six months? We need 2 years to complete Zone 1. Zones 2 to 4 are a pipedream	Project staff
We should immediately fix up the bad relationship with the provincial government, slowly devolve responsibility over time to them and assure that the provincial steering committee works.	Senior project staff member
I'd drop the education and coast care work entirely, shifting the staff to core activities such as rudimentary community capacity building, finalise community management plans, legal structures, etc. We should reduce the community development focus as well.	A Project Team leader
I don't like to say so but the project should stay with CI or UNDP, not the provincial government, which will want the money not community sustainability.	LLG official
We should recover the good community engagement approaches of Modi and Jeff during the early years. It's still there but submerged somewhere.	VET
The coast care work can accomplish a lot with very little money. We should concentrate on East Cape, Lehudi and complete the pit toilets and complete the MoUs. We should also work with urban LLG on better waste management.	Project staff
It is not rocket science. We should build on traditional approaches and improve this with western scientific knowledge. From now on, we should <i>always, always</i> [emphasis in original] begin with local views. In Netuli for example we definitely provided them with options rather than listened to them first. In Wiyaloki, we did try to listen and they came up with draft ideas we could build on. This is the way to proceed.	Local project staff member
Start by publishing all contractual agreements between CI and UNDP with the MBPG and all accounts of monies allocated and spent on the project.	Local resident
There should be a smaller number of activities which are agreed by everyone and less money spread out over a longer time.	LLG official

Annex 6: Questionnaires Used and Key Information Requested

Several variations of an initial questionnaire were prepared early during the evaluation process. A sample is shown below. Actual discussions diverged considerably from the questions listed depending on initial responses and the type of person interviewed so it was only a broad framework / starting point.

Sample of Questionnaire Used for Interviews with Provincial Officials & Other Stakeholders

(Working draft; form as actually used has larger fonts & covers two pages to allow space to write replies)

Name, affiliation & date:	
Apparent knowledge of the project and interviewer's comments:	
Person's involvement in consultations, project development &/or implementation (or as project beneficiary)	

Project aims to establish community-managed MPAs to secure resource conservation and sustainable use. Objective likely to be met? Why or why not?

(Response to be summarised here)

Is the overall project design appropriate for Milne Bay? Were there adequate local consultations?

Is the Project as implemented appropriate?

How have Milne Bay (and PNG) benefited? Most valuable result?

Any issues / problems with Project?

Project working relationship with province (MBPG), communities, private sector, NGOs, etc.?

How do you personally work with Project (joint planning, implementation, training recipient, etc.?)

Should project continue as it has so far been implemented? Why / why not

Is the budget allocation appropriate for goals (capacity building 22%, MPA development 52%, education & awareness 11% & policies, extension, studies & waste mgt 15% (US\$6.5 m ≈ 19.5 m kina)? Are funds being well spent?

Comments on results, improvements constraints, problems for each Output area:

Outcome 1: Capacity building (provincial, community, ward).

Outcome 2: MPA development.

Outcome 3: Education & awareness.

Outcome 4: Practical policies/strategies (land use, waste, extension)

How would you improve the project?

Other observations or comments?

(In general, the initial questions led to numerous additional questions and discussion.)

Another example of the types of questions asked is the following questionnaire prepared prior to an interview with a CI Washington official:

Questionnaire for Interview with Vice President of Melanesia Programme of CI
(Alotau, 18 June 2006)

Why is there such a poor relationship between CI and UNDP Port Moresby for this project?

What is the key issue between UNDP and CI regarding CI's expenditures for the project?
(Different understanding of allowable executing fee / overheads? Substantive input?)

The January 2006 Collaborative Framework between CI & MBPG commits CI to 646,000 kina plus 820,000 kina from CI small grant funding. How is a kina 1.5m commitment possible when CI has such limited funding remaining for 2006?

There are suggestions that the project has routinely exceeded its authority (e.g. entering contractual commitments, establishing new staff positions, high levels of expenditure). Is this true? If so, why has CI apparently been unwilling or unable to control this?

What is the internal CI mechanism for project M&E? Are there formal reports? Are these available to us?

Normally for a project of this size there are periodic evaluations (annual TPR, MTR, review of quarterly operation reports). Why have there been none for this project?

We are told that expatriate staff contracted by CI did not have work permits and thus had to travel (some with families) to Australia every 60 days at project expense to obtain new business visas. Why did CI not arrange work permits?

An arrangement through which the CTA is engaged by UNDP although the project is executed by an NGO is unusual. Does this affect CI's ability to implement?

Has CI effectively prepared the MBPG to execute phase 2 (if there is one), as anticipated in the project design?

Do you feel that the project design was appropriate for the Milne Bay circumstances?

We understand that some PNG staff have contracts which extend into 2007 or beyond. Does this suggest expectations for a continuing role for CI after phase 1 ends in November 2006?

The SMIP project contract could have been arranged with ANU in 2002/03. Why was it not done?

Will the changes to the CBC/Melanesian programme affect CI's administration of the project for remainder of phase 1?

Normally the 'executing agency' has an input to the evaluation TOR. Was this not done or was it through it through CI Port Moresby?

There has apparently been a proliferation of activities well beyond the remit of the project. Is this so? If so, is it appropriate?

(Responses to these questions led to additional questions)

Late during the first week in Alotau, a number of questions and requests for specific information were prepared for the Project staff in writing to be certain they knew what we wanted. Most of these are listed below. For the bulk of these, a format was provided in electronic form for use as a basis for the responses:

- 1) List all substantive training provided to PNG nationals through the Project (name of course, brief description, duration, cost, location, and numbers trained (categorised by Project staff, MBPG staff and other).
- 2) Provide all quarterly and annual financial reports, preferably in Excel format.
- 3) Provide reports of monitoring and evaluation carried out by either UNDP or CI.
- 4) Provide an explanation of the CI Small Grants Programme, details of grants that are related to the project, and grants that are considered by CI as parallel financing.
- 5) Explain project management understanding of CI's overheads / execution charges.
- 6) Provide a summary of the status of all proposed MPAs and a summary of activities in every site visited by the project. (A detailed note from the team leader was provided.)
- 7) Provide a map summarising the bathymetric work carried out (or committed) by the project: location, size (km² or linear km) and cost. Provide a map showing the MPA sites in Zone 1 and the sites planned for evaluation team visit (and actual sites visited).
- 8) Provide a spreadsheet with average operating and maintenance costs of the project over the past year and the minimum expected fixed costs over the final 6 months of the project.
- 9) For each understanding, contract or agreement for services, including MoUs / MoAs or any less formal arrangements (e.g. with MBPG MIFF, CDFA, Education Milne Bay, MBCS, bathymetry surveys, other surveys, communities, radio stations, LLGs, collaboration framework with MBPG, etc.) please provide the following: Name/Title, Brief description of the service, Status (i.e. completed, ongoing, under negotiation, etc.), Funding source (direct project funds, CI grant, other), Budgeted amount (US\$ or kina), Actual expenditure to date, Contractual start & end dates, Actual start & end dates, and Summary of results (or if appropriate) expected results.
- 10) For each person employed by the project since its inception – project staff, consultants, volunteers, contractors (e.g. contracted through EMB) – please provide the following: Person, Title or brief description of the position, Funding source (direct project funds, CI grant, AYAD, etc), Starting date (month/year), End date: (month/year), and Total work months.
- 11) For major expenditures (e.g. equipment such as IT, communications network, major workshops, dinghies, etc.) please provide the following: Equipment, activity or service, Brief description, funding source (direct project funds, CI grant, other), Budgeted amount (US\$ or kina), Actual expenditure, Month & year of expenditure, and Comments if any.
- 12) Provide all quarterly and annual progress reports, including the draft Annual Project Report for July 2005 – mid 2006, if available.
- 13) Please provide all reports of the meetings of the provincial and national Project Steering Committees.

A second set of information requests was submitted in the form of a written list of questions that was presented to a group consisting of the CTA and the leaders of all five Project teams, i.e. the four substantive teams plus finance/administration. Responses (all provided by the CTA, with one supplementary intervention by one team leader) were considered in the preparation of the evaluation report.

- 14) The Prodoc provides for the establishment of community based management regimes within Zone 1. The GEF Project Brief identified three large areas “site clusters” and these included areas managed by communities of East Cape, Iabam/Pahilele, Nuakata, Kwaraiwa, Tubetube, Skelton, Anagusa, Tewatewa, Ware, Panaeati, Panapompom and Brooker. Some of these appear no longer to be part of the Project. What biodiversity, social and other criteria were used to select the areas in which to engage, and what is the reasoning behind decisions to engage with areas outside Zone 1 as provided for in the boundaries defined in the GEF Brief and the Prodoc?
- 15) It appears that lessons learned from similar projects in PNG and elsewhere may have been overlooked. The situation in Dawadawa, for instance, bears a strong resemblance to that at Lak, where a UNDP/GEF project intervened, failed and was forced to withdraw.
- 16) How does bathymetry data contracted by the Project add value to Project results?
- 17) VET training was initially conducted in-house, and that expertise is still available to the Project. What advantage is there in contracting VET training to an outside body?
- 18) ‘Resource owners’ have expressed frustration as they perceive that, after earlier participation, they are now being neglected by the Project. And a resource owner from Mwanewa has asked when he can expect to receive a dinghy and outboard motor he says he was promised.
- 19) The GEF Project Brief (7.3.3) specifies that “Independent national NGOs will monitor the compliance of stakeholders and perform a watchdog and advocacy function in monitoring and to improve governance and transparency in public and private sectors operations.” Has any local NGO been given the opportunity to undertake this role?
- 20) To what extent has the Project monitored and evaluated the success of education activities in primary schools and vocational training centres?
- 21) The evaluators have not found evidence of any effort to consolidate Project results to date in anticipation of the completion of phase I. Is there a strategy for a tidy “exit” that ties up loose ends and leaves the communities engaged by the Project with an understanding of what can and cannot be done to further support them?
- 22) The project is now under a financial ‘cap’; yet in January 2006, a collaboration framework agreement was signed with the MBPG and this committed about PGK1.5 million in Project and CI small grant funds. Why was such a commitment undertaken when funds are known to be limited?
- 23) We estimate that a minimum of US\$50,000 per month appears to be available to the project from July through November 2006 for general activities and field work. (Refer to a separate explanatory note by P Johnston). Can this figure be confirmed, or adjusted to be more accurate?

Annex 7: Financial Management Issues

The main report provides the following estimate of funds (US\$ thousands) which were unavailable for Project activities due to poor project and financial management:

1) Overcharges by CI on allowable project execution fees and overhead costs	400
2) Failure of CI to arrange income tax free status for international staff employed on a UNDP-funded project (and alleged overcharging of staff remuneration costs)	200
3) Failure of CI to arrange work permits for international staff requiring frequent overseas travel for business visas	30
4) Support for counselling services which were well beyond the scope of the project	67
5) Bathymetry/seabed mapping for prospective MPAs (unnecessary for MPA delineation or management)	110
Total	821

The budget reports available to the evaluation team provide little detail on how funds were actually spent. The above estimates are based on information provided by the Project to the team during the mission and afterwards, and sometimes rather different data were provided at different times. The estimates are explained below:

1) Overcharges by CI on allowable project execution fees and overhead costs

The Prodoc specifies an NGO execution fee of 8.92% for GEF funds (\$285,455 of \$3.2m) and 9.1% for the Japanese Human Development Trust Fund (\$28,973 of 318,705). No execution fee is explicitly identified in the UNDP TRAC budget of \$0.5m but is understood to be 10%.¹ The total allowable execution fee is thus \$364,428, out of a total UNDP budget of \$4.02 million.

Under NGO Execution this fee should cover all of CI's overhead costs to support the project, whether incurred in Washington DC, Port Moresby or Alotau. Project staff have analysed the CI budgets submitted to UNDP and calculate an additional \$407,619 charged for expenditures that should have been covered by the execution fee. CI disputes this² but the evaluation team has reviewed the Project calculations and agrees that about \$0.4 million in additional costs has wrongly been charged by CI against the Project. This is, of course, a view expressed by the team as non-financial or accounting experts.

2) Failure of CI to arrange income tax free status for int'l staff employed on a UNDP-funded project

The arrangements for some NGO-executed projects in PNG have reportedly³ included tax-free remuneration for international staff. This has not occurred for the Project, apparently because of the manner in which CI is registered in PNG. Based on financial reports presented to UNDP by CI, the Project also claims that CI charges for international personnel are grossly inflated and this inflates the staff income that is taxable in PNG. The evaluation team cannot calculate the level of personnel costs justifiably charged by CI above the staff salaries. However, we have seen documents showing PNG-taxable income which is more than double the staff salaries. We cannot verify the Project claims that excessive CI salary charges and PNG income taxes have cost the Project over \$300,000 but we do suspect that the cost has probably exceeded \$200,000.

3) Failure of CI to arrange work permits for international staff, requiring frequent overseas travel for business visas.

Because CI did not arrange long-term work permits, as legally required, for its international staff, for some months the three travelled to Australia every 60 days to obtain new business visas at

¹ The evaluation team has been told that an execution fee of 10% was agreed in writing but no evidence to this effect has been shown to the team. 10% is typical for other projects, however.

² As we understand it, CI argues that its actual overhead costs are typically 18-19% of the grant and that direct costs (e.g. actual costs of travel) undertaken in support of the Project are chargeable in addition to the execution fee. CI also says that they have borne a significant portion of this cost by discounting the actual overheads charged for this Project. There is 'a fundamental difference with UNDP on the cost of doing business.'

³ Two informants provided examples where NGOs apparently had arranged this in PNG. The evaluators contacted one NGO, WWF PNG, which could not confirm this.

Project expense. The evaluation team requested the costs of this arrangement. The direct cost was \$30,038, including the costs of some family members.⁴ There were substantial additional costs related to additional project-related business travel within Australia at the time of the 'visa runs', some of which was probably unjustified. In addition, the full cost to the Project should include the senior staff salary and time lost to Project implementation through this frequent fly-in-fly-out operation.

4) Support for counselling services which were well beyond the scope of the project

The Project engaged a UNV (\$59,012) for a range of counselling activities, including some time spent supporting Milne Bay Counselling Service (MBCS), which received \$8,000 in direct project support. It is understood that the UNV worked on a much wider range of counselling activities than those of MBCS. However, the evaluation team considers counselling, however valuable to the province, to be well outside the type of activities that should be undertaken by the Project.

5) Bathymetry/seabed mapping for prospective MPAs (unnecessary for MPA delineation or management)

The Project reported to the evaluation team that it spent considerably less (\$142,944) than originally budgeted (\$294,910) for GIS and mapping services which 'represents excellent value.' According to the Project, 'the alternatives to bathymetric habitat mapping are either satellite mapping or the use of side viewing sonar – both of which are much more expensive.'⁵ We do not dispute this but feel that the funds spent for bathymetric/habitat mapping for five candidate sites (\$110,352) was not necessary to delineate MPA boundaries or develop mechanisms for MPA management.

6) Other questionable financial management and control issues

Project travel costs. For 2004-2005, staff travel costs (excluding the direct costs of 'visa runs' covered in paragraph 3 above) including daily allowances were \$659,000 as shown below, as provided by the Project staff:

<i>Item</i>	<i>\$ '000</i>
VET patrols including operations, training and support	161.144
Biological, social and household surveys	43.406
Alotau staff business travel (airfares & allowances for international & domestic travel: UNDP, Port Moresby conferences, workshops & training)	445.044
Staff travel expenses related to relocation	<u>9.453</u>
Total	\$659.047

Staff travel on project business was nearly \$0.5 million during the period, which seems to be quite excessive for a project of this size. The project acknowledges the excessive cost of the VET system. VET travel costs were over \$160,000, with total VET costs reported to be over \$300,000 for only 8 patrols. The evaluation team has insufficient information to evaluate the reasons for such high travel costs but we consider the total to suggest extravagance.

Training Assessments and training through Education Milne Bay. \$280,000 has reportedly⁶ been provided to a private company, Education Milne Bay, for training related activities including a training needs assessment and plan. The funds were from CI Small Grant scheme and were considered to be part of CI's parallel financing.

⁴ Until about April 2006, one of the three international staff was technically employed by Education Milne Bay. CI Port Moresby felt that it was EMB's responsibility to arrange a work permit so 'visa run' expenses should not have been borne by the Project.

⁵ See the 'Response to the Interim Evaluation Report from the Milne Bay Project Team' prepared in July 2006.

⁶ These are figures provided by the Project's Programme Manager on 27 June 2006. EMB says the total was \$240,000 (e-mail message of 27 June from Simon Ellis). The 'Response to the Interim Evaluation Report from the Milne Bay Project Team' says the 'total cost of services supplied to the Project by EMB for the period 2002 to 1st Quarter 2006 was \$230,557. ... primarily related to Geoff Callister's consulting services (\$73,544) for institutional strengthening, and logistical and other support to VET and field programs (\$157,012). ... A further CI small grant of \$105,000 was given to EMB for the implementation of the Training Assistance Program. ... A second grant has been signed for Frontline Manager training (\$70,000) for 2005-2006.' It can be difficult to obtain fully consistent numbers.

<i>Purpose</i>	<i>US\$ '000</i>	<i>Status</i>
Training needs assessment and plan	105	Completed
Tourism and Hospitality and Natural Resource Management Training	105	Ongoing
Front Line Management training	70	Committed for late 2006
Total *	280	

* This excludes \$27,000 for rental, boat storage, etc

The training needs assessment and plan seems to have been competently done. Overall, in the team's view, the cost of the training services provided by EMB appear to be excessive

Legal expenses. The Project spent \$4,700 (aside from very considerable staff time) on dispute resolution, and an additional \$9,137 on legal costs associated with a lawsuit (Nuigini Island Sea Product) against CI. Under the executing agreement, CI is responsible for its own associated legal expenses, and these costs should not have been charged to the Project.

Allocation of CI In-kind Budget. The Project team note⁷ that the Prodoc specified a CI in-kind budget of \$283,619. At some stage UNDP reportedly agreed that this money was to be credited to CI to reimburse them for pre-project expenses⁸ incurred through maintaining CI's Alotau office from the end of the PDF B phase through the formal project start-up in late 2002, which reportedly cost CI far less than the agreed amount. The team is in no position to verify the actual costs but does note that the in-kind budget was meant to cover expenses related to maintaining the Alotau office. As these were in fact charged to the Project budget, there was less funding available for Project activities.

⁷ See 'Response to the Interim Evaluation Report from the Milne Bay Project Team'.

⁸ The team has seen no documentation regarding this decision. It is not in national Project Steering Committee notes and was apparently not known to the CTA at the time of the Inception Report.

Annex 8: Project Repair and Recovery: Ideas for an Action Plan

An Action Plan is needed to get the Project back on track, based on:

- A focus on establishing at least four (hopefully six) CMMAs^{1,2} with appropriate livelihood support (terrestrial and marine), and education and training to empower these communities for resource management and with administrative and legal arrangements for marine area management reduced to a minimum as a first step towards a more sophisticated regime at a later stage;
- An immediate and demonstrable direct engagement of Milne Bay Provincial Government officers in Project activities where this appears achievable - as in planning, agriculture, and fisheries;
- A genuine commitment to communicate with and to relate to all sectors of the Milne Bay community; and
- Prompt payment of outstanding debts and avoidance of unnecessary new financial commitments.

Among the actions needed to achieve the above are:

- A style of project leadership that inspires and guides Project staff rather than dictates to and overrides them;
- Measures to overcome the apparent separation of Project teams that prevents them working as an integrated team towards Project objectives that they share;
- Efforts to restore the confidence of island communities, the Milne Bay Provincial Government, LLGs, Ward Development Committees, the private sector, and the public in the project's potential to deliver results that are meaningful to them; and
- A difficult and embarrassing withdrawal from communities and peripheral areas of activity that lie outside the Project's core 'area of interest'.

Island communities

- Bring together all Project information and activities with the selected island communities of the original Zone 1 and get Project staff working together to explain outstanding matters and to help these communities advance towards marine area management regimes appropriate to their circumstances while building on their knowledge, needs and perceptions;
- Make more effort to work in a way that shows that marine area management interventions are an integral part of the support effort towards sustainable island livelihoods;
- Pay more attention to first determining community subsistence needs from marine resources and use that as a base for moving towards notions of biodiversity conservation;
- Urgently address the weak Project capacity to contribute to the fisheries management activities needed for livelihoods support;
- Place greater emphasis on conducting Project activities in a manner that ensures that local communities are empowered in the process, with special attention to women and youth - probably best targeted through church groups;
- Develop and implement an 'Explanation/Exit Strategy' that provides for honest explanations as to what the Project can and cannot do for those communities that

¹ CMMA, or Community Managed Marine Area, is the term commonly used by the Project in lieu of Marine Protected Area.

² On the basis of evidence seen by the evaluators they are inclined to suggest that Nuakata-Iabam-Pahile (hopefully with an extension to East Cape if promising signs of community interest there prove well founded), Wialoki and Netuli be among the target sites.

cannot be further supported (most mainland communities,³ and some on islands). Seek to ease their disappointment and frustration through some modest final (and farewell) support intervention.

Project management

- Reorient Project management and review staffing structures with a view to reducing size and complexity to fit the more focused set of activities;
- Assess whether teams, as presently structured, are a good approach or whether a different combination of teams or a single integrated team would be a better option;
- Establish and maintain a fair and transparent system of remuneration for both full-time and part-time national staff;⁴
- Take measures to reduce tension between expatriate and national staff by reviewing expatriate pay levels down towards levels consistent with other NGOs operating in PNG.

Data

- Carefully assess what level of data is needed, for what purpose, to fit the ecological and social circumstances of the Project area, and with particular attention to developing methodology that is meaningful to local communities and can be adopted (and adapted) by them;
- Consciously and consistently seek out traditional knowledge of biodiversity, resources and environment through a methodology (to be developed) that results in the documentation and application of such knowledge as can be used in resource management and conservation plans, and do this in ways that empower the communities concerned;
- Make effective use of the data in hand, identifying gaps and proposing measures to deal with those gaps;
- Further develop the draft Performance Assessment Plan for Community Managed Marine Areas in Milne Bay Province and present it in two versions; a technical version and a community-user version;
- Reach out to other conservation groups, both within Milne Bay and beyond, to draw on their experience, lessons learned and ideas regarding community based resource and biodiversity conservation and to share data.

Biodiversity in context

- Strengthen efforts to place biodiversity conservation firmly in a context of small island ecosystems and the social and livelihood dependence of village communities reliant on those ecosystems;
- Re-focus approaches at community level so that a foundation of traditional biodiversity knowledge is first established - and external information, skills and technological interventions are then introduced as appropriate in the context of, and building on, local knowledge;
- Bring dugong and turtle surveys to a satisfactory conclusion with the minimal data set needed to achieve a useful level of management and awareness of these species; (an

³ Lawadi and Lelehudi, though slightly outside Zone 1, might be considered as exceptions as they are small, relatively uncomplicated areas where quick progress towards CMMA status may be achievable.

⁴ Refer to the Schedule of Rates for remuneration of nationals (from 1 December 2005). According to this schedule, changes were made "to demonstrate that CI is not only a competitive and equal opportunity employer but is seen to be an organization that is able to equitably reward and fairly compensate those attached to the project to improve their livelihood." Yet two VETs subsequently had their income reduced by half under this new schedule.

emphasis here could be on understanding the level of exploitation to determine a useful level of management);

- Assess the level of biodiversity ‘coverage’ (the extent to which the CMMAs would be representative of the range of important marine ecosystems) achievable through the ‘probable’ CMMAs, in terms of species, habitats, source-sink relationships, ecological connectivity, etc.

Enabling environment

- Review the approach to the compilation of CMMA management plans and community options papers to make them more useful for the communities for which they are intended;
- Promptly develop a ‘Transfer Plan’ for building MBPG capacity⁵ by embedding Project roles, skills and information into the MBPG structure and preparing the MBPG for implementation of a second phase or for similar follow-up activities;⁶
- Thoroughly review the Village Engagement Team policy and methodology, its selection criteria, membership and training needs - initiated through a review to be conducted by the VETs themselves. Also assess the reasons for the reportedly very high VET ‘patrol’ costs and consider how these can be reduced while improving effectiveness.

Immediate steps to be taken to prepare for project reorientation:

1. Project staff review and reorientation workshops in which MBPG counterparts participate.
2. Re-label the Project premises as being an MBPG project supported by UNDP/GEF/CI, with contributions by other agencies.
3. Key stakeholders meet to consider and agree on new arrangements.
4. Re-constitute the national and provincial steering committees to substantially improve their effectiveness and convene early meetings to consider the new direction.
5. Revise the Results and Resources Framework of the Ancillary Project Document of May 2006 to reflect the new reality.

Monitoring and Evaluation

There is a need to establish a comprehensive baseline and a practical and effective monitoring and evaluation framework with sensible indicators.

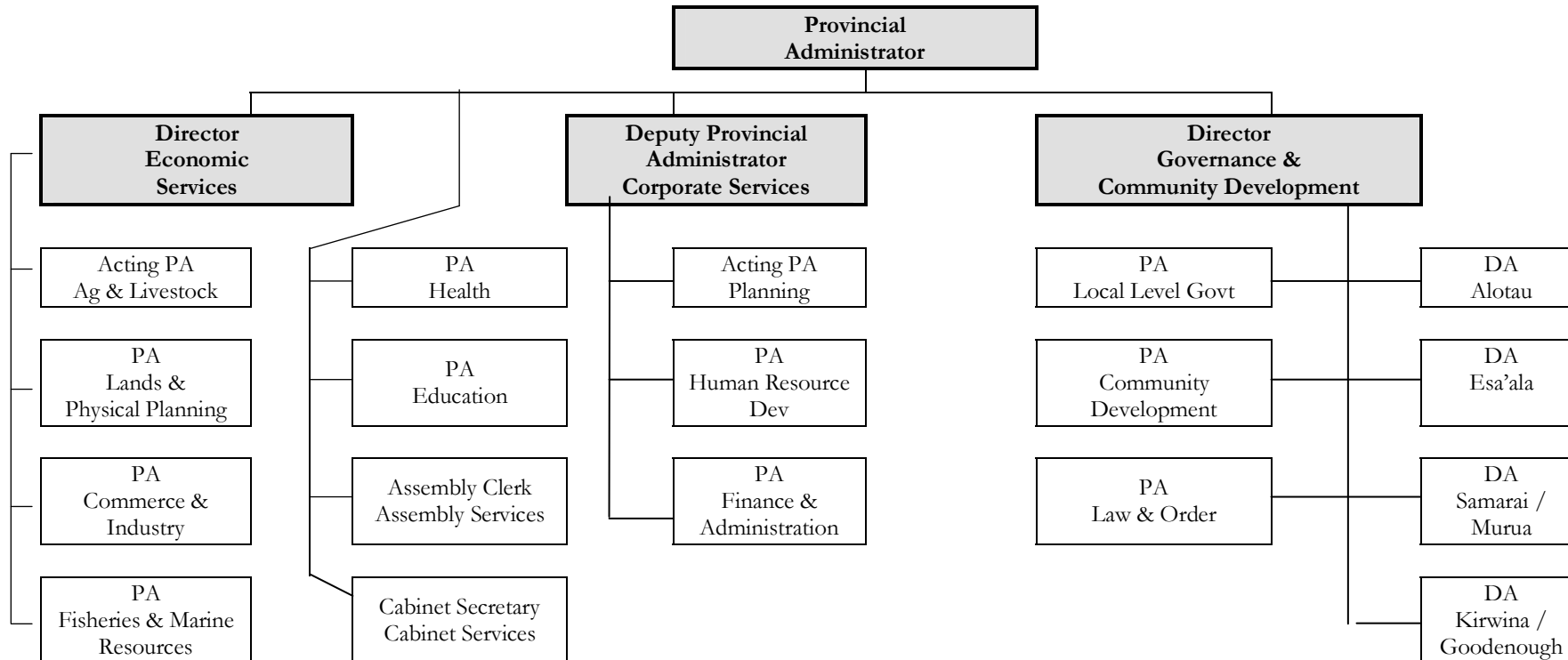
Improvements to the effectiveness of both National and Provincial Steering Committees are essential. A review of membership is required to ensure that each Committee embraces adequate technical and social understanding, either through its formal membership or through ad hoc appointments. A review of the committees’ roles to suit the particular circumstances of this Project is also appropriate. These Committees also need to adopt a reporting format that clearly indicates decisions taken, actions recommended and the individual and/or agency responsible for acting on matters arising. Each subsequent meeting should begin with a review of actions to be addressed from the previous meeting. UNDP should stress to the national and provincial PSCs both their powers and their responsibility to exercise them and their need to strenuously avoid being used as a Project ‘rubber stamp’.

The national steering committee should be chaired by an active and interested chairperson who is available to attend meetings and to monitor follow-up action between meetings. A question to be addressed is: should the Project continue as secretariat to the two steering committees?

⁵ See the attachment to this annex showing the current (June 2006) provincial structure and vacancies.

⁶ Note that risks include: reducing opportunity for counterpart ‘matches’ if policy of ‘downsizing’ proceeds too far; counterpart capacity proves to be inadequate; political support is not sustained.

Attachment to Annex 8: 'Action Plan' — Milne Bay Provincial Administration Structure (late June 2006)



Note: PA = Principal Adviser DA = District Administrator Source of information is the Acting PA for Planning

In some offices in which close cooperation with the Project is important, there are key missing personnel:

- Office of the Administrator: Provincial Legal Officer, Executive Officer
- Planning: Provincial Planner, Statistician
- Fisheries & Marine Resources: PA, Enforcement Coordinator, Area Fisheries Officer (Esa'ala District)
- Commerce: Investment Analyst, Management Economist, 3 Business Development Officers
- Agriculture & Livestock: Principal Adviser, Rural Development Officer
- Human Resources: Manager of Human Resources, Coordinator of Ethics & Conduct
- Law & Order: Coordinator of Land Mediation
- Miscellaneous: There were 46 vacancies within the Health Service and 17 vacancies within District & Local Level Government

Annex 9: UNDP's 2001 NGO Capacity Assessment Report & Current Status

The issues and concerns, CI response and UNDP's 2002 comments and recommendations have been summarised in the table below to reduce text length. The summary of status in 2006 in the final column was prepared by the evaluation team.

Issues & concerns raised in CA Report	CI Response	UNDP comments & recommendations	Status in 2006
Provision provincial & local capacity for sustainability / replicability	UNDP to provide financing to build provincial capacities.	Included in work plan in prodoc	Very limited MBPG and local capacity building
No written manuals / guidelines for CI PNG operations	Draft administration and financial policies and procedures manuals, specific to C PNG being developed and will be used for the Project	UNDP manuals apply where CI NG manual does not apply or cannot be enforced	Manual remains in draft form
Project & CI staff functions (and budgets) to be separated	Only Project staff & short-term experts to be based in Alotau	Project staff carrying out CI core activity need endorsement of Project Steering	Both CI & Project staff based in Alotau. No separate bank account for CI & Project staff in Alotau. CI overheads charged to Project
Independent review provisions in Prodoc to be strengthened (2 reviews in 5 years)	CI concurs. Independent review within 18 months	Independent review to be paid by UNDP under GEF budget	One review in June/July 2006
Steering committee to be activated within 6 months; to meet every 6 m	All parties must agree prior to inception	Steering Committee to review & endorse Inception Report	Only 4 meetings in 3½ years
Maximum use of national expertise in preference to international experts	Where possible local candidate to be preferred & UNV option to be explored	Addressed through Project's Recruitment and Selection Review Panel	Only 3 expatriates out of about 30 staff. No recruitment panel?
Project staff salaries ≈ govt levels so staff can be amalgamated into MBPG admin by phase 2.	CI salary levels lower than UNDP, slightly higher than Government	Salary levels for seconded MBPG staff fixed at government rate. Annual 35% bonus for long term MBPG staff attachments to project	National staff salaries exceed MBPG rates & seconded staff (Program Manager) far higher
DSA rates & other travel related expenses to be set for project.	All travel advances acquitted with official receipts.	CI must establish project-specific DSA rates and travel for all travels within community areas or use established government rates	Not investigated by evaluation team
No authorisation process / procedure for procurement management	CI procedures are adequate	CI to establish authority & delegated limits within project	After initial conflicts with CI, CTA given full authority
No controls & tagging for physical tracking of assets & equipment	Fixed assets register is maintained	CI to develop system or use UNDP procedures	Began in 2005 but still incomplete
Lack of budget control system, deficiencies in monitoring and tracking of project expenditures against budget	CI developing new Oracle-based budgeting procedure. Approved annual budget adjusted according to income from donors	Important in light of mandatory implementation progress and financial reporting requirements by CI	Still no adequate budget control system. Financial manager unaware if annual budget exists!
Delegation & authorisation of financial transactions to be segregated	New CI staff to be recruited	CI to establish bank account for the project	Still no separate account solely for Project. Delegation issue resolved in 2006
No codes on check requisitions	To be done	Required for project audit	?

Annex 10: Rationale for Project Engagement in Genealogical Investigations

The Project staff's approach to identification of groups holding customary rights to marine areas is more proactive than some consider appropriate. This matter is discussed in the main volume of this evaluation report. In response to concerns raised by the evaluators, Geoff Callister, the leader of the Project's Institutional Strengthening team prepared this explanation of the Project rationale for engaging in genealogical investigations. As a cogent and well-argued defence of the Project approach it deserves a place in the record as a contribution to thinking on a subject that is of widespread importance throughout Melanesia.

Customary Ownership & Use

At a village level in PNG a dual system operates with respect to institutions of governance and social organisation. One strand is that of customary ownership and use; a complex system of social units divided along ethnic, tribal, clan, sub-clan and even family lines; governed by a myriad of locally unique customs and traditions. The other strand is that of formal government, represented at a local level through District, LLG and Ward structures. Little exists within PNG policy and legal frameworks to ensure integration between the two, and as a result a constant yet dynamic tension exists.

The challenge for conservation planning is to harness this tension, to be innovative in how these two strands can be meshed, utilising the strengths of both through structures and institutions that achieve the establishment and long term sustainability of conservation areas.

Working within this complex social situation, the approach taken by this Project with regards to customary ownership and use can be viewed as somewhat unique. In a sense it departs from approaches that have been trialled with limited success in other parts of Melanesia. It draws on an approach to conservation that is intimately based on the existing social and cultural structures and settings. It recognizes, strengthens and utilizes the fundamental building blocks of local society; that is, the customary groups who own and/or use resources.

The following discussion attempts to highlight why this approach is not just appropriate but also effective in the Milne Bay situation.

Social Mapping & Genealogy

Social mapping and genealogy was incorporated as part of the proposed Project focus from the earliest stages of planning. It arose from the recognition that in the Milne Bay marine context, any attempt to conserve or even modify the use of an area cannot be separated from the ownership and usage rights of customary inhabitants. Put in another way, it is impossible to find a single square meter of Milne Bay reef that is not used or claimed by some customary group. Understanding this complex situation obviously required special attention to be paid to issues of custom and culture as they influence tenure.

As will be discussed in more detail later in this document, there was also early recognition that tension, disagreement and open conflict over resources is very much a feature of Milne Bay society. Inevitably the Project at some stage would have to deal with these issues. The emphasis on social mapping and genealogy further arose from the recognition that the most effective means to resolving disputes is through in-depth documentation of customary ownership and use.

Pre-Inception Work

Apart from the Pro-Doc, early Project papers discuss the importance of customary ownership and use. A paper on Project progress by Jeff Kinch in 2003 explores the need for the Project to be flexible in its approach, taking into consideration local needs and priorities and to be based within "*the context of local social organization and broader institutional management systems*". It also explicitly states that "*At the core of LMMMA establishment are the issues of property rights and governance regimes*". An earlier paper in 2001 outlining the community engagement approach talks extensively about the need to build trust and to operate within the local social situation. The local situation intimately involves tenure issues.

Early work by the Project also concentrated on social mapping and genealogy. Jeff Kinch in his PhD work at Brooker documented the ownership of various islands in the Calvados by different groups and used this knowledge in his early work with the Project. He also used genealogies during the work that the Project conducted with regards to the Ware-Brooker dispute. This included producing a

report for the government. Involvement by the Project early on with regards to the Conflict islands area and proposals written for this area revolved around background work done that had determined that clans in the Deboyne islands community were the customary owners. Importantly the VETs during all their patrols were instructed to and did collect information with regards to customary ownership of different reefs and islands. This particularly concentrated on groups that had already taken conservation steps in closing off or managing their customary areas, or on areas where disputes between customary groups was occurring.

It can be seen therefore that early pre-Inception planning and work did include social mapping and genealogy. At this point the Project had conducted widespread community engagement and awareness and identified a number of potential areas. It hadn't however actually engaged in depth with any one community in terms of establishing a CMMA. This is to say that the Project had not yet had to concentrate on a small, geographically-defined area and fully understand the complex social makeup of the customary community residing within that area. The approach taken up until then had appropriately been what could be viewed as informal.

At Inception, it was recognized that in order for the Project's initial planning and work on customary ownership to be carried into post-inception work, a more formal approach was needed suited to the more intense focus on specific areas. The approach selected was in-depth genealogical surveys. Of further benefit was the fact that the methodology and elements of the particular genealogy survey approach selected had already been fully tested and proven in other areas of Milne Bay.

Approach Taken

The full steps taken in the genealogy survey are roughly outlined here:

- Requests received from the communities for genealogies to be conducted.
- Awareness conducted on the steps of the genealogy study.
- Training conducted for the genealogy team. The team is a combination of outsiders (i.e. VETs) and people drawn from the local area, generally Ward recorders, Land mediators or other individuals who are already recognized as being those responsible for governance.
- Documentation of family trees and history and land records done by the genealogy team for each and every sub-clan resident in the defined area. This includes both resource-owning sub-clans as well as sub-clans that do not own resources. The details of each group are recorded in confidence from all the others. This involves a very lengthy process of checking and re-checking. Generally each group is visited up to 5 or 6 times before they are happy with the documentation.
- From this, the sub-clans that are resource owners can be identified, as can be the affiliations and connections of sub-clans that do not own resources to the resource owners through marriage, patrilineal descent, or other customary ties. This affiliation can be mapped diagrammatically, an example of which was provided for the evaluators for the Netuli area. Recognition of these interconnections is very important for ensuring that the rights of these affiliated groups, particularly with regards to usage, are highlighted and protected.
- From the documentation a rough map is drawn up based on the stated claims of the different resource owning sub-clans. This "mapping" by no means involves walking or GPS-ing boundaries and must be done treating the information from different sub-clans as confidential. The map is useful for highlighting areas that are being claimed by multiple sub-clans. These can be noted as areas that have potential for disagreement and need to be approached delicately. In general however, experience has shown that while minor overlap often occurs on the edges of different areas, it is relatively rare that multiple sub-clans claim whole areas.
- Using the documentation, individual resource-owning sub-clans are gathered together with the sub-clans that they themselves have identified as being affiliated to them. If each sub-clan is willing, the other sub-clans peruse their family trees and history and land records. Emphasis is on noting and corroborating the connections between the different groups and on inclusion rather than exclusion. Onus is also on the resource-owning sub-clan to clearly identify affiliations and the various rights it has given away.

- Using the map as a guide, resource-owning sub-clans with adjacent territories are then gathered together to review each other's family tree and history and land records. Emphasis is on the current situation rather than endless arguments over who exactly arrived or migrated first. Concentration is also on getting rough consensus on boundaries and documenting this consensus by modifying the history and land records of those sub-clans that share boundaries.
- Hopefully at this stage two processes of consensus have occurred. The first between resource-owning sub-clans and affiliated sub-clans that do not own resources; the second between those resource-owning sub-clans that share boundaries. The next step is for all these groups to publicly verify this. This may simply be through a public proclamation by leaders that they agree with the family trees and history and land records of the other sub-clans. Another possibility is for different leaders to sign the family trees and history and land records of the other sub-clans to stand as a written record in particular for future generations. This last step has not yet been conducted in any of the areas.

The process is of course totally voluntary. In each CMMA area, a number of sub-clans have opted not to have their genealogy recorded for various reasons and this has been respected. What has happened though in most cases is that these sub-clans later come back and request for it to be done.

Another thing that needs stressing is that this whole process in essence only produces a snapshot of the social and tenure situation at that point in time. It is needless to say a very detailed snapshot and one that is not likely to change significantly in the short to medium term. However, it must be recognized that this customary ownership and use system will continue to evolve as social, cultural and economic interaction between the various sub-clans continues to occur. For example, some sub-clans will die out passing resources on to others; mortuary feasts will be conducted and rights given out accordingly; debts will be incurred through caring for the sick of other sub-clans; patrilineal descendants will gain rights just from remaining indefinitely on their great-grandfather's land; the influence of Churches will bring about ownership change; and increasingly, cash, store goods and contemporary know-how and power will be used to purchase or alter tenure. A myriad of other dynamics will occur, influencing customary ownership and use. The culture should and does remain fluid.

It is important to understand that the Project is not pushing the broad-scale registration of land or marine resources. It is not claiming that the documentation is totally complete and set in concrete. Constant additions are still made as cultural information is discovered, even after the "final" copies have been done. The project also treats the individual sub-clan's documents as confidential and does not distribute them to other customary groups except by written permission. To date, due to reluctance from the sub-clans, it has not even lodged this documentation with government bodies.

There is currently a major debate raging amongst academics regarding the extremes to which social mapping and definition of tenure should be taken (i.e. land mobilization and registration). While opinions become polarized at this extreme, nearly all on both sides will recognize the need for some in-depth clarification of the 99% of PNG under customary ownership and use.

Rationale

All significant legislation in PNG that deals with natural resources include in them a section relating to the need for social mapping and genealogy to be conducted. The problem to date however has been that this legislation does not go very far and ensure that a proper social mapping and genealogy exercise is implemented that attempts to resolve issues such as:

- Does it involve a quick listing of existing "groups" and their leaders, however not bother to clarify whether the groupings are even legitimate under local custom or whether the same customs recognize them as resource owners or not?
- Does it involve compiling a very basic family tree to define the group but not seek to understand how this group is connected to other groups?
- Does it seek no detail as to why that group exists in the area or has claims to certain areas, in essence treating the fact that they happen to be residing in the area at that point of time as proof of their ownership and use?

- Does it involve going beyond this to compiling family trees that show migration of individual ancestors, generations lived in the given area, connection through marriage and patrilineal affiliation to other sub-clans?
- Does it seek to understand the social, cultural, and economic factors that drive tenure in that unique area and the use these factors to collect information on tenure that is based on local realities?
- Does it take this to the extreme and get customary groups to incorporate and register their resources?

In the absence of clarity, it is left up to individual agencies, groups or businesses to decide. This has spawned a diverse range in attempts to pursue social mapping and genealogy in PNG. This Project has chosen an approach that sits roughly on the third dot point above. This is because the process of establishing MPAs in Milne Bay cannot be disconnected from issues of resource ownership and usage. Establishing an MPA means inherently recognizing local ownership of marine areas (contrary to the formal State stance). If community-based management is to occur, then a definition of who owns and is responsible for different areas must be made, as MPAs will modify local patterns of use and more clearly delineate who now has access to what resources.

Experience in Milne Bay and other parts of PNG with regards to industries that deal with customarily-owned natural resources has consistently highlighted this. That is, greater long-term stability occurs when a pro-active approach is taken that documents local groups before significant development or change occurs.

The use of social mapping and genealogy is widespread and accepted throughout PNG and Milne Bay. There are countless examples of social mapping and genealogy being indispensable for resource-based industries or other development on land and so no detail will be provided here. These can include mining, logging, agriculture, urban expansion, infrastructure development, service delivery and even eco-tourism.

There are also a number of marine examples of the use of genealogies by various agencies in the Province. Just some include:

- The cases already highlighted earlier with regard to the use of genealogy during the Pre-Inception phase, in order to contribute to resolutions over marine disputes.
- Genealogies conducted by Placer Dome Ltd on Woodlark that highlighted tenure being extended to include offshore Sandfish habitat.
- Attempts by Coral Sea Mariculture, a pearl aquaculture company based in Milne Bay, to identify resource-owning groups in order to take out marine leases.
- Extensive use of social mapping and genealogy by the ADB-funded NavAids Project. The information has been used to compensate individual groups as well as set up community committees for the long-term protection and maintenance of the structures established.
- Investigations by the State as well as private owners or lessees of alienated islands that are by necessity forced on them by customary claims. These investigations can be conducted with the aim of rebuffing or with the aim of working with the rightful local customary groups. Examples include the Conflicts, Nivani Island, Doini Island, and the Damwanawe and Kamwatali Islands in the Engineers.

Another reason why the Project has taken a detailed approach to social mapping and genealogy is because it has literally been forced to because of the prevailing social, cultural and economic settings in the Province. Thus, disputes are prevalent in the Province and in PNG, and the project has decided to address this problem pro-actively, rather than wait to deal with the issue when it surfaces and likely is irreconcilable.

Further to this, customary groups and communities are increasingly seeing MPAs as a way of securing tenure. This was highlighted in a patrol report document provided to the evaluators. Whether the Project, evaluators or donors likes it or not, the reality is that tenure security is a major factor that is motivating groups to participate in marine protected or managed area establishment. Tenure security is enhanced through involvement with the Project in a number of ways:

- Through the “legitimacy” that is inferred of being the ones, amongst many, that the Project deals or liaises with;
- through participation in the genealogy survey and the documents produced from it; and
- through having an officially recognised set of rules and regulations (the Plan of Management) that can be used to limit even your own group members or close affiliates. In essence, this is a way of shrugging off social pressure and being able to avoid the direct blame for having to limit others, i.e. *“It’s not me telling you not to harvest clams, it’s the Plan of Management”*.

An analysis of the 6 or 7 candidate CMMAs that the Project has progressed on already, quickly reveals this motivating factor. The three smaller CMMAs (Lawadi, Wialoki and Mwanewa) all involve single sub-clans. Each of these sub-clans has had some sort of challenge to their ownership in the past, albeit weak and unfounded. Each has also had difficulty, and still has trouble, managing customary use by members and affiliates, as well as by complete outsiders. The resource owner at Mwanewa keeps referring to the rules that will allow him to better keep other people out or at control their use of the area. Therefore the involvement of all three of these areas has been very much about ownership and use.

At Nuakata and Iabam-Pahilele, the community as a whole wants to limit or manage usage by adjoining areas, i.e. communities of East Cape on one side, the Engineers on another and Normanby on yet another side. There is also a desire to sort out disagreement between the two Wards about marine and island boundaries. As already highlighted in depth, Netuli CMMA has very much been driven by the resource owners in their desires to be able to control their resources effectively.

In the Deboyne islands, interest is also very much about ownership and use. Internally they want to sort out the connections between different groups in order to encourage better cooperation in joint usage. The Conflict islands situation revolves around legal ownership by a complete outsider, and tensions over its usage by other communities, in particular the Engineers. Some Deboyne islanders want to exclude, others recognise customary links and want to include. On the eastern side of their territory, islands are heavily used by the south coast Misiman villages. In fact, this is so much a part of their agenda that, in recent meetings held with the Joint-WDC, they were proposing to establish temporary closure zones around all these islands, and had even taken the step of inviting the Councillors and leaders from South Misima Wards to come and listen.

Finally, the approach taken by the Project is inherently replicable. The particular set of tools and questionnaires have already been tested and proven in 5 different language group areas within the Province. Such experience points to the fact that with some modifications, they will be applicable in the rest of the areas where matrilineal culture exists (and probably with further modifications in patrilineal societies as well). This is the majority of Milne Bay Province. Regardless of the particular questionnaires, however, the overall methodology and approach can be replicated even in areas of complete cultural difference.

Despite, or perhaps because of all this, it could still be argued that the Project should not work in areas where tenure is one of the main concerns. If this is the case, then it needs to leave Milne Bay.

Uses of genealogy information

Apart from the reasons already outlined with regards to why the Project chose to conduct in-depth social mapping, the rationale was also driven by the diversity of positive uses that this information can be put to. While being of great value across the broader span of village economies, society and culture, this information is also especially useful for CMMA establishment and for encouraging the conservation and sustainable use of marine resources on a wider scale.

With regards to how the Project has used the genealogy process and the information generated for it to specifically aid the work on CMMA establishment, the following applies.

- The genealogy survey is in itself a community engagement process. Each and every sub-clan, whether resource owning or not, is visited and consulted in depth. While focus is on genealogies, much traditional knowledge is collected on resource use, and information is passed on and questions answered with regards to conservation and sustainable use, project work progress, plans for establishment of the CMMA and many other work aspects. In

recognition of this, VETs who have the ability to disseminate information have always been included as the main components of genealogy teams. The process thus builds participation.

- The genealogy process is also a critical first step in obtaining permission from resident sub-clans as to whether CMMA establishment can or should occur. This is particularly pertinent with regards to the resource-owning sub-clans. On one level, this is simply because if they are not happy with the communities' plans to establish a CMMA, then they do not participate in the genealogy survey. This has in fact occurred at Dawadawa, Nuakata and Netuli. That is, sub-clans who are not supportive of the majorities' wishes have refrained from being involved in the genealogies. Generally these groups have ties to industries such as logging or fisheries. The genealogy process also gauges the level of approval and support of individual sub-clans.
- The genealogy process and findings has also allowed the positive customary (traditional) marine ownership and tenure systems to be strengthened and enhanced. A good example is at Nuakata. While there is a definite system of ownership of different marine areas by individual sub-clans, the usage patterns remain largely open. This is obviously positive, as it is non-exclusive. By documenting this, and further, legitimising it through defining the links between users and resource owners, the genealogy study has ensured its continuation.
- By concentrating on resource users as well as owners, genealogy has enhanced the ability to establish truly community-based management, where all segments of the community are consulted and represented. This provides a unique opportunity to counter two extremes that regularly thwart attempts to encourage sustainable marine resource use. The first is a "tragedy of the commons" where no-one in particular claims ownership and therefore responsibility. The second is the opposite, where internal divisions and overstated claims to ownership create jealousies that derail true community participation. Genealogy recognises the ownership status of particular groups, thus drawing the essential link between personal well-being and the health of the marine area in question. However, the onus is also on the owners to avoid the pitfalls of local jealousies by ensuring that the general community still has access to the area under conditions agreed upon by all.
- Information generated with regards to the marine boundaries and areas of different sub-clans is useful for the Project to avoid the advent of disputes. The maps produced show where there is potential overlap with boundaries or where there are shared areas. This highlights the need to proceed with caution when discussing these areas. It also allows the Project to consult with all the potential groups rather than just one (and it should again be stressed that not only owners are meant here, but also users and other community members that have a traditional "stake" in the area). If this process had been followed from the beginning at Netuli, then the disputes would not have arisen.
- Information generated with regards to the marine boundaries and areas of different sub-clans is useful for the design of the CMMA with regards to zoning, rules and regulations. Being able to consult each group allows their views for their areas to be heard and incorporated into the rules. Having a picture of the extent of the territory of different groups also enables livelihood concerns to be incorporated into design. For example it ensures that a no-take zone does not encompass all of a single sub-clan's area, thus burdening this group disproportionately.
- Information on who the resource-owning sub-clans are also allows for their representation on the CMMA management committee. Consultation can be carried out with them as to what they see as equitable. Interestingly, in most areas the resource owners have opted for membership that gives them less than half the committee even though they have this option.
- Information on who the resource-owning sub-clans are has also been used to design how they as separate entities will relate to and interact with the CMMA management committee. This has resulted in a stewardship system whereby each sub-clan will nominate a representative who will be responsible overall for liaising with the rangers and the CMMA committee over the marine area that their sub-clan owns. These individuals will not be paid because the onus is on them caring for their own area. However, they will be offered

training and capacity building opportunities. This is especially important in large CMMAs like Nuakata where it will be impossible for operational staff or CMMA committee members to even monitor all the areas. These “stewards” can also be used for in a number of operational areas such as biological, socio-economic and governance Monitoring and Evaluation.

- The Project, through its focus on customary ownership and use, is trialling a new way of establishing CMMAs based on concentrating predominantly on customary groups rather than large communities. Many of these sub-clan groups own significant tracts of marine territory, but are in need of support to maintain this territory. Single groups are much easier to work with than complex communities comprising tens of groups for numerous reasons involving consensus and politics. They also have a much more intimate knowledge of their area, knowledge and this is essential for CMMA design. The evaluators were provided with an exhaustive list of “candidate” and “possible” CMMA areas. A good number of these (and half of the 6 “proposed” areas) fall into the category of single ownership. The idea (and one that has been put forward since the Pro-Doc) is to string together a network of smaller areas, all interconnected. Thus, in one area where individual sub-clan territories adjoin, dealing with even just three sub-clans would allow the formation of a very extensive CMMA. A further positive is that many of these areas encompass important grounds for the protection of threatened species such as sea birds and turtles. Again, it is stressed that this will only succeed if the process is inclusive, i.e. the owners must recognise the rights and cater to the needs of the users in line with their Melanesian culture.
- One final use of genealogy information with regards to CMMA establishment has to do with sustainable financing, benefit sharing and equitable distribution. For example, knowing which sub-clans own which reefs allows money from dive fees to be channelled to them in order to encourage their continued care for the area. It allows some of the money to be channelled to non-resource owners. If joint-venture investments are to occur within the CMMA, then the genealogy information will be used to accurately incorporate groups where it is appropriate for them to participate, e.g. in eco-tourism ventures.

In addition to this and in a broader marine conservation and sustainable use sense, social mapping and genealogy are useful in a number of ways:

- They can and are used to resolve disputes over marine resources. This resolution ensures that the resource is brought back under some sort of management regime rather than being a resource that people are fighting over, and therefore, much more willing to degrade or over-use. Unfortunately, this is definitely the case with the Long-Kosmann barrier reef, a major part of the Province’s marine system.
- Regardless of what steps are taken to establish CMMAs, secure and recognized tenure allows the relevant individual sub-clans to put in place limitations on over-exploitation. It is often hard for these sub-clans to enforce these limitations. Nonetheless, by tying the health of that area back to themselves, the situation is vastly better than an undefined “commons”. Many examples of where this positive step is already occurring have been provided to the evaluators on a spreadsheet of various “candidate” and “proposed” CMMA areas.
- A clarification of all the different groups involved or needing to be included (resource-owning sub-clans and sub-clans that do not own resources), allows formerly fragmented communities to unite around sustainable use and conservation. An example of this is Panapompom in the Deboyne Island group where the community has closed off the surrounding marine area of its own volition for over three years. Importantly however, because this clarification and consensus hasn’t yet extended to the other main island, Panaeti, groups from there recently disregarded the rules for no harvesting of sea cucumber.
- Done as an inclusive exercise, social mapping and genealogy importantly strengthens the usage rights to marine resources of groups that do not own resources. This puts the onus back on them to also help manage the area rather than succumb to “it isn’t mine so I might as well take as much as I can” mentality.
- An absence of social mapping and genealogy, and a lack of definition, creates a situation where a supposed “commons” exists. Commercial fisheries in the Province exploit this.

One example is diving in the Conflicts by private companies for sea cucumber, often using illegal methods. Another is harvesting of giant clams, long-lining close in-shore and shark-finning along the extensive barrier reef by commercial boats. Another is the recent rush on the remote Pocklington reef by commercial fisheries.

- An absence of social mapping and genealogy, and a lack of definition, also creates a situation where certain fisheries industries can be seen to fulfil the conditions of their license that stipulates “customary user consent” while in reality this hasn’t occurred. An excellent example is this Project’s own involvement at Nuakata and Goodenough with regards to the Live Reef Fish Food Trade. The company was brought into the area by non-resource owners and then proceeded to get “resource owner consent” by having any person sign a meaningless list of names, regardless of their status (in some cases, children were being signed up). The exit of this company was only forced through in-depth work that identified who the real resource owners were and further, showing that these owners did not want the trade in their area.

Dispute Resolution and the Use of Genealogies

An undeniable feature of Milne Bay traditional society today, as it attempts to integrate and grapple with the modern economy is the prevalence of disputes over natural resources. This has been well documented in countless studies. The basic reality is that any external influence that modifies people’s use of, access to, or perception of, natural resources, has the potential to cause disputes. This is because of the complex social and cultural setting where a myriad of customary groups have ownership or usage rights determined by an even greater number of customs that influence tenure. Needless to say all are unwritten and based on oral tradition. The same situation extends to most of PNG.

There are numerous drivers of disputes all of which have also been well documented. Predominantly these are economic. Many are due to industries that deal with natural resources. These include mining or mineral extraction, logging, commercial agriculture, fisheries and aquaculture, to name just a few. Beyond industry and commercial activity, subsistence use, residence and population growth are also fuelling disputes. Disputes over hunting and gathering areas, over bush timber and housing resources, over gardening land, and over plots within villages, especially when permanent houses are being built, are increasingly becoming common-place. It is not an exaggeration to say that the formal emergence of Lands court registered disputes within any given community is simply a matter of time. This is because land disputes are simply the final stages of the pre-existing and unresolved tensions over resources that are continually ongoing in all villages.

Compounding these problems is an undeniably weak government institutional capacity to deal with tenure issues and disputes. In particular the land mediation system, seen by all as the front line to avoiding the drawn-out Lands court processes, operates on an *ad hoc* basis, with land mediators not even able to be paid. There is an endless backlog of cases at any District lands court, despite the commendable efforts of magistrates to deal with these. The magistrate’s job is made infinitely more difficult by not having any sort of agreed upon set of guidelines to refer to with regards to making rulings between different parties. Again, everything is based on unwritten customs. It is admirable, but more often baffling, that the magistrates are able to make at decision at all.

This is the complex social, cultural and institutional setting that the Project is forced to work within.