

THE SOUTH PACIFIC BIODIVERSITY CONSERVATION PROGRAMME

USER GUIDELINES

JUNE 1994

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ABBREVIATIONS

ADB	Asian Development Bank
AIDAB	Australian International Development Assistance Bureau
CA	Conservation area
CACC	Conservation Area Coordinating Committee
CAP	Conservation area project
CASO	Conservation area project support officer
CBO	Community Based Organisation
CO	Conservation officer
CP	Concept paper
CPO	Central Planning Office
DOE	Department of Environment
GEF	Global Environmental Fund
LOU	Letter of Understanding
NGO	Non Government Organisation
PAP	Process Approach Project
PC	Project Coordinator
PD	Project Document
PIC	Pacific Island Country
PM	Project Manager
PPD	Project Preparation Document
PRA	Participatory Rural Appraisal
RRA	Rapid Rural Appraisal
SMP	Sustainable Management Plan
SPBCP	South Pacific Biodiversity Conservation Project
SPREP	South Pacific Regional Environmental Programme
TA	Technical Assistance
TMAG	Technical and Management Advisory Group
TNC	The Nature Conservancy
TOR	Terms of Reference
UNDP	United Nations Development Programme

FORWARD

The South Pacific Biodiversity Conservation Programme (SPBCP) involves the funding of Conservation Area Projects (CAPs) in 14 eligible regional countries.

These guidelines aim to highlight the main features of the programme, to show how it can be accessed and to provide a suggested framework for CAP design and management. They are a bridge between the SPBCP Project Document and the implementation of CAPs.

They address environmental, community and economic planners and policy makers involved in the establishment of CA's.

The guidelines aim to be informative rather than prescriptive. Each CAP will have its individual set of circumstances relating to the biodiversity and its relationship with the community. The design and management of the CAP should address these circumstances, the guidelines provide a suggested approach and identify issues that might be considered. Some consistency in the approach to funding applications, design and management is desirable to ensure all CAP elements are included to enable comparisons and a meaningful exchange of experiences.

The guidelines are preliminary and will be modified as experience indicates better and more appropriate ways of establishing and managing CAPs on customary land. Users are hence requested to make suggestions for improvements and enhance the effectiveness and responsiveness of SPBCP to country and community needs.

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I INTRODUCTION

(a) SPBCP

The South Pacific Regional Environmental Programme (SPREP) manages funds from the Global Environment Facility (GEF), on behalf of UNDP, to implement the South Pacific Biodiversity Conservation Programme (SPBCP).

SPBCP is described in the Project Document (April 1993)¹. This was the culmination of Phase 1 activities which also included preparation of a Project Formulation Framework (October 1991), an Interim Project Document (May 1992) and an Appraisal (August 1992).

Phase 2 of SPBCP is implementation, the draw down of funds starting in May 1993, and lasts for five years to April 1998.

The challenge for SPBCP is to achieve conservation of biodiversity on a sustainable basis within the Pacific Islands.

The approach is to fund large, diverse (terrestrial, marine and combined) conservation area projects (CAPs) in 14 South Pacific countries. Emphasis is on the establishment and operation of partnerships to develop sustainable management institutions for the conservation of biodiversity.

The partnerships include local land owning/using communities, government and non government agencies and the private sector. Applications for funding CA's are sought by SPBCP from eligible countries.

(b) Structure of the Guidelines

The **main body (PART A)** of the Guidelines give the goal and key features of SPBCP, how to access it (Sections II and III) and some considerations for project design and management (Sections IV and V). Sections VI, VII and VIII address the SPBCP funding, project costing, monitoring and evaluation and the objects and structure of the major preparation and management reports.

Appendices (PART B) to the Guidelines cover detailed contents of project preparation documents, how to cost a project, management reporting formats, the UN project network and a bibliography.

Free standing **technical annexes (PART C)** related to some important issues of CAPs are included covering Community Development, Income Generating Projects, Ecotourism and the

¹ South Pacific Biodiversity Conservation Programme, Project Document, (April 1993) South Pacific Regional Environment Programme and United Nations Development Programme, Global Environment Facility.

Process Approach to Project Design and Management.

II SOUTH PACIFIC BIODIVERSITY CONSERVATION PROGRAMME

(a) Structure

SPBCP headquarters is located within the SPREP offices in Apia, project staff include:

Designation	Staff
Programme Manager	Joe Reti
Socio Economic Adviser	Andrew Tilling
Biodiversity Adviser	Gary Spiller
Species Protection Adviser	Sue Miller
Administration Officer (Accountant)	Dan Devoe
Secretary	Faatupu Poihega
Secretarial Assistant	
Driver	Talanoa Tuala

SPREP contributes to SPBCP through the provision of additional management and administrative services and technical support staff such as the SPREP **Information and Publications Officer (Wes Ward)**.

This provides SPBCP with a broad base of institutional support.

The role of staff is to provide assistance as required to communities and governments in the development and implementation of CAPs.

A **Technical and Management Advisory Group (TMAG)** provides advice to the Programme Manager on:

- . identification, evaluation and selection of CAPs,
- . review of CAP Concept Papers and their development,
- . review of CAP Project Documents, management and implementation strategies,
- . monitoring and evaluation of CAPs,
- . the development and operation of a regional biodiversity database,
- . CAP research priorities, research and survey methodology, data analysis and interpretation,
- . procedures and guidelines for the establishment, management and monitoring of CAPs,
- . review of project progress reports.

Experience of TMAG's members in the South Pacific includes, project administration, a range of terrestrial and marine

biodiversity disciplines, natural resource management, community development, gender sensitisation, income generating projects, ecotourism and international NGO's.

It meets together once or twice a year but also has teleconferences and communicates by fax and electronic mail to consider issues at short notice.

(b) Objectives and Scope

The overall **goal** of the SPBCP is to:

"develop strategies for the conservation of biodiversity by means of the sustainable use of biological resources by the people of the South Pacific".

The **objectives** (paraphrased) are:

- 1 Assist creation of CA's that protect biodiversity, show ecologically sustainable use of natural resources and economic development of communities through management by local communities, NGO's and government agencies.
- 2 Protect threatened or endangered terrestrial and marine species in the Pacific region.
- 3 Identify new areas important for conservation of biological diversity, which could become CA's.
- 4 Improve regional awareness of the importance and means of conserving biological diversity.
5. Improve capacities and working relationships between different sectors and agencies contributing to the conservation of the biological diversity.

SPBCP defines **biodiversity** as "the variability among living organisms from all sources including inter alia terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems".

To cover the objectives SPBCP has two major areas of operation:

- (a) Funding the **development of the CAPs** with associated technical support at all stages.
- (b) Contributing to the **Regional Species Conservation Programme** covering birds, marine mammals and turtles both as part of CAPs and non CAP regional activities.

The **Regional Species Programme** component is funded for the three year period 1993 to 1996 to develop and implement regional strategies for the protection of birds, marine mammals and turtles. The programme is operated by the Species Protection Adviser, who will work directly with Government environmental

units, CAP management staff and non government organisations.

The services provided by SPBCP staff to individual CAPs are outlined in Appendix 1.

(c) Eligibility

The 14 countries eligible for GEF funding of CAPs from SPBCP are:

Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Solomon Islands, Tokelau, Tonga, Tuvalu, Vanuatu and Western Samoa.

A CAP may be conceived and promoted for funding by a government, a non government or private sector institution. The proposal may or may not have the endorsement of the government but in the latter case an explanation is required.

Appendix 2 shows a list of the eligible countries and the CAPs identified to date (May 1994).

(d) The Project Cycle

For each CAP there are four broad phases:

1 Project Identification (preliminary design)

Identify CA by the community/country,
Commitment from landowners/users,
Preparation of the Concept Paper (CP),
Submission of CP to SPBCP for consideration,
Accepted/rejected/further work required.

2 Project Preparation (project design)

Letter of Understanding between SPBCP and country,
Preparation of Project Preparation Document (PPD),
Review of workplans and budget by SPBCP,
Formal funding initiated.

3 Project Implementation (management of ongoing development)

Coordination and management of activities to implement project components,
Modifying workplans and budgets,
Reporting, monitoring and evaluation,

4 Project Finalisation (sustainable community management)

Adoption by communities of a strategy for the long term sustainable management of a CA,
Project completion report.

Note that this phasing is in the context of SPBCP, it does not preclude other phases or sub phases/planning periods for

individual CAPs.

III CONSERVATION AREAS (CAs) AND CONSERVATION AREA PROJECTS (CAPs)

(a) Features

The PD defines CA's as "generally large (relative to the island(s) on or around which they are established), diverse geographical units which contain important features for the conservation of the biological diversity of the region or country. Most will encompass a variety of land and resource uses. Conservation areas will be managed according to agreed criteria for the conservation of biological resources and sustainable community development which is ecologically compatible."

The main features of CA's are:

- . it contains significant biological diversity,
- . it is owned and/or used by the nearby community,
- . the biodiversity is under existing or potential threat through human activity.

Other features of CAP's may be:

- . lack of awareness and management skills amongst primary stakeholders to conserve resources,
- . long implementation periods,
- . need to provide/create financial incentives for primary stakeholders to conserve biodiversity,
- . need for flexible planning frameworks and funding source,
- . community based participatory project planning and local management.

(b) Selection of Conservation Areas

The PD lists six criteria on which to select a CA. These criteria can be used to establish a long list of CA's and by scoring each (weighted by their relative importance in the national context), a prioritised short list and preferred CA can be selected.

The Conservation Area must meet all criteria in Category 1 and some of those in Category 2. Note that a CA would not be possible if it did not meet the first two criteria, the sixth criteria is also very important in prioritising CAs.

SPBCP has a priority to fund one CAP at the request of each of the 14 eligible countries before a second CAP is considered for implementation in any one country.

CAP SELECTION CRITERIA	
Category 1 - Essential	
(1)	Presence of national/regional important ecosystems of global conservation concern and be large enough to maintain viability, eg rainforest, mangroves, wetlands, lagoons and coral reefs.
(2)	A high level of commitment from landowners, residents and resource users and other partners, (ie the stakeholders) to allow an achievable project.
(3)	The CA should be large and complex enough to have a wide range of typical interactions between people and natural resources prevailing in the country.
Category 2 - Preferable to have one or more	
(4)	It should have high levels of biodiversity and ecological complexity represented by; major environments, diversity of ecosystems and or large number of genera and species of plants and animals.
(5)	The CA may be important for survival of endemic, rare or endangered species at national, regional or global levels.
(6)	The CA may be threatened by destruction, degradation or conversion of land use.

IV PROJECT DESIGN

(a) Introduction

First thoughts about project design are presented in the **Concept Paper (CP)** and expanded on in the **Project Preparation Document (PPD)**. The objectives and suggested structures of these reports are included in Appendices 6 and 7.

In cases where SPBCP is asked to fund only part of an existing or future project it is important to define the objectives and scope of the whole project.

A **multidisciplinary approach** is generally required to address the variety of issues inherent in CAPs and prepare the PPD. Skills in community development, anthropology, socio economics, project design and management as well as the different aspects of the relevant biodiversity may all be required.

If there are uncertainties about how to **approach** the project

design seek advice from the SPBCP staff.

The rest of this section relates to the broad headings of the PPD (Appendix 7).

(b) Introduction and the existing situation

The following should be based as far as possible on existing information available from previous surveys and other published and unpublished material. There may be a lack of information about the socio economic aspects of the community in which case a participatory rural appraisal (PRA) supplemented by interviewing key informants may be needed to complete the PPD.

Provide a brief introduction to the project, why it was selected in preference to others, the objectives of the PPD and any project development to date.

The existing situation relating to the natural and cultural resources of the CA is described with existing data relating to the present scale and trends in quantity and quality. Highlight the significant biodiversity and its importance in terms of use to the local and wider community and any additional values it may have as being rare and endangered. Existing and potential threats should be mentioned.

The CA features to consider include the location, boundary, the size of the area and accessibility. The climate, topography and soils, geology and mineral resources and water resources should be covered to greater or lesser extent depending on the significance to the CAP and the available data.

Natural vegetation and other land use (idle land, forestry, agroforestry and agriculture) and the wildlife of the area should be documented identifying significant species, their use and other values, trends in populations and threats.

Any important historical or cultural features of the area should be identified in a similar fashion.

Document the existing economic development and activity relating to agriculture, forestry, fishing, tourism, mining etc in terms of its value, employment and existing and future impact on the CAP and vice versa.

The primary stakeholders (resource owners and users, including those living outside the area) and the broader CAP population should be identified and quantified if possible. The socio economic status (including health and education status) of the community needs to be defined along with its perceptions of major problems and constraints. There is a need to know the social structure and decision making units and processes at the community level and the important incentives in determining behaviour. Constraints to the equitable distribution of information and benefits and to the equitable participation by women need to be identified and considered in the project design

process.

The present level of commitment, (and how it has been obtained), that resource owners have to the project should be detailed.

Refer to the pattern of resource ownership in the CAP and identify any known disputes, how they may impact on a successful CAP and the method and likelihood of resolution.

The physical and social infrastructure and services of the area should be documented in relation to national standards and amplified if they are seen as inadequate with possible linkages between improvement and environmental conservation issues. These include roads, water supply, sanitation, electricity, communications, health care and education facilities.

A profile of government and non government agencies and committees are likely to play an important role in CAP implementation is required. This would include the functions, resources and present workload of the agency in terms of it being able to make effective and timely inputs as required by the CAP. Any potential areas for strengthening that would directly be of benefit to the CAP should be identified.

The environmental conservation and resource use policies and programmes should be outlined with the aim to indicate national, local and village government commitment to conservation, and to show legislation (or lack of it) that provides a framework for the development of community managed CAP's.

Summarise this part of the PPD by highlighting the biodiversity and/or ecosystems of the CAP, its values and relationships with the community.

(c) CAP Rationale and Considerations for Design

The existing situation (present status and trends) relating to the physical resources and social and economic framework of the CA lead to the rationale for the CAP. This can be summarised in terms of how well the area meets the selection criteria, (Section III (b)) adding any items of significance.

In addition to the rationale (which reflects the project objectives) other issues to consider in project design are the constraints faced in achieving the biodiversity objective, the SPBCP philosophy of participatory planning and community based management, specific comments from the TMAG, the level of resource owner commitment and community awareness and lessons learnt from other projects.

The UNDP policy on gender sensitisation requires there to be due recognition of the role of women and that they should participate in the distribution of project benefits at least in proportion to the input which they make. An indication of the type of involvement includes equitable representation in the decision making processes, consideration of special needs of

women in the development of technology and their traditional activities in the life of the village. Technical Annex 1 outlines some additional activities for inclusion of women in community development.

Community based environmental projects have many of the features required for a **process approach** to design and management, see Technical Annex 4.

Key features of the process approach itself are:

- . Flexible design and implementation
- . Comprehensive local participation
- . Clear institutional framework
- . Monitoring and evaluation
- . Rolling project framework
- . Careful staging and definition of decision points.

The design of individual CAPs should be checked against these criteria.

Appendix 5 lists profiles of projects being designed or implemented in the region that could have some relevance to individual CAPs. There may be instances where activities of such a project could provide direct inputs to a CAP.

(d) Project objectives

The CAP objective is defined with consideration to:

- . encompass the whole scope of the project,
- . reflect conservation of biodiversity,
- . reflect sustainable resource management by the community in partnership with government and non government agencies,
- . the need to assist in the development of successful CAP models for the South Pacific environment and cultures,
- . be consistent with the overall SPBCP goal (Section II(b)).

An **example of a CAP objective** is:

'To conserve the biodiversity of the conservation area through the creation of sustainable management practices and community development in the CA and adjacent areas in partnership between customary landowners, users, government and non government agencies.'

(e) The Target Group

The existing and future generations of resource owners and users and their families, (those that have the property rights to the CA and surrounds and able to make decisions about resource use), are the direct target group and beneficiaries of the CAP.

There will be other beneficiaries/stakeholders as individuals,

government and non government institutions, at local, national, regional and international levels.

There are sectors of the community where it might be necessary to include special emphasis or mechanisms in the design to ensure they are included as decision makers/beneficiaries such as for women and youth.

The target group should be differentiated according to the landowners (resident and absentee), users of the CAP, and the broader community. This enables an assessment of the winners and losers from the project, it is a basis for the distribution of benefits and provides guidelines for project design to minimise the losers and extent of loss.

It is important to quantify the target group where possible.

(f) Project scope, components and the logical framework

The scope of CAPs is indicated by the PD which states that the following will be in place/completed by April 1998:

- . landowner or community groups identified,
- . concept and project plans developed and approved,
- . coordinating groups established,
- . management plans developed,
- . ecological surveys carried out,
- . core protection areas with possible buffer zones,
- . sustainable biological resource development and income generation options identified and advice provided for implementation,
- . improved community awareness of biodiversity conservation,
- . long term, self supporting project management structure with trained personnel in place,
- . additional donor or technical agency support secured,
- . monitoring systems developed and in place,
- . harvesting and environmental impact controls.

In three terrestrial based CAPs² it appeared that the scope of CAP objectives could be met through the implementation of three or four broad based components. Components are reasonably mutually exclusive groups of objectives, activities, outputs and inputs (cost centres).

The **components** were:

- . Project management
- . Sustainable resource management plan
- . Community development
- . Other

² Western Samoa, Fiji and Vanuatu.

Project management - relates to short term project management activities and the development of long term community based management structures.

Sustainable resource management plan - the preparation of a plan which indicates the preferred type and level of use for the area given the physical resource base and socio economic framework.

Community development - this included a range of objectives and outputs not yet fully developed and which require some intervention to progress them further. They all relate to community development in one way or another and comprised:

- . resolution of within and between village disputes,
- . intensification/development of agriculture, fisheries, forestry,
- . development of social services and infrastructure,
- . ecotourism, (see Technical Annexes 2 and 3 for issues to consider in income generating projects and ecotourism in particular),
- . identification and development of other income generating projects,
- . development of the CA as an educational facility

Other - where any issue in the third component gains momentum and becomes a major activity/cost centre there may be justification in it being a separate component, eg ecotourism. Each **component** can be defined in terms of **objectives** and objectives defined in terms of required **outputs**. For each output a number of **activities** are specified which in turn may require **inputs** to be costed. These can be shown as a list or a **logical framework** used to summarise the project/component design (see Appendix 8).

The logical framework is a useful technique for:

- . providing a framework to guide planners through the logical processes of project design ensuring that the entire scope of the project goal is addressed by an output and associated inputs,
- . summarising the project plan, its component objectives, outputs and activities/inputs,
- . by including verifiable indicators and methods of measurement provides a monitoring and evaluation framework,
- . by including dependencies identifies interrelationships between project components and between components and activities thus helping to sequence the workplan.

As CAP development is expected to be long, it is not possible to identify all outputs and activities, or maybe even all of the components at the time of the PPD. Activities and priorities will change according to progress and new data that comes to light during implementation. Activities listed in the PPD are

based on present knowledge. Some of the more distant ones become part of a check list, they seem to be important based on present knowledge but future knowledge may make them irrelevant.

It is necessary to conceptualise the whole of the project at the time of the PPD, based on present information, to show the broad relationships between the project goal and components and to estimate an indicative total project cost.

(g) Phasing and Workplan

On observation of the CAP components it will be possible to divide the overall project development period into separate phases based on the distribution of major activities of the components and the achievement of key milestones, eg:

- Phase 1 Starts now and ends with the acceptance of the sustainable resource management plan.
- Phase 2 Starts at the end of Phase 1 and ends with the effective operation of a community based management institution.

The phase names refer to the major targets for the period and doesn't exclude other component activities occurring at the same time, for example, much of the preparatory work for Phase 2 could be undertaken during Phase 1.

At the outset all anticipated phases should be identified and scheduled, the final one ending with the adoption and effective management of a sustainable management plan for the CA by a community based institution, ie the project goal has been attained.

After identifying the project components, the major objectives, outputs and activities, two workplans should be prepared. The first being a relatively detailed plan for the first phase (of at least 12 months) by months or quarters showing the timing of, and those responsible for, major activities. The second to show an indicative plan by major known component outputs and phases for the whole of the project period. The two could be combined. A simple format is shown in Appendix 3 (D.1).

The community factor in CAPs is likely to lead to long development periods and uncertain directions taken in achieving goals. New information coming to hand during project implementation may show more relevant targets and effective ways of achieving them than those first planned. Adopting a **process approach** allows flexibility to redefine activities as required as long as the integrity of the project goal is maintained.

How this will be done through reporting and meetings should be made clear.

(h) Project Inputs, Costs and Financing Plan

Costing of inputs is required for those identified for each component in the workplan. Accurate costs for the first phase/year are required as a basis for funding whilst indicative costs for subsequent phases are required to assist SPBCP in the longer term management of funds.

Thus two summary cost tables are required, the first by months or quarters for the first phase and the second showing indicative costs by phases for the whole project.

The project allows for some recosting when submitting quarterly applications for funds whilst changes in costs resulting from major changes in project direction can also be considered at longer term intervals.

For the same set of cost categories, a table needs to indicate the project cost according to the funding source; SPBCP, provided directly by the government (staff time, office space etc) and other funding sources, and to identify parts as yet unfunded.

These can be shown in cash or kind.

An approach to project costing including the categorisation of costs and an indication of costs that SPBCP will cover is covered in Appendix 4.

(i) Organisation, Management and Coordination

In many cases there will be an **initial** lack of project and sustainable resource management skills within the community. These will need to develop and hence CAP management activities will be in two parts.

Initially activities will need to be coordinated (with participatory planning) by a government or non government agency. A major task during this phase is to develop community based planning and management skills.

The second part starts when community based skills are such that it can be effectively responsible for the sustainable management of the CA. The transition from the first to the second part is likely to be gradual with the community taking on more and more responsibility.

In designing a system for project management, the CAP requirements and available resources need to be assessed, activities and inputs defined and scheduled. It is wrong to assume that project management will 'just happen' in response to the needs of the project. Like any other input it must be planned on the basis of project needs and the capacities of the relevant institutions and individuals and their other workloads.

The SPBCP makes two recommendations to enhance the development of community based management activities. These are:

- . the appointment of a Conservation Area Support Officer (CASO) to coordinate and undertake activities within the CA, and
- . the establishment of a Conservation Area Coordination Committee (CACC), being a community based institution to develop as the CA management entity.

In addition technical task forces or sub committees could be established and coordinated (by the lead agency, CACC or CASO) to progress particular project components or activities in the work plan. Issues such as the creation of a broad based level of awareness in the area and the identification and development of income generating projects could be progressed in this manner.

The short term and anticipated long term organisation structures, showing the linkages between the relevant individuals and agencies should be illustrated.

List the functions of the different institutions involved and their present level of commitment, any support that they may need to make effective timely inputs.

Such questions as:

- . How will the coordination of inputs by the different agencies be undertaken?
- . Who will undertake the project administration and financial control, the reporting and monitoring and evaluation activities?

need to be considered and answered.

(j) Legal Framework

Summarise any legal aspects relating to government legislation providing guidelines for CAP's or national parks, the relationship between SPREP and the CAP, as outlined in a Letter of Understanding (LOU) and between the CAP and other funding agencies.

(k) Training

Training for most CA's will be a critical input, it is spread accross a number of components and outputs. To help put it in perspective and enable the organisation of regional training courses for a number of CAPs it is useful to summarise the project training requirements, for example:

Course requirement	Trainees	Apprx timing	Apprx number
Community awareness	CAP landowners and whole		

	community		
Participatory rural appraisals	NGO's and govt agencies, CASO		
Community business management	Community, CACC members		
Project preparation	Landowners, govt and NGO agencies		
Sustainable resource management, impact monitoring	Landowners, park guides/ranger		
Environment management, business,	Community women, youth		

(1) Benefits, risk and outstanding issues

The expected impact of the CAP on the stakeholders and the biodiversity of the area should be detailed with particular emphasis on the distribution of benefits between stakeholders. In the design of the project it should be kept in mind that the benefits should ideally accrue to beneficiaries roughly in proportion to their investment/input in resources and effort. Anything less is a high risk to long term project success.

Some people will be worse off because of the CAP and these too should be mentioned along with the extent of expected loss.

The major risks to the project achieving its objectives should be mentioned. Categorising them as physical/technical, social, institutional and economic/financial helps to identify them.

The outstanding issues as at the time of preparation of the PPD are those that require urgent attention in order to progress project implementation.

V SOME PRACTICAL ASPECTS OF PROJECT MANAGEMENT

(a) Structure and coordination, institutional strengthening

Initially there are likely to be two foci of activity; the CA where concentration will be on developing local awareness, participatory planning and management skills, and; an urban base for the lead agency, where coordination of activities will be initiated and much of the administration is undertaken.

There must be good communication between the two activity areas and supported with reporting and meeting schedules.

Activities will become more CA orientated as implementation proceeds.

CAPs are likely to require inputs from different government and

non government agencies to address the range of technical and community issues. Such inputs should ideally be sequenced in a logical way coordinated by the lead agency. The limited resources of most Departments of Environment, or their equivalent, in relation to their workload make this extremely difficult. Ways of mitigating the problem could be considered through:

- . Nominating an existing government or non government agency employee in the lead agency as the Project Coordinator, this person will be the main contact point for the CAP and be fully aware of all aspects at any one time.
- . Employing a well experienced and qualified field based Conservation Area Support Officer (CASO) or Project Manager as soon as possible. Any training needs of the CASO should be identified and met. His/her effectiveness must not be constrained by lack of transport or equipment etc.
- . Appointing village part time counterparts (paid) to work with the CASO to gain a depth of understanding through sharing and disseminating knowledge and experiences.
- . Early establishment of the Conservation Area Coordinating Committee (CACC) so it can start taking responsibility as soon as possible.
- . Form technical task forces or subcommittees by the lead agency or the CACC to progress specific issues such as community development, ecotourism, income generating projects, agricultural development, social infrastructure, education etc.
- . Acceleration of the development of community based management through focussed training for awareness and management skills.

(b) Project manual

A manual reduces the risk of project experience being lost when key project staff temporarily or permanently leave the project. The content may address:

- . terms of reference for key staff,
- . employment conditions,
- . composition and terms of reference of the CACC,
- . procurement procedures,
- . financial procedures (application for funds, budgeting, financial reporting),
- . reporting of physical progress,
- . monitoring and evaluation procedures for project impact,
- . formats of physical and financial reports, employment and consulting contracts,
- . list of project files,
- . methods of modifying workplans in light of new information and changed circumstances,
- . key contacts, addresses, phone and fax,
- . reference material.

The manual should be updated as required.

(c) Workplans and monitoring progress (milestone reviews)

In practical terms the **process approach** to design and management requires the setting of a number of milestones/targets to be achieved within short to medium term planning periods for each component. The project has a 'rolling' design and implementation approach, being kept in check with periodic reviews (towards the end of each phase) of outputs to original objectives.

This flexible approach requires skilled management and usually needs some onerous reporting and decision making processes, (see Technical Annex 4).

The first project phase (as shown in the PPD), where activities and tasks are known with some certainty, could be broken down into more detailed and shorter planning periods (say corresponding to the quarterly application for funds or monthly internal management requirements) and a number of 'milestones' (planned target dates for completion of an activity/task) nominated to work towards, for example:

Activity	Target date
Application for SPBCP funds	15/3, 15/6, 15/9, 15/12
CASO in place	1/7
Landowner commitment	30/5
Community awareness programme starts	15/7
Archaeological survey	by 30/6
Cultural sites survey	by 15/7
Biodiversity survey	by 15/8
Soils survey	by 30/7
etc	

All relevant agencies, including the funding agencies need to be kept informed of major changes in the project design.

(d) Reporting, budgeting and financial control

Critical to effective project management is a comprehensive yet simple reporting system.

SPBCP has its own reporting requirements to UNDP, consequently there are some back to back reporting required from each CAP.

Quarterly Reports

The object is to request funds for the next quarter. This needs to be rationalised by acquittal of the previous quarter's funds (together with receipts for major items) according to CAP cost

headings, the original budget for the quarter as presented in the annual report and explanations of large divergencies between the original budget and amount requested.

Brief statements as to project progress in relation to that planned for the previous quarter (by components) should be made together with an indication of any problems or constraints and planned resolution.

This will need to be submitted (faxed) about six weeks before the end of the present quarter so SPBCP has time to aggregate a submission to UNDP four weeks before the end of the quarter. This timing may become more flexible, based on six monthly application for funds rather than quarterly, in due course.

A suggested format for the quarterly report is included in Appendix 3.

Six Monthly Report

This has the same objective and content as the quarterly reports except that a more rigorous assessment of the CAP's goals and objectives is made in light of progress to date. The same format as the quarterly report in Appendix 3 can be used, expanding to include the above assessment.

Annual Report

The annual CAP report should be presented no later than two months after the end of the financial year (adjusted to a July to June year if necessary). It should reconcile funds (from all sources) received with expenditure made for the 12 months, explaining variations. It should discuss the year's activities in light of those proposed in the PPD or the previous annual plan, major constraints and achievements and show consistency with the project goal and component objectives. It could be produced at the same time as the first quarter funding request if it is ready.

Annual Plan

The object is to prepare a physical plan (project milestones for the year would be identified) and budget (by quarters) for the next year (this may or may not correspond with a Phase) for submission to SPBCP by the middle of May each year. A reconfirmation of the consistency between project objectives and components should be made.

Approval would normally be expected before the start of the next financial year (July). A format is shown in Appendix 3.

Other reports

Other reports are internal management reports and should be as

consistent as possible with those required by SPBCP to avoid duplication. Such reports might be submitted on a monthly basis by the CASO to the CACC and to the leading agency.

These would be prepared by the Project Coordinator and CASO on a regular basis (monthly) for presentation to the CACC and its precursor in the initial stages. It should address both physical and financial aspects relating to progress and expenditure (budget and actual). Progress should be assessed in light of the previous period's targets. The physical and financial budget for the next planning period to be presented.

Reports from any special issue task forces should be prepared as required.

Information in the above reports will be the basis for the reports sent to SPBCP.

Although the reports are prepared on a quarterly basis, CAP management may need preparation of budgets on a monthly basis for greater control.

(e) Sources of funds

For most projects the initial major funding agencies will be the national government, through the provision of time of government staff, and SPBCP. There may be one off or continuing funding or provision of inputs from other sources such as bilateral aid, TA from the ADB and NGO's.

SPBCP funds at this stage are secure to April 1998. It will be important for CAP's to promote their cause to other local and international funding agencies to enable continuous planning and implementation without interruption.

(f) Community based management

A major subcomponent of the CAPs is to establish an effective community based management structure. This would need to make decisions about sustainable use of natural resources and enforce regulations to bring about that use. It would also take on responsibility for financial management, procurement and coordination of activities of government and non government agencies and consultants and other administrative activities.

The development of community based management must be underlain by a sense of project ownership by the primary stakeholders, ie they must not see the CAP as an intervention by agencies who will continue to support it indefinitely. The project benefits should be sufficient to compensate the target population for their efforts and possible income foregone, in conserving the resource.

To develop and maintain this sense of ownership will be a major challenge and needs to be constantly reviewed, particularly in the early stages when the capacity for community based management is very limited.

(g) Keeping records

Financial records will need to be centralised, ensuring the project accounts can be identified either separately or from within an overall agency accounting system. A project cash book would need to be kept up to date to enable financial control and quick completion of quarterly reports for application of funds.

It is important to define a filing system according to project components and major outputs and activities at the beginning of the project and keep information that records the development of the project over time. This will be important for monitoring and evaluation and analysis purposes for ongoing project design as well as for providing case study material that contributes to the development of other CAPs.

VI SPBCP FUNDS

(a) What costs will they cover?

The types of costs that SPBCP will cover are discussed in Appendix 4.

(b) Disbursal of SPBCP funds

Funds will be preferably transferred to a CAP nominated project account by SPBCP every quarter. They can also be sent by cheque direct through the post, however this may lead to the late arrival of funds.

VII PROJECT MONITORING AND EVALUATION

(a) Introduction

Having adopted a process system of project implementation it is important for rigorous systems of monitoring and internal and external evaluation activities to ensure activities remain consistent with the project goal/objectives.

This will lead to an effective system of ongoing project design.

There is a need to make sure original objectives are kept in mind and any design modification is made with respect to them. This doesn't mean that objectives can't change but there needs to be strong justification, such as the original objectives becoming irrelevant in light of new information or major external factors such as cyclones that alter the nature of the area.

There are two aspects of monitoring and evaluation, both to assist project management and to satisfy the SPBCP, UNDP and GEF that project objectives are being met.

- . Monitoring of project implementation
- . Monitoring and evaluation of project impacts on biodiversity and community development

These are undertaken through:

- . Within CAP management procedures (meetings, reporting)
- . CAP regular reporting to SPBCP (quarterly, six monthly and annual) and visits to CAPs by SPBCP staff.
- . Mid term evaluation by outside agency
- . Project completion

(b) Project Management and Implementation

In relation to those outputs and activities identified in the work plan for each component and related to overall project implementation.

For project management the major indicators could include a strengthened lead agency, the employment of a CASO and the effective operation of the CACC, project procedures manual, effective reporting of financial and physical progress, a framework for effective participatory planning and transition to community based management.

For the CAP sustainable management plan indicators will include the achievement of the major inputs and the resultant agreed plan reports. The same type of indicators apply for community development and say ecotourism components.

Such information would be reported in quarterly, six monthly and internal management reports.

(c) Project Impact

The impact of the CAP on the biodiversity and the community could be measured using the following indicators:

Impact on community management,

- . achievement of management and administration activities at community level: operating bank accounts, employing staff, CACC management role, effectively enforcing regulations for land use, active participation in ecotourism etc,
- . reduction of land use conflicts and disputes,
- . effective participatory planning and implementation: community decisions reflected in project workplans
- . widespread level of understanding and ownership amongst the community
- . minimal number of complaints from village community relating to government activities, distribution of funds etc

Impact on biodiversity conservation and resource management,

- . (as per the critical indicators identified by the biodiversity survey and resource use plan)

Impact on welfare of community

- . higher household incomes and/or increase in household well-being,
- . increased incomes from cropping and livestock activities related to conservation derived income generating activities,
- . increased revenue from eco tourists,
- . development of other income generating activities,
- . more efficient or beneficial resource activities,
- . evidence of benefits being equitably distributed amongst the community.

Impact on the involvement of women and youth,

- . evidence of the increased influence of women in decisions affecting resource management.
- . number of women trained as part of the project
- . number of youth trained and undertaking pilot environmentally orientated projects.

It may be intended to undertake an assessment of the impact of ecotourism on the community.

(d) Project Review

Evaluation/review is to be carried out in the middle of the SPBCP funding period by an outside party and a project completion report to be prepared at the end of the period. In addition TMAG will undertake an annual review of the project on the basis of periodic visits by SPBCP staff and the periodic reporting process.

(e) Bench Mark Data

In relation to impact monitoring there will be a need to quantify, where possible, those features and characteristics of the biodiversity and the socio economic status of the community. Such information will come from existing published and unpublished information, from formal surveys and rapid rural appraisals relating specifically to the area.

In undertaking such surveys it should be kept in mind what other project components might also require such data (project planning, income generating projects etc) and endeavour to address these needs at the same time.

APPENDICES TO THE GUIDELINES

APPENDIX 1 SERVICES PROVIDED BY SPBCP

1. Professional Support

SPBCP have two field staff, a Community Development Adviser and a Biodiversity Adviser. A Species Protection Adviser will be spending half of her time directly related to the SPBCP. These three staff and the Programme Manager are available to provide assistance to individual CAPs on request at any stage of the project cycle. SPBCP will act as a focus for the network of CAPs.

2. Consulting Services

If the consulting/technical assistance requirements of CAPs can't be met locally a request for names and contacts from SPREP's consultant's register can be made. If required, SPBCP can assist in the preparation of the terms of reference, organise contractual arrangements and directly pay the consultants.

3. Training

Training will be a critical input for most CAPs. SPBCP will, over time, compile a data base on the common training needs of CAPs and a list of institutions and people that supply training services within and for the region. This service will be enhanced by inputs/feedback from eligible countries through passing on their training needs and information relating to training sources to SPBCP. It can also recommend itineraries for study tours.

4. Operational Field Level NGO's and Community Based Organisations

For CAP's requiring field level inputs from NGO's SPBCP will endeavour to provide a list of operational NGO's. Efforts to date to develop a data base on effective NGOs has not been successful. The development of this aspect will depend on a sharing of knowledge between CAPs and SPBCP.

5. International Funding Sources

As CAPs develop they may need to be promoted to international agencies for alternative sources of funding after SPBCP ceases in April 1998. Major international environmental NGO's, bilateral aid programmes and regional institutions are possible sources and SPBCP will facilitate contact if required.

6. Regional Conferences

SPBCP will hold regional conferences/meetings/workshops from time to time for those involved in CAP implementation, the object being for training and to share and record experiences, building a more effective framework for CAP design and implementation.

7. Information services

The SPREP Library and Information Centre is available to identify and locate reference material from sources inside and outside the region. The SPREP Information and Publications Officer can assist in the preparation of environmental extension materials, including the production of print, radio and video for local and regional use.

SPREP is also an active participant in the Pacific Sustainable Development Network for accessing relevant information, and it has direct access to local and regional radio through the One World Project. Spatial data for the region is available through the Pacific Environmental and Natural Resource Information Centre (PENRIC).

Contact **Wes Ward**, the Information and Publications Officer at SPREP.

APPENDIX 2 SPBCP COUNTRIES AND CAP CONCEPTS

Country	CAP (1)
Cook Islands	
Federated States of Micronesia (Pohnpei)	Watershed Management and Environment Project
Fiji	Mt Koroyanitu National Park
Kiribati	Kiribati Conservation Area
Marshall Islands	
Nauru	
Niue	Biodiversity Conservation Programme
Palau	Biodiversity Conservation Programme
Solomon Islands	Komarindi Watershed Management Project
Tokelau	
Tonga	
Tuvalu	Funafuti Marine Park Project
Vanuatu	Big Bay National Park
Western Samoa	Saanapu/Sataoa Mangroves

(1) As at end May 1994

APPENDIX 3 SAMPLE REPORT FORMATS

In Section V (d) the quarterly, six monthly and annual reporting activities are identified together with the need for an annual plan. The following are indicative formats (not to scale) that CAPs could consider for adoption.

QUARTERLY REPORTS

A. PHYSICAL PROGRESS AND PLAN

A.1 LAST QUARTER'S PROGRESS

Planned component activities/milestone	Activities achieved	Comments (constraints, resolutions etc)
1. Project management		
2. Sustainable resource		

management plan		
3. Community development		
4. Ecotourism		

A.2 NEXT QUARTER'S PLAN

Component activity/milestone planned	Comments (responsibility, dependencies etc)
1. Project management	

2. Sustainable management plan	
3. Community development	
4. Ecotourism	

B. FINANCIAL RECONCILIATION AND REQUEST

B.1 BUDGET/ACTUAL BY COST CATEGORIES (SPBCP FUNDS ONLY)

Code	Cost category	Year	Last quarter (10)	Next quarter
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- (1) Identify the inputs in cash and kind and approximate values that have been supplied by other funding sources during the quarter. Relate it to those inputs identified in the annual plan (D.2).

C. GENERAL COMMENTS (SIX MONTH REPORT ONLY)

C.1 PHYSICAL

(Highlight positive points and constraints, resolutions, are project goals and objectives still relevant and consistent with component outputs?)

C.2 FINANCIAL

(Explain major variations between budget in Annual Plan and expenditure to date)

--

D ANNUAL PLAN

D.1 PHYSICAL PLAN

Component /activity	Resp	1994						1995					
		<-----Phase 1----->						<-----Phase 2----->					
		J	A	S	O	N	D	J	F	M	A	M	J

(NB: The work plan should show the major component activities as the basis for the budget D.2, include the institutions responsible and document the main features, the starting and end points of phases and major expected milestones by quarters)

D.2 BUDGET FOR THE NEXT YEAR

Cost category	Budget for period				Total	Funded by:	
	Q1	Q2	Q3	Q4		SPBCP	Other

(NB: Indicate if any project component is without funding at this time).

APPENDIX 4 PROJECT COSTS

1. Introduction

Project costs are required to:

- . estimate funds from SPBCP to cover the cost of CAP inputs,
- . provide data for budgets to identify financial incentives for income generating projects,
- . possibly undertake ex post economic analysis of projects in due course,
- . assist SPBCP plan distribution of funds between CAPs,
- . indicate components that have a source of funds and those that need funding,

There are three ways in which SPBCP can fund CAPs:

1. Directly to CAP management responding to quarterly requisitions.
2. SPBCP paying costs directly to providers of services, such as consultants, on behalf of individual CAPs.
3. Funding regional activities which benefit all CAPs, such as regional conferences, species protection, production of promotional materials (videos, posters).

An accurate estimate of project costs for the first year/first phase of the project by months or quarters is required to indicate funding needs from SPBCP and other sources. This exercise should be carried out at the beginning of each short term planning period. These estimates are the basis for funding requests over that period. They provide a baseline or budget against which actual expenditure can be compared. Such a comparison helps to identify problems during project implementation.

A less accurate long term cost estimate is required to provide some idea of the scope of the total project based on current thinking. This also assists SPBCP manage it's funds between CAP's.

Other project funding sources (in cash and kind), such as government, project beneficiaries and other agencies should be

identified. It can thus be seen what CAP components are being funded and if funding gaps are likely to lead to delays in overall implementation.

(b) What type of costs will SPBCP cover?

For project funding purposes a cost is only relevant if it is directly related to the CAP.

There are no precise criteria in place to determine whether or not a particular cost item will be funded by SPBCP, the two general guidelines are:

- (a) It will not fund major and high cost items of equipment or infrastructure which incur ongoing operating costs and where replacement costs may be required ie not sustainable.
- (b) It will fund items that are considered to be essential for the successful implementation of the CAP, the low cost options will be given priority provided effectiveness is not unduly compromised.

The final decision is made by SPBCP and will depend on the situation faced by the individual CAP; what may be approved for one CAP may not necessarily be appropriate for another CAP.

The PD indicates CAP costs that might be covered by SPBCP:

- . CA Support Officers (CASO);
- . costs involved with identification of candidate CA projects
- . development of country and site specific strategies for CAPs;
- . CA coordination groups responsible for local participation and planning;
- . securing endorsement of government and local land owning groups;
- . support for biodiversity conservation, sustainable resource use and community development activities within CA's;
- . support for information and education activities to improve awareness and involvement among local communities working on CAP's;
- . training and workshop activities for Pacific Island nationals working on CA projects.
- . 'Some SPBCP funds may be used for small seed monies and advice will be provided to local groups which wish to obtain loans for sustainable development activities such as community agroforestry development or conservation linked tourism development'.

Regionally SPBCP will:

- . support to establish and maintain databases and organise information, at the local CAP, national and regional levels, on biodiversity, its use and conservation; collaboration with environment and development organisations, and dissemination of SPBCP findings to guide policies and programmes in the region,
- . implementation of species protection strategies, particularly for marine mammal, turtles and bird species.

SPBCP may cover some costs of strengthening the lead agency responsible for the CAP but in general will not cover the costs of providing offices and administrative services for the CASO.

Some further SPBCP funding criteria set out by TMAG are:

- . SPBCP will not pay for activities by local resource owners that they are engaging in for their own benefits. People will not for example be paid to attend meetings and workshops except to cover expenses. Traditional gifts to village meetings are acceptable.
- . Paid positions created for SPBCP activities will be clearly phased out of the programme or be self funding by the final year of funding or there will be a clear understanding that the ongoing position will need to be funded from elsewhere.
- . Local salaries paid will be comparable with local rates.
- . SPBCP will avoid funding infrastructure unless it is clearly shown to be essential to the CA and that sustainable upkeep beyond the life of the SPBCP is budgeted for.

For **technical assistance (consultant services)**, costs can be directly met by SPBCP (fees plus per diems and reimburseable expenses). The CAP should notify SPBCP of planned TA requirements for 12 months ahead, submit TOR and rationalise for approval along with the estimated time, timing, cost and preferred consultants, if any. If there are no preferred consultants SPBCP can forward selected CV's from its register to the CAP for their selection. SPBCP will negotiate with a consultant on behalf of the CAP. The report/survey results on completion will be forwarded to the CAP and SPBCP and the consultant's final payment will be made on acceptance of the work by both the CAP and SPBCP.

(c) Identifying and Categorising Costs

In defining CAP cost categories it is important to ensure they are consistent with national government requirements. For SPBCP costs should be able to be allocated to one of the following categories:

CAP consultancies, either as part of CA establishment and

management or as a part of CA sustainable development activities.

CA Support officers (CASO's), salaries and wages for CAP project managers and village based conservation officers.

CA awareness identification, includes the cost of in country reviews, surveys, information and CA identification, national and local publicity, SPBCP database, CA evaluation.

CA establishment and management, support for individual CAPs, establishment, planning, coordination, (coordinating groups, survey, research, information and administration).

CA sustainable development activities, support for individual CAPs, sustainable development activities, pilot projects, initial capital.

Species protection, implementation of SPREP regional protection strategies, birds, turtles, and marine mammals.

Study tours

In service training, training workshops and conferences.

This allocation will be done by SPBCP.

There are many uncertainties relating to the identity and timing of CAP benefits, (and costs to a lesser extent), some are not possible to quantify and normal ex ante benefit cost or cost effectiveness analysis has little meaning. Further, there are no costs analysed from previous CAPs that could be used to guide the costing activity, ie identifying acceptable levels.

It is hoped that SPBCP will make important contributions to identification of acceptable cost levels, and resource economics in general, for CAP's on customary owned land.

Allocation of costs into appropriate categories from the start may enable possible ex post economic analysis in due course.

A more detailed level (cf that required for SPBCP purposes) of costing will enhance project budgeting and financial control. It will assist management in highlighting areas of concern, pinpointing particular areas for comparison of budget/actual, comparison of individual categories over time, comparison between projects and provide more useful data for future project planning.

An initial step is to separate costs into capital (investment) and recurrent (operating) costs. They are grouped under headings that provide an adequate general definition.

The following tables are a guide for allocating costs to categories, they are typical project costs and will not necessarily all be paid for by SPBCP.

A Capital/Investment Costs

Second level classification	Third level classification
Buildings	
Vehicles	
Office equipt and furniture	Typewriters, computers, printers, UPS, software, photocopier, filing/map cabinet, desk, chairs, tables, miscellaneous
Technical assistnce & studies (provided by local and international government, non government and private people and institutions)	Services of govt staff and consultants, value of contract to undertake particular studies (include the whole package of costs, fees and reimburseable expenses).
Training equipment	Video receiver and monitor, video and SLR camera, overhead projector and screen
Impact monitoring and evaluation	Socio economic survey, rapid rural appraisal, materials, project evaluation team.
Training	Study tours, scholarships

Project/biodiversity promotion	Posters, video production
Development fund (revolving fund)	Costs involved with initiation of financially viable enterprises

B Recurrent/operating costs

Second level classification	Third level classification
Salaries and wages	Wages and salaries and on costs of staff employed wholly or partially by the CAP. Includes the value of the total package and estimate of overtime, allowances etc that might be attributed to the CAP. These are people associated on an ongoing basis, not undertaking one off surveys.
Building operation and maintenance	
Office operation and maintenance	Office rent, contribution, staff recruitment costs
Vehicle and equipment O&M	Running expenses of vehicles and other equip't. (fuel, repairs and maintenance, lubricants)
Training and demonstration (include ongoing programmes of raising levels of community awareness, agency staff awareness)	Training packages provided under contract, or for self designed training aggregate the individual costs (resource people, transport, consumable)

awareness)	materials, accomadation and meals, field trips, etc)
Meetings, conferences,	For landowners, project staff

(d) The Process of costing CAP's

1. Long list of project costs

For each project component prepare a long list of inputs that are likely to have associated costs, including incremental costs and other inputs that will be made by the government (such as staff time, office facilities etc).

2. Aggregation of costs under major cost headings

Categorise the inputs/costs, deleting any duplications, firstly into capital and recurrent costs and then into major cost headings such as those in the tables above.

3. Unit costs

For each of the individual cost item components, prepare the specifications and appropriate unit costs (ie for third level costs or below). These become one set of building blocks for project costing.

They are based on present market values (the total cost including the cost of transport, insurance etc) at the site where the input will be used. For major input items show the assumptions on which costs are based, also if relevant, refer to the period for which the cost is valid. The costs are held constant for the project period but also show the indicative rate of inflation (if there are no forecasts show the present and average for the last three years).

Tables 1, 2 and 3 are examples of unit cost tables.

4. Detailed cost tables for the first year/phase and for the whole project

For each CAP component define the costs under each major cost category. Obtain the quantity and timing of inputs from the work plan (the other set of building blocks) and together with the unit costs derive a cost table by months or quarters for the first year/phase of the project. Table 4 is an indicative format that might be used.

Prepare a similar table by components by years for the whole project at a lesser level of detail of cost definition, estimates to be backed up with written assumptions and referral to unit costs.

5. Summary of government and other contribution to project costs

From the detailed first year and whole project cost tables (step 4) identify the existing and incremental government agency costs that are being/will be paid for by the government and other agencies and present in a separate table by years for each component and the project as a whole.

6. Summary project cost tables

Prepare a table showing total incremental project costs (ie excluding government contributions already being paid such as existing government staff salaries and office costs) for the first year and for the whole project period (to end of SPBCP funding). The first year table should be by major cost categories and months/quarters. Both tables should show the expected source of funding for each category/item (SPBCP, Government, other source).

To undertake the above steps the following table formats might be useful, the figures used are fictitious.

Table 1 - Unit costs of travel and subsistence

Item	Unit	Unit cost (vt)
Airfares		
Vila/Santo/Vila	Per trip	20100
Vila/Fiji/Apia return	Per trip	220000
NZ/Vila/NZ	"	275000
Sydney/Vila/Sydney	"	260000
Transport (Santo)		
Hire vehicle	Per day	7000
Taxi to Matantas	Per trip	5000
Taxi from Matantas	Per trip	5000
Village vehicle, each way	Per trip	4000
Subsistence allowance		
At Matantas	Per day	1500
At Luganville	"	7000
At Pt Vila	"	9000

Table 2 - Office and associated unit costs

Item	Unit	Unit cost
Hire of serviced office	Per month	20000
Consumable materials (stationary etc)	Per month	5000
Reps and maint to equip't	Per month	3000
Communications	Per month	5000
Total monthly office costs	Per month	33000

Table 3 - Unit costs of training costs

Item	Unit	Unit cost (vt)
Training in country - Pt Vila (1)		
Transport Santo/Vila/Santo	Per trip	20100
Accomadation and food	Person wk.	25000
Course	Person wk.	20000
Local transport	Person wk.	2000
Total for one week course		67000
(computer, first aid, business skills, etc)		
Training in Luganville		
Transport Mat/L/ville/Mat.	Per trip	10000
Accomadation and food	Person wk.	15000
Course	Person wk.	20000
Total for one week course		45000
Training in Matantas (1 wk course)		

Transport (Vila/Matantas/Vila)		
Air	Per course	40200
Vehicle	"	10000
Per diems (Vt1500/day/person)	"	15000
Materials/course		50000
Total cost of one week course (using two Vila based resource staff)		115200
Training overseas (Park Management)		
Study tour (six weeks)		
Airfares (Pt Vila/NZ/Pt Vila)	Per person	275000
Accomadation and food	"	462000
Local travel	"	180000
Courses and miscellaneous	"	110000
Total cost	"	1027000
Long term (three month)		
Airfares	"	275000
Course/subsist.	"	1200000
Local travel	"	100000
Total cost	"	1575000

- (1) Estimated cost of attending any training course in Pt Vila including the accomadation, food, course,

Table 4 - Detailed Cost Table for Project Management Component

Cost category/item	Unit	Quantity					Unit cost	Value					
		Q1	Q2	Q3	Q4	Tot		Q1	Q2	Q3	Q4	Tot	Funded by
(b) Recurrent cost													
Salaries/wages													
Project coord	mt	1	1	1	1	4	200	2	2	2	2	8	Govt
CASO	th	3	3	3	3	12	100	3	3	3	3	12	SPBCP

Transportation Airfares to CAP Local vehicle hire													
Office operating													
etc													
Total													

APPENDIX 5 UNDP FUNDED AND OTHER COMMUNITY DEVELOPMENT AND ENVIRONMENT PROGRAMMES/PROJECTS

There are a number of projects/programmes in the South Pacific, both orientated to individual countries and to the region as a whole that are funded by UNDP and other agencies. All or parts of these projects could have a positive complimentary role to play in the preparation and management and knowledge base of SPBCP funded CAP's.

The SPBCP Project Document provides a comprehensive inventory of regional policies and initiatives in the South Pacific the

following table lists some others of particular relevance to SPBCP.

Global and Regional Policies and Programmes of Relevance to the CAP

Name of Programme/project and funding agency
Title and Agency South Pacific Forestry Development Programme (FAO, UNDP) Relevant Interest Areas Provides technical training and other support to member countries to improve their capacities to better use, manage and develop their forest and tree resources on sound and sustainable bases. Countries of Operation SPBCP countries and PNG Contact 29 Pender Street Suva, Ph:(679) 300432; Fax (679) 305212
Title and Agency Regional Fisheries Support and national Capacity Building Programme (1994/96) (PSC, FFA, UNDP) Relevant Interest Areas Promotes the capacity for sustainable long term fisheries development in PIC's through increasing ability of public sector managers in PIC's to effectively promote and help achieve sustainable development of the fisheries sector within the framework of sound marine resource management. Countries of Operation PIC's Contact UNDP, Suva
Title and Agency Offshore Fisheries Development Programme (UNDP/SPC) Relevant Interest Areas Aims to foster a wider establishment of viable domestic offshore fishing enterprises in the region, especially through the support of the establishment of rational sustainable Fish Aggregation Device. Countries of Operation SPBCP countries and PNG Contact UNDP, Suva
Title and Agency Small Enterprise Development (UNIDO, UNDP) Relevant Interest Areas Provides technical advice and training to strengthen national capacities to support indigenous small scale entrepreneurs and improving managerial and technical entrepreneurial skills. Countries of Operation To be determined Contact UNDP, Suva

Title and Agency

South Pacific Sustainable Development Capacity Building Programme

Relevant Interest Areas

The aim is to strengthen the capacity of the peoples of the South Pacific and their formal and informal institutions to achieve sustainable development of a form suited to Pacific Island circumstances. Relates strongly to enabling communities, including customary landowners to be involved in sustainable development.

Countries of Experience

In design stage.

Contact

UNDP, Suva, Apia

Title and Agency

Initiative on Forest Genetic Resources (AIDAB/FAO)

Relevant Interest Areas

In the design phase. Relates to the conservation of the genetic forest resource base in the region, could be integrated with specific CAPs.

Countries of Experience

To be determined

Contact

AIDAB, Suva; SPREP, Apia

Title and Agency

Pacific Water Supply and Sanitation Programme (UNDP, UNDDSMS)

Relevant Interest Areas

Establish national policies and strategies for sustainable and viable water and sanitation development, promoting decentralised, demand driven, bottom up approaches for planning and development as well as corporatization and privatization.

Countries of Operation

SPBCP countries and PNG

Contact

UNDP, Suva

Title and Agency:

The Environment and Population Project (UNDP/SPREP)

Relevant Interest Areas:

Population and environment policy and planning, environmental health, land use issues, demographic impact analysis of development projects, solid waste management, workshops etc.

Countries of Operation:

Countries of the SPREP Convention

Contact:

Dr Margaret Chung, Environment and Population Officer, SPREP, PO Box 240, Apia, Western Samoa, Ph: (685) 21929, Fax: (685) 20231

Title and Agency:

International Ocean Institute (IOI), University of South Pacific

Object and Relevant Interest Areas:

To promote education, training and research to enhance peaceful

usage of ocean space and its resources, their management and regulation as well as the protection and conservation of the marine environment. Programmes include Ocean Resources and their Management, Marine Environment Management Strategies, Marine Biodiversity, Marine Technology, Marine Public Awareness etc.

Countries:

Coverage includes the 14 countries eligible for SPBCP funding.

Contact:

Director, IOI South Pacific, USP, Marine Studies Programme, PO Box 1168, Suva, Fiji, Phone (679) 305446, Fax (679) 305559.

Title and Agency:

The Profitable Environmental Protection Project (USAID)

Object and Relevant Interest Areas:

The development and dissemination of profitable enterprises that safeguard priority biological resources, ie all aspects of 'income generating projects' (participatory planning, finance, training, education, M&E)

Countries of Experience:

PNG, Vanuatu and Tonga, others eligible include Fiji, Western Samoa and Kiribati.

Contact:

PEP Project Manager, Foundation for the Peoples of the South Pacific, Pt Vila, Vanuatu.

Title and Agency:

The One World Project (AIDAB)

Relevant Interest Areas:

- Environmental awareness/extension for the region
- Broadcasts via Radio Australia
- Training local specialists to contribute to the programme

Countries of Experience:

Regional (languages include Tok Pisin, English and French)

Contact:

Wesley Ward, Information and Publications Officer, SPREP, PO Box 240, Apia, Western Samoa, Ph: (685) 21929, Fax: (685) 20231

Title and Agency:

Equitable and Human Sustainable Development Programme (UNDP)

Objectives and Relevant Interest Areas

Enhances equitable and sustainable development by building wide national consensus and political support for people-centred development and strengthen national and local capacity and capability in formulating policies and to plan, implement, monitor and evaluate projects aiming to improve socio-economic well being of a large proportion of the population, especially focussing on unemployed youth and women. Uses participatory planning related to community development.

Countries of Operation/Experience

SPBCP eligible countries and PNG

Contact

UNDP, Suva

APPENDIX 6 STRUCTURE AND CONTENT OF THE CONCEPT PAPER

(a) Introduction

The objective of the CP is to obtain approval in principle for funding of the CA before preparing a detailed work plan in the Project Preparation Document (PPD).

The CP includes an outline of project objectives and an assessment of realising them in a sustainable manner. It should include judgements about the scope of inputs and outputs. The rationale for a prolonged period of aid involvement needs to be developed and how it fits with national priorities and SPBCP goals.

Usually the CP will be based on existing information and be no longer than 20 to 30 pages. It is likely to be supported by a visit from an SPBCP Adviser before being submitted to TMAG for approval.

To enhance the rationale for a CA a request for SPBCP funding of surveys can be made.

The CA can be submitted to SPBCP any time, an early indication on its acceptability will be provided.

(b) Structure

(i) Project Summary

This summary is in the following format:

(A) Project title and contacts

Project title: _____

Project location: _____

Implementing agency: _____

Address: _____

Contact officer: _____ Phone: _____ Fax: _____

Alternate Officer: _____ Phone: _____ Fax: _____

Does the government support/sponsor the CAP:_____

Present funding sources (if any): _____

SPBCP funding required from _____ (date) to April 1998

(B) Main elements of the CAP

Features of biodiversity:

Content and significance: _____

Trends and threats; _____

Features of community:

Number of landowners: _____

Commitment from landowners: Yes/no/partial When: _____

Community needs: _____

Opportunities for enterprises related to conservation:

Proposed management (short and longer term):

Major constraints/issues to be resolved:

Estimated cost of phase/year 1 Local curr; _____ USD; _____
To April 1998 Local curr; _____ USD; _____

To April 1998 Local curr; _____ USD; _____

SPBCP funds required for first phase USD; _____
to April 1998 USD; _____

to April 1998 USD; _____

Exchange rate used: _____ Date: _____/9

(ii) Main Report

1. Project Background

Describe the genesis of the project to date, highlighting if it

arose from the community. Brief project description, the responsible agency and level of government support.

2. The Proposed Conservation Area

Include the location of the area, the proposed size of the CA, boundaries, the basis for the definition of the CA (catchment, independant/integrated ecosystem, remnant area, single landowner area etc) the ownership/tenure of the CAP area and adjacent area that may be impacted by the CAP.

3. Physical Features of the Conservation Area

Include the topography, geology, soils, land capability and land use, climate, water resources, natural and introduced vegetation, wildlife (birds, mammals etc), inland, estuary, reef and ocean fisheries. Highlight any known rare and endangered species.

Brief description of what is (including degradation, pollution), its significance, trends, threats, constraints to conservation.

4. The Community Structure and Services

4.1 The Population/Target Group

The settlement pattern of the area, the resident population likely to be impacted by the CAP, number of land owner units (ie those that have the property rights and make decisions relating to the use of the CA resources). Thumbnail sketch on socio (education, health status) economic status of people. Level of commitment by landowners/users/broader community to date. Specify role of women in local society. Poverty/social status of the villages. Who are the proposed stakeholders at all levels in the CAP.

4.2 Social Services and Infrastructure

Availability of health and education facilities, sanitation, fresh water supplies, roads/access, electricity, communications, adequacy, constraints.

5 Conservation Area Values and other Economic Activity

How landowners and communities value (direct and indirect use) the CA, any existing or potential value for conservation, research, education, recreation and tourism, resource extraction value (forestry, fishing, mining and quarry activities).

Brief description of other existing economic activity in the area relating to agriculture and business. Constraints and potential.

6. Rationale and CAP Objectives

Were/are there any other potential CAPs, why was this one

selected for SPBCP funding? Develop rationale and objectives in relation to national environmental objectives and the SPBCP goal, the existing situation, threats and constraints.

7 Project Design

Define anticipated project components (project management, land use plan/biodiversity conservation, community development, other eg ecotourism) associated objectives and major outputs and inputs how do these address the key issues of biodiversity conservation and community development.

Define project phases and prepare draft workplan (major activities) by phases.

Prepare a draft budget by months or quarters for phase 1 (or at least 12 months) of the project, estimate of long term (project development period) budget. Any other funding agencies involved.

	Phase 1	Whole project
Already funded		
Fund request from SPBCP		
Unfunded to date		
Total cost		

8. Management Structure

What are the proposed short term and long term management arrangements. What will be the key institutions (government and community based) and who will be the key people.

9. Constraints, risks and outstanding issues for resolution

What major issues are most likely to stop the CAP attaining its objectives/meeting the workplan. What needs to be resolved in order of priority.

Appendix

Use appendices, tables and figures to refer to relevant material about the CAP, to present a project framework, workplan, budgets for Phase 1 and the whole project, the location of the proposed CAP, existing land use in the CAP and adjacent area etc.

APPENDIX 7 THE PROJECT PREPARATION DOCUMENT

STRUCTURE OF THE PROJECT PREPARATION DOCUMENT (PPD)

(a) Introduction

The object of the PPD is to prepare a detailed project plan that will establish the CA. This implies a more detailed description of the natural resources and community issues, which together with TMAG comments, other project experience etc will lead to a basis for project design.

The report should be prepared by the project proponents, it is their plan, however SPBCP Advisers may assist if required.

For assistance in project design and overall preparation of CPs or PPDs make contact with the Central Planning Office, they should either provide help or advise of local source.

In most cases potential CAs have been developed to the present stage by technical staff. The CAP's however require coordinated multidisciplinary input from sociologists, anthropologists, economists, agriculturists, land use specialists, management/institutional specialists and specialists in the different biodiversity components. Project preparation teams are often led by sociologists and economists because they often have greater experience in working in and leading multidisciplinary teams.

As with the CP the report should be based on existing data however surveys can be funded by SPBCP prior to or during the process of PPD preparation. The PPD should not be delayed by waiting for new data, such surveys become part of project implementation. If there are existing CA specific surveys they can be referred to and conclusions summarised without repeating a lot of detailed information. Where existing data is located in mainly loose files it is preferable to aggregate it within the stand alone PPD.

PPDs will differ in content, detail and size between projects according to the nature of the project (terrestrial, marine or combined) and the present stage of development.

There is a perception that CAPs are simple and low cost. This perception has grown from traditional development of national parks where government ownership of land was often the major selection criteria rather than the importance of the biodiversity it might contain. By increasing the priority of biodiversity in selection criteria, consequently introducing customary owned land into the framework, the CAPs become complex warranting high levels of preparation, planning and management to cover issues as:

- . community based planning and management
- . awareness and sense of ownership
- . income generating enterprises

The PPD should be prepared as soon as possible after approval of the CP.

(b) Report Structure

The following is a suggested report structure for the PPD. It lays out the existing situation leading to the rationale for the project and the issues to be considered in project design. The project components, objectives, outputs and activities are then defined with particular attention paid to aspects of project management, the workplan and identification of project costs.

EXECUTIVE SUMMARY

A 12 to 15 page summary covering such headings as:

- (a) Introduction
- (b) Features of the CAP
- (c) Project rationale, objective and target group
- (d) Features of project design
- (e) Project cost
- (f) Benefits
- (g) Project framework

PART A INTRODUCTION

- 1 Background**
- 2 The Project Preparation Document**

PART B THE EXISTING SITUATION

- 3 Development to Date**
- 4 Natural and Cultural Features of the CAP**
 - 4.1 Location, Boundary, Area and Access**
 - 4.2 Climate**
 - 4.3 Topography and Soils**
 - 4.4 Geology and Mineral Resources**
 - 4.5 Water Resources**
 - 4.6 Vegetation and Land Use**

- 4.6.1 Native and Introduced Forest Resources
- 4.6.2 Land Capability (if available)
- 4.6.3 Agricultural Land Use
- 4.6.4 Summary of Groundcover and Land Use

- 4.7 Wildlife
- 4.8 Scenic Attributes
- 4.9 Cultural and Historical Features
- 4.10 Summary of CAP Ecosystems and Threats

5. Community Features

- 5.1 Population and Settlement Pattern
- 5.2 The Social Structure and Dynamics of (CA) Communities
- 5.3 The Role of Women in the Community
- 5.4 Land Tenure and Land Areas
- 5.5 Relationship between the Community and its Natural Environment

6. Infrastructure and Social Services

- 6.1 Roads, Water Supply, Sanitation, Electricity and Communications
- 6.2 Health and Health Care
- 6.3 Education

7 Relevant Institutions

8 Economic Development and Activity

9 Environmental, Conservation and Land Use Policies and Programmes

- 9.1 Regional Policies and Initiatives
- 9.2 National Policies and Initiatives
- 9.3 Local Policies and Initiatives

PART C RATIONALE FOR THE CONSERVATION AREA AND PROJECT DESIGN

10 Selection of the Area

11 Project Design Considerations

- 11.1 Constraints and Positive Issues
- 11.2 SPBCP Guidelines and TMAG Comments
- 11.3 Landowner/Community Awareness and Commitment
- 11.4 Lessons from Other Projects

PART D THE PROJECT

12 Project Objectives

13 The Target Group

14 Project Components

15 Phasing and Workplan

15.1 Phasing

15.1.1	Pre Phase 1 and Phase 1 activities to date
15.1.2	Remainder of Phase 1 and subsequent phases
15.2	Workplan
15.3	Ongoing Project Planning
16	Project Cost
17	Project Financing and Administration
17.1	Project Cost by Funding Source
17.2	Reporting and Financial Control
18	Organisation and Management
19	Project Coordination
20	The Legal Framework
21	Monitoring and Evaluation
21.1	Monitoring of Management of Project Implementation
21.2	Monitoring of Project Impact (on community and biodiversity)
21.3	Project Evaluation
22	Training
PART E PROJECT IMPACT	
23	Environmental Impact
24	Social Impact
25	Financial and Economic Impact
26	Risks
27	Outstanding Issues

APPENDICES

1	Project Development to Date
2	Climatic, Other Resource, Land Use and Production Data
3	Land Distribution by Landowners
4	Logical Framework (Components/outputs/activities/inputs)
5	Workplan for Project Implementation
6	Qualifications, Experience and Terms of Reference for the Conservation Area Support Officer (CASO)
7	The Conservation Area Coordinating Committee (CACC)
8	Commitment by CA landowners to the establishment of a CAP
9	Project Inputs and Detailed Costs
10	List of Contacts
11	Bibliography and Sources of Data
	Include any research material, formal reports of surveys and studies, aerial photographs and maps, include potential sources of biological and socio economic data, key informants etc (title, publisher, author, year)

TABLES

FIGURES

APPENDIX 8 PROJECT FRAMEWORK

Project Structure	Indicators of Achievement	How Quantified or Assessed	Assumes
Broad Objectives			
1. To conserve the biodiversity of the CAP	Monitoring data shows conservation of indicator species	Regular objective monitoring	A commitment by GOF and landowners to conserve
2. to develop a model for the implementation of CAPs	Project design used elsewhere	A plan of action in place for other projects	Regional promotion of SPBCCP
Immediate Objectives			
1. To develop a landowner based management structure	Establishment of a National Park Management Board	Meetings, decision making in minutes	Commitment by the resource owners to conservation
2. To develop an optimal resource use plan	Plan accepted by stakeholders	Progress reports meeting minutes	Participatory planning by resource owners
3. To assess and implement activities related to community development	Report on needs of the community, improved social services and incomes, government standard/norms	Monitoring data measured against benchmark and norm levels	
4. To market ecotourism at Abaca	Tourist numbers and enquiries, local, overseas, repeat visits	Records at Abaca by hotels and tour companies	

APPENDIX 9 REFERENCES

The following is a list of some references of relevance to the SPBCP.

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Development in the South Pacific, Fifth South Pacific Conference on Nature Conservation and Protected Areas, SPREP, Nuku'Alofa, Tonga.

Swanson TM and Barbier EB, (1992), **Economics for the Wilds, Wildlife, Wildlands, Diversity and Development**, Earthscan Publications Ltd, London.

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UNIFEM (1992), **Doing a Feasibility Study, Training Studies for Starting or Reviewing a Small Business**, Overseas Education Fund, Women Ink, New York

TECHNICAL ANNEXES

TECHNICAL ANNEX 1

A BALANCED APPROACH TO COMMUNITY DEVELOPMENT

In general, Pacific societies keep women in subordinate roles to men through the perpetuation of entrenched customary and traditional practices. Such practices have kept women in the background and led to a lack of participation in decision making and other areas considered to be the domain of men.

This is further entrenched by women's own general acceptance of the subordinate role and by introduced government systems condoning the approach. Women generally remain invisible and unheard in the decision making processes. Their productive, domestic and community duties leave little time to participate in socio economic and political issues particularly at national level. The situation requires urgent attention from governments whose responsibility is to develop policy and legislative measures translated into practical and implementable development programmes.

The SPBCP provides an opportunity to address the issue.

In the conceptualisation of community development initiatives it is important for national and local leaders to remember that both males and females constitute a community. Women's issues are peoples issues and should not be taken up in isolation from other community development issues, whether they be political, social, economic or cultural.

Women will continue to remain invisible if recognition is not given to their wide ranging ability and capacity to be part of

the mainstream of development planning processes.

A balanced approach to community development dictates involvement of the whole community, the following actions are some that may be applicable in realising this situation:

1. In the case of an existing womens policy the PPD should ensure that its aims are realised through the CAP activities.
2. Awareness raising workshops and meetings (preferably mixed sex participants) from village to national levels relating to the rapidly changing role of women; gender responsive preparedness needs to precede preparatory conservation work.
3. The office of women's affairs together with the national womens umbrella organisation should preferably be involved with the CAP from the start, requiring a Women's Affairs officer being designated as the focal point for the project relating to inputs made by women's organisations.
4. Women's groups and influential women at village level should be utilised by both national and village based NGO women's groups.
5. In the unlikely event of there being no Women's Affairs department, the lead agency for the project could facilitate the appointment of a focal point for women with a recognised government agency promoting the advancement of women.
6. Early training of women who will be involved in the CAP will enhance the effective and efficient participation of both the government and NGO agencies. This should be organised by the lead agency.
7. Women with appropriate skills and experiences should be given responsibility for aspects of the CAP at village and national level.
8. Compile a directory of women experts and specialists with emphasis given to skills, knowledge and experience in conservation and community development issues.
9. Ideally 50 percent of CACC members should eventually be women, chosen by the women's groups from the villages.
10. Consideration of institutional strengthening and capacity building of the Women's Affairs offices and/or the national women's umbrella organisation, in areas where they would be able to more effectively contribute to the CAP, should be given.
11. The lead agency should designate a CAP liaison officer to coordinate inputs by women's organisations into the project.
12. Wives of influential men in the community (eg Chiefs and Pastors) and women with authority through their own personal achievements could be used by the project as liaison persons for the lead and other government agencies.
13. Gender responsive workshops for policy makers, decision makers and planners, political leaders, community and local authorities and leaders would be to the advantage of any project and programme of activities being considered. The UNDP/UNIFEM project on gender responsive planning could

assist to attend to this important issue.

TECHNICAL ANNEX 2

INCOME GENERATING PROJECTS

An indication of the range of possible income generating projects is given on p16 of the PD.

- . the development of small scale timber production based on sustainable yield of non core forest area,
- . the development of agro forestry and fishery projects,
- . the promotion of stabilised market and subsistence gardening,
- . development of natural product harvesting,
- . processing and marketing projects,
- . forestry on already modified lands,
- . nature tourism,
- . commercial wildlife management.

The PD goes on to say "in appropriate cases where these will enhance the linkage between resource conservation and sustainable development, infrastructure development such as improving water supplies, irrigation and access may be undertaken in a CAP.

In all instances it is most important that the income generating project is a result of activities that relate to the conservation of the biodiversity. Further, it is important that the resource owning communities are fully aware of the relationship between the conservation of biodiversity and the existence of the income generating project and of what the options are.

It should be realised by planners that the income generating part of the projects does not come easily. Many of the more prescriptive rural development projects, often held up as examples of how not undertake development, have not only failed because of lack of community involvement in planning and implementation and a lack of a sense of ownership by the target group.

Many failures have also been contributed to by basic faults in over optimistically estimating productivity increases, financial incentives and adoption rates of technology and thus overall benefits accruing to the target group. Further, village based business entities and marketing systems have failed because of lack of support and financial incentive.

Such causes of failure are equally applicable to community process based projects as they are to the more prescriptive projects. Care is required to ensure that returns to labour and management are realistically/conservatively calculated and entities that are established receive effective ongoing support until they are sustainable in their own right. Early failures may set back the CAP for long periods.

TECHNICAL ANNEX 3

ECOTOURISM

1 Introduction

Three CAPs examined to assist with the formulation of these guidelines all have existing ecotourism enterprises and it is the intention to expand operations. Other CAPs are looking to ecotourism to provide the financial incentives for conservation of biodiversity. Ecotourism is expected to be strongly promoted as a CAP income generating activity during the SPBC Programme.

A high level of regional interest in ecotourism is manifested in a number of developed projects, the establishment of government ecotourism units and a number of seminars and workshops. The latter participants, in the main, are policy makers and planners, tour company and resort operators and potential investors. The new players in this tourist activity, the resource owners, seem to be noticeable only by their absence at this level of policy and promotion activity.

It would be a pity if ecotourism developed from the perspective of possible profitable 'add ons' to traditional tourism activities. It would introduce high risks of failure. It would be unfortunate if ecotourism failed for the wrong reasons ie because of bad planning rather than an inherently bad product.

Ecotourism is defined "as travelling to relatively undisturbed or uncontaminated natural areas with the specific objective of

studying, admiring, and enjoying the scenery and its wild plants and animals, as well as any exciting cultural manifestations (both past and present) found in these areas...." (Ceballos-Lascurain, 1987 WWF, Vol 1 1990), and to this must be added aspects of the benefits to conservation and the local community.

The following identifies some issues that should be considered in the development of a profitable and sustainable tourist venture related to the conservation of biodiversity.

2 Some Key Requirements

First it is necessary to assess the suitability of the area for ecotourism rather than naturally assume it has good potential. It is a market driven activity and it's attractiveness in terms of a tourist product must first be assessed, such issues as:

- . "what are the main attractions
- . how accessible is the area,
- . are there other nearby attractions,
- . how is internal access in the park,
- . what is the tourist season,
- . what existing or potential interpretive staff are there,
- . what is the existing infrastructure,
- . what facilities exist outside of the park
- . how will the community benefit,
- . what is the biological carrying capacity" (TNC)

must be addressed.

A venture has a better chance of success if it has unique features and close to areas of dense resident or overseas population. The further the CAP gets from meeting these two criteria then the more difficult it will be to promote.

It will be necessary to facilitate discussion amongst landowners and users and obtain a broad based consensus that ecotourism is worthwhile investigating further. This consensus should be repeatably obtained as each new step is taken and as new information comes to hand. All landowners and users must be tracked down irrespective of where they live so they can make an input from the start.

Coordination at the village level could be done by an appointed member who may work with guidance from the CASO or a consultant. At all times a participatory approach to planning should be taken and for this to be effective the resource owners are first likely to need to be made aware of the venture and what it entails.

From the beginning they must have a clear sense of ownership of their part of the venture, it is to be operated by their management with support from outside as required.

The government and private sector support network for the tourist industry and its functions should be identified and

developed.

Planning and implementation may be enhanced by the setting up of a task group to help coordinate the development of the ecotourism enterprise. It may comprise the resource owners/users, the CASO, the government Department of Tourism and/or Visitors Bureau, tourist operators and hotel representatives. Not everyone will want to participate as it may be seen as being competitive with their own activities.

The business entity used to operate the enterprise must be easy to manage and enable an equitable distribution of benefits to resource owners and employees. Once set up the entity may need ongoing support until firmly established. This can be in the form of training provided by existing government schemes, advice from consultants or an NGO.

Some initial basic market research to ensure the proposed project meets the criteria of a good product and potential market is required. A physical plan, consistent with the sustainable resource management plan for the area, needs to be prepared. This shows the design and inputs required and forms the basis for a financial cash flow analysis at different levels of visitor throughput. The overall report must also assess the project impact on the environment, the socio cultural aspects of the community (winners and losers) and estimate the expected net cash returns according to an equitable system of distribution.

If the project looks positive, and the community feels the same way, business and marketing plans are developed, fund requirements quantified and presented to potential sources.

In undertaking the above exercise care must be paid in estimating the realistic number of visitors and the rate of increase over time. They are constrained by the size of the market, the sustainable carrying capacity of the resource and the wishes of the community. Visitor numbers are often estimated as a percentage of a total market or nearby population and turn out to be over estimated because the project costs did not cover inputs required to capture that market. Eco tourism is a relatively new activity in the region and quantitative data on the size of the market is yet to be analysed as such.

The ecotourism venture must be self sufficient and lead to community development.

Apart from the natural resource base as the main attraction there will likely be a need for some infrastructure in the way of prepared trails, interpretative material, lodges, visitor centres including hygienic ablutions, medical facilities, trained medical officers etc. The options to provide the up front funds required include village resources (which are likely to be limited), identifying an NGO or bilateral aid source, SPBCP funds to initiate development and loan funds from a development or alternative bank. The funding agencies have a responsibility to ensure the enterprise makes financial sense,

grant funds to communities should be monitored carefully. It may be preferable if they are advanced in the form of an interest bearing revolving fund to ensure an awareness for good financial management and integrity from the start.

Irrespective of the eventual source of funds the community must realise that there will be ongoing operating costs (repairs and maintenance, promotion etc) and these must come from the gross revenue generated by the visitor payments. It is important that every one involved in the venture fully understands the financial implications of the venture so there is no underlying suspicions that may arise later.

It is necessary to have a clear idea of the socio economic structure of the local community and how the venture is likely to impact on them in terms of income, and how it will affect the time devoted to agricultural and fishing activities etc.

The aims of the resource managers and partner tour operators may not be the same. Whereas it is hoped that the former will aim for an optimal level of resource use, relating to sustainability over time, the tour operator, not being a direct resource owner may not have the same feeling and aim to maximise short term profits knowing that if this particular ecotourism site becomes degraded and unattractive there are others to be exploited.

Part of the project, or a national promotional campaign, should of course look to educating the tour operators and/or providing incentives to reduce the market failure and move towards the social optimum level of resource use.

Undertake ongoing market research of people that do visit the area, their socio-economic status, their origin, what they are interested in and suggestions they have for improving the business. Such information can be used not just for plans to improve the particular site but for national planning as well.

Lucas mentions four principle guidelines based on an IUCN Report for the World Tourism Organisation (1991):

- . Planning for tourism development must be integrated with other planning efforts, particularly those in natural areas which are potential destinations.
- . Estimation of the carrying capacity of the areas in terms of the sustainable number of visitors.
- . Require environmental impact assessments.
- . Require preparation of management plans for all natural areas which are tourist destinations.

3 Costs of Ectourism

Apart from the usual capital and operating costs of the venture some of the more hidden costs that may arise if not closely monitored are:

- . Too many visitors may lead to depreciation of the

infrastructure at a rate in excess not accounted for in the user charges.

- . Too many visitors may have an irreversible impact on the natural flora and fauna of the area (for instance birds may find alternate habitats) that were critical components of the resource that were attractive to visitors.
- . Too many visitors may lead to rapid changes in the social structure of the area, at a rate too fast for the community to cope with leading to a decline in sustainability of the community and its traditions.
- . High returns to labour from ecotourism could lead to a reduction in lower return or subsistence enterprises such as agriculture in turn leading to less nutritious diets etc.

Such costs should be considered in any feasibility study related to ecotourism in a CAP.

4 Benefits of Ecotourism

Given that the enterprise started in response to the need for conservation of natural resources then the benefits will include:

- . The conservation of the biodiversity.
- . Community development through direct employment opportunities in the venture,
- . Equitable distribution of profits from the venture to the local partners (resource owners and employees), on the basis of a sound business entity.
- . Opportunities to set up small service businesses, (such as the production and sale of handicrafts, lodging, food retail goods and other tourist services) creating secondary benefits.
- . Increased land values (although not appropriate if customary land is involved), which may also be looked at as a cost if they increase beyond the capability of local people to procure it.
- . Successful ecotourism may require improved water supplies, sanitation, medical facilities etc benefiting all the community.
- . Ecotourism has been known to resolve land disputes in order to provide a basis for equitable distribution of benefits.
- . Ecotourists are sometimes prepared to pay a premium over and above their travel cost and entry fee to fund the conservation of the resource

5 Risks

The financial management of the venture must be beyond question and embodied in a well regarded business entity with a Board of Directors and general manager that truly represents the equity holders (land owners/users, employees and others who contribute) in proportion to their level of interest. A weak business entity may again lead to failure for the wrong reasons.

Unidentified land owners and/or disputes coming to the surface after the enterprise begins.

Some in established tourism activities may resent introduction of new ecotourism ventures if it is seen to reduce their market share, they may work against the success of such ventures.

Over estimation of market share.

TECHNICAL ANNEX 4

THE PROCESS APPROACH TO PROJECTS

1 Introduction

The following notes are based on an a paper entitled 'The Process Approach to Projects' prepared by the Overseas Development Administration (ODA) as Technical Note No. 4, January 1992.

SPBCP funded CAPs have many features of projects requiring a process approach to design and the management of implementation. These notes may be useful to those planning CAPs, however not all aspects will be relevant to all projects. Because of the limited drawdown period of SPBCP funds and the limited environmental management resources in most countries initially it will not be possible to meet all the requirements listed below.

2 The Need for a Process Approach

The process approach to design and management of the implementation of projects is relevant in cases where although the broad objectives are known and agreed the means of achieving them may be initially unknown and unknowable. This is in

contrast to 'blueprint' projects where objectives are fixed but also outputs and inputs can be quantified with some certainty; design and implementation is thus straightforward and well structured.

The process approach is relevant where:

- . there is a strong element of beneficiary/stakeholder participation in planning and implementation,
- . major components/activities include adaptive research, transfer of technology and institutional development combined with innovation.

In such instances the rate and direction of change is unpredictable at the outset and longer term outputs and costs are unknown.

Projects such as health, population, education, local power supplies, local environmental protection, social forestry etc are often suited to the process approach.

3 Design Characteristics of Process Approach Projects (PAPs)

To cope with the high level of initial uncertainty the following should be considered in designing process projects:

- . The project objectives are clear but longer term outputs and inputs are not quantified. Design and intermediate components and objectives are outlined with some detail, more distant ones being determined during implementation.
- . Project planning is flexible, design allows options to be left open until the time for decision is reached.
- . Project implementation is in clearly defined phases/planning periods and subject to periodic in depth reviews of progress. These provide new planning data on which to base decisions about activities in subsequent phases.
- . Well defined and structured monitoring arrangements are required to provide the required prompt and comprehensive feedback for the planning of later phases.
- . Project design and implementation (including monitoring) usually involves participation by beneficiaries, management and staff of local institutions. Sustainability is only achieved when **beneficiaries are fully committed to and own the process**. Thus project activities may include institution building, enhancing the local capacity for project design.
- . The duration of project development is long.

PAPs need flexible planning activities that react to

developments and new information arising from implementation. Future stages of the project are planned in light of outcomes from initial interventions.

PAPs often require expensive and extensive planning and supervision by project management.

Some PAPs are of a pilot nature which may not be initially viable in themselves but lead to the development of viable procedures for subsequent in country replication.

4 Steps in the Process Approach

4.1 Project Preparation

Project preparation should ideally be collaborative with the intended beneficiaries and this usually leads to an extended preparation period.

The project preparation activity defines the:

- . project objectives
- . general indicators of achievement
- . main conditions that ensure successful implementation
- . main attendant risks

The approach should ideally include:

- . the views and aspirations of beneficiaries and the losers,
- . the collation and analysis of existing baseline data for later assessment of the project and collection of new data from social and environmental surveys as required,
- . the identification of agencies involved in implementation,
- . consideration of assistance to 'embryonic' institutions such as environmental units, women's organisations and NGO's,
- . identification of government deficiencies and resolutions,
- . an assessment of the social and political dimensions of the project, identify the support for the project from local power elites, implementing agencies, central and local governments,
- . identify the target duration of the main project over which it is sensible for SPBCP to commit funds,
- . an indication of the total cost over the project duration as a basis for total funding requirements and SPBCPs contribution,
- . the method used for approving ongoing funding of the project,
- . detail of the first phase objectives and costs,
- . the optimum duration of phases between the milestone reviews,
- . detail the success criteria for the first phase, indicators may be qualitative where quantitative ones are not available or appropriate,
- . arrangements for monitoring and production of timely data for milestone reviews,

- . identify the parties involved in milestone reviews,
- . assessment of the likelihood of project sustainability and the time to its attainment.

Ex ante cost benefit analysis is usually not appropriate because of the inability to define the totality of the project and the inputs and outputs at the outset. Analysis should address issues of cost effectiveness, affordability and financial sustainability. An attempt should be made to compare the likely magnitude of inputs and outputs.

Where capital improvements are likely to be made during the process (such as might be required for income generating projects), they, in fact the whole enterprise, will need financial justification.

Review processes should provide for periodic assessment and reporting of economic viability as inputs and outputs become defined.

4.2 Project Appraisal

The SPBCP cycle does not have a formal project appraisal activity, the CAP as defined by the PPD is either approved or rejected by the TMAG and implementation proceeds by the nominated management structure. At all stages SPBCP staff are available to provide support and direct inputs to CAPs as required. Consultants can be used to provide further inputs if needed.

However the project preparation stage takes on greater importance in the absence of formal appraisal. The following are therefore important issues to cover during preparation.

- . The objective and project duration should be agreed with the government, the reality being thoroughly reviewed.
- . the arrangements for milestone reviews and what criteria to apply to post review decisions,
- . the approximate magnitude of the required funding package and the split between different funding sources,
- . explicit first phase inputs (on the basis of a technical, economic, financial and social appraisal), costs and financing plans,
- . locally funded inputs and reality of provision,

Some important issues to be considered prior to final approval are:

- . what is known about the biodiversity of the CA and is its importance understood by the local community,
- . are there institutions and a management and coordinating structure available to implement and operate the project, do they need strengthening or how will they be created,
- . who will make the financial decisions relating to the project,
- . have the needs, desires and motives of the resource owners,

users and general community been assessed, if not yet how is it proposed to do it, how will they benefit from the project,

- . what are the conditions for sustainability and replicability and what is the estimated time before sustainability is reached.
- . the scope of delegation granted to project managers and field level organisations, who is responsible for costing annual work plans, assessing and approving them,
- . what are the indicators of success or failure of project components and of the whole project,
- . in relation to project reviews the following need to be considered:
 - the frequency of reviews
 - who is involved in the monitoring review
 - the procedures for monitoring progress
 - the nature of information made available at review,
 - who is to produce it
 - the criteria for assessing the extent of progress
 - the criteria for accepting/rejecting project components for the subsequent phase; and
 - the level at which decisions will be taken.
- . general conditions required for the fulfilment of the whole project,
- . specific conditions which apply to the components of the first phase for which project components have been identified and appraised.
- . decisions about conditionality that need to be taken during milestone reviews and which are probable prerequisites for the success of subsequent phases.

4.3 Key Activities

Milestone Reviews

These are a key management activity which involve:

- . review of actual against planned progress for the period,
- . review of project goals and objectives in light of progress to date,
- . identify and cost inputs for the next phase,
- . decision on whether to proceed with the project.

Effective reviews depend on the availability of timely monitoring information, the identification and planning of project components for subsequent phases and the provision for the rapid appraisal of the proposed components. The review process should start before the preceding phase is due to end to ensure continuity of project implementation.

Project Frameworks and Monitoring

To assist in the design of any project a logical framework of the project is prepared, however with a PAP, specific statements can be only made about the details of the first phase and how it

relates to the overall project goal. The framework should be revised at each milestone review to show changes in overall objectives and constraints and the details of the next phase.

In process approach projects there is a need for more information on which to base changes in plans, costings and objectives during implementation. Careful record keeping is very important for multi phase PAP's.

4.4 The End of the Project

PAP's may not have an obvious end! However they should not lead to an indefinite stream of aid and at each phase the extent and time horizon of future aid involvement should be assessed. In general projects should be brought to an end where the:

- . original objectives have been met,
- . original objectives become unattainable,
- . needs of the project beneficiaries change.

New aid may be justified but as a new project.