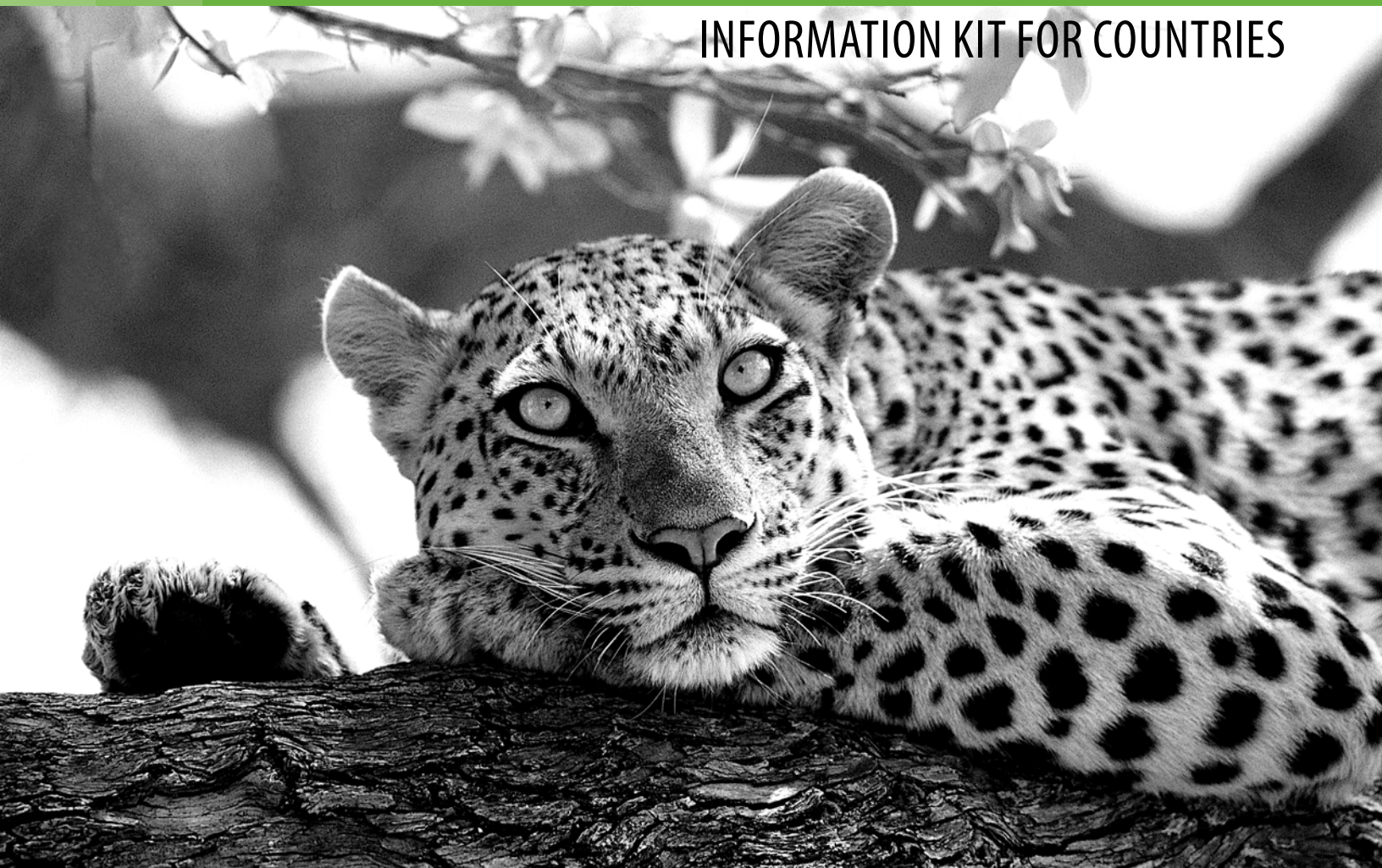




UNOPS 



INFORMATION KIT FOR COUNTRIES



JULY 2007

SUPPORTING COUNTRY ACTION ON THE CBD PROGRAMME OF WORK ON PROTECTED AREAS

GLOBAL UNDP/GEF/UNOPS PROJECT

Supporting Country Action on the CBD Programme of Work on Protected Areas

Global UNDP/GEF/UNOPS Project

INFORMATION KIT FOR COUNTRIES

July 2007

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ABBREVIATIONS

CBD	Convention on Biological Diversity
CfA	Call for Applications
CoP	Conference of Parties of the CBD
GEF	Global Environment Facility
ITRC	International Technical Review Panel
IUCN	The World Conservation Union
LDC	Least Developed Country
M&E	Monitoring and Evaluation
MoA	Memorandum of Agreement
NGO	Non-Governmental Organization
OPF	Operational Focal Point for GEF within a country's Government
PA	Protected Area
PoWPA	Program of Work on Protected Areas of the CBD
SIDS	Small Island Development State
STAP	Scientific and Technical Advisory Panel of GEF
TNC	The Nature Conservancy
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNOPS	United Nations Office for Project Services
WCMC	World Conservation Monitoring Centre of UNEP
WCPA	IUCN World Commission on Protected Areas
WCS	Wildlife Conservation Society
WWF	World Wildlife Fund

INTRODUCTION

About the Programme of Work On Protected Areas

The Conference of the Parties of the United Nations Convention on Biological Diversity, at its 7th meeting in Kuala Lumpur, Malaysia in February 2004, adopted an ambitious Programme of Work on Protected Areas (decision VII/28). The *Programme of Work on Protected Areas* identifies four program elements, sixteen goals and ninety-two associated activities; many of these have tight timetables. Although the list of expected outputs is long, they all relate back to the central objective which is the establishment and maintenance of comprehensive, effectively managed, and ecologically representative national and regional systems of protected areas by 2010 for terrestrial and by 2012 for marine areas. The aim is not simply to increase the number of protected areas but to ensure that as far as possible protected areas should be designed and located in the best places to conserve biodiversity and that this should be determined by a multi-stakeholder process.

The full text of the Programme of Work on Protected Areas can found at:
<http://www.cbd.int/decisions/default.aspx?m=COP-07&id=7765&lg=0>

About this project

This project was approved by the Global Environment Facility in early 2007. The project goal is to assist eligible countries to achieve effective national systems of protected areas in accordance with their commitments under the Programme of Work on Protected Areas. The project will enable eligible countries in need of assistance to undertake critical actions in response to the Programme of Work, which complement, but will not be addressed, by any other national programmes and projects, other official donors or international NGOs. The project provides an effective mechanism to assist eligible countries, with an emphasis on Least Developed Countries (LDCs) and Small Island Development States (SIDS), to undertake country-driven critical actions consistent with the Programme of Work. The project is expected to disburse up to US\$ 9.0 million of GEF resources and co-financing through approximately 35-40 funding awards to governments with a ceiling of US\$ 250,000 per country. The project will invite proposals from eligible countries, and an International Technical Review Committee will assess them and decide on the release of assistance.

The office of the project is hosted by the UNDP Regional Center in Bratislava, Slovakia.

Global Project Coordinator:

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The first call for applications was announced on 10 July 2007 at the CBD Second Meeting of the Ad Hoc Open-ended Working Group on Review of Implementation of the Convention in Paris. The deadline for applications under the first call is 7 September 2007.

SECTION 1.

OVERVIEW OF THE APPLICATION PROCESS

A country wishing to apply under this project should first check if it is eligible. This can be done by consulting the list of eligible countries in *Annex 1*, and checking the eligibility criteria in *Section 2*.

Eligible countries should then judge whether they have gone through an Initial Gap Analysis, or a similar exercise. This can be summarized as a decision about whether the country has available maps and scientific information on: (i) the occurrence and status of internationally important species and ecosystems on the one hand, and; (ii) maps of occurrence and management status of existing protected areas on the other, so that their comparison can enable the country to (iii) clearly understand what are the differences between the “ideal” national PA system, and its current situation.

If a country is an LDC or SIDS and does not possess data qualifying for the Initial Gap Analysis, it can request assistance from this project to undertake such an analysis. The LDC or SIDS will be asked to fill out a Request for Financial Assistance For Initial Gap Analysis and submit it to the project office. The template and guidance note for this request are found in *Annex 2*. The request will be processed within two weeks following its submission, and the country will then be expected to enter into a Memorandum of Agreement with the United Nations Office for Project Services (UNOPS), for implementation of the Initial Gap Analysis. The Initial Gap Analysis is expected to last for a maximum of three months.

Once the country has carried out the Initial Gap Analysis (with or without the assistance from this project), it can proceed to applying for assistance for all PoWPA activities eligible under this project. The list of eligible PoWPA activities is given in *Section 3*, and brief descriptions, some case studies, and other tools that may help countries to develop their applications are the subject matter of *Annex 6*. The template for the application and guidance notes for filling it, are found in *Annex 3*. Each application will be reviewed against a set of selection criteria by the International Technical Review Committee. The evaluation process is explained in *Section 4*. When applications have been approved countries will be invited to sign an MoA with UNOPS, the template for which is provided in *Annex 4*. Monitoring and reporting requirements for country projects are described in *Section 5*. Reporting templates and guidance is found in *Annex 5*.

Complete information can be found at the project web-site www.protectedareas.org. Countries are invited to use the guidebooks and other resources, which will be regularly uploaded to the project website alongside with lessons learned and case-studies from other countries.

SECTION 2.

ELIGIBILITY CRITERIA AND GENERAL REQUIREMENTS TO COUNTRY APPLICATIONS

Eligibility criteria and general requirements for country applications are based on the approved GEF project brief and incorporate comments received from the International Technical Review Committee. Applications that do not meet at least one of the eligibility criteria 1-4, will be rejected at the screening stage. If the proposal meets all eligibility criteria 1-4, but fails to meet at least two criteria from eligibility criteria 5-8, the application will probably also be rejected at the screening stage.

Eligibility Criteria

1. Funding can only be granted to national governments. Applications from non-governmental or international organizations will not be accepted. However, financing the approved application may be made, either through a government ministry account, or through the local UNDP country office. The choice of the financing route should be justified by the proponent government, and will be subject to clearance by UNOPS and the Global Project Coordinator.
2. Standard GEF eligibility requirements apply; applicant countries must be members of the GEF, and must have signed and ratified the Convention on Biological Diversity.
3. A letter of endorsement from the GEF Operational Focal Point must be submitted with the proposal application.
4. The proposed actions must be explicitly in line with one or more of the CBD Programme of Work Activities (PoWPA) selected as most appropriate for support. Eligible PoWPA Activities are presented in Section 3.
5. Applications requesting support for activities already being fully supported by the GEF, GEF agencies, or NGOs undertaking activities supported by the GEF projects, will not be considered.
6. Applications must be submitted in the template provided (also posted at the project website: www.protectedareas.org). Applications not submitted in the required format will be referred back for re-submission in the correct format.
7. Equipment and/or vehicle purchases will not be eligible.
8. Applicant countries will need to show that the proposed activities to be funded build on the Initial Gap Analysis or any equivalent exercise, as well as on complementary existing and planned work of the government, other national stakeholders, and international partners in the area of consolidation of the national protected area system. The proponents should present evidence of an assessment of the current and expected biodiversity conservation activities during the period covered by the PoWPA (i.e. up through 2010 for terrestrial and 2012 for marine PAs), identifying those PoWPA priority areas where insufficient resources have been invested so far, and which therefore can be addressed only with the resources from this project.

General Requirements

1. Emphasis will be given to assist Least Developed Countries and Small Island Developing States (LDCs and SIDS). Other countries that meet the above eligibility criteria, are also welcome to apply.
2. Countries are encouraged, although not required, to find sources of co-financing for the proposed activities. The higher the co-financing, the greater the score that the country application will obtain when assessed by the ITRC. For the purpose of this project, “complementary activities” under eligibility criterion 8, are any programmes, projects, activities in the area of protected area improvement, other than those directly linked to the PoWPA activities for which the country is applying under this programme. On the other hand, “co-financing” is understood as funding made available from non-GEF resources specifically to support implementation of those PoWPA activities which are the focus of the country’s application.
3. Each application for funding should range from US\$ 50,000 (minimum) to US\$ 150,000 (maximum). A country may submit more than one application during the lifetime of this programme, but only one application may be submitted per round. The total amount of funding which one country may access from this programme is US\$ 250,000.
4. The maximum duration of activities under each individual country application should be 24 months. A country does not have to complete all activities under a recently approved application to be able to submit a new application.
5. Unsuccessful applications may be reconsidered in a later round, provided the applications meet the eligibility criteria when resubmitted.
6. Funding awards are likely to vary in size according to the needs outlined in the proposals. The ITRC will review each request carefully and may request the government to adjust funding amounts.
7. In the case of SIDS and LDCs, a maximum of US\$ 15,000 (coming out of the US\$ 250,000 total) will be made available to support the Initial Gap Analysis (i.e. a basic assessment of the current and expected protected area and conservation activities, prior to consideration of the full application). Further information on the Initial Gap Analysis can be found in Section 3, and in Annex 6 under the description of Activity 1.1.5.

SECTION 3. ELIGIBLE PoWPA ACTIVITIES

The following table enumerates and describes the PoWPA activities, which are eligible for funding under this project.

CBD PoWPA Activities by Goal	Description
Goal 1.1	To establish and strengthen national and regional systems of protected areas integrated into a global network as a contribution to globally agreed goals.
Activity 1.1.1	Establish suitable time-bound and measurable national and regional level protected area targets and indicators.
Activity 1.1.4	Conduct, with the full and effective participation of indigenous and local communities and relevant stakeholders, national-level reviews of existing and potential forms of conservation, and their suitability for achieving biodiversity conservation goals, including innovative types of governance for protected areas that need to be recognized and promoted through legal, policy, financial institutional and community mechanisms, such as protected areas run by government agencies at various levels, co-managed protected areas, private protected areas, indigenous and local community conserved areas.
Activity 1.1.5	Complete protected area system gap analyses at national and regional levels based on the requirements for representative systems of protected areas that adequately conserve terrestrial, marine and inland water biodiversity and ecosystems. National plans should also be developed to provide interim measures to protect highly threatened or highly valued areas wherever this is necessary.
Goal 1.2	To integrate protected areas into broader land- and seascapes and sectors so as to maintain ecological structure and function.
Activity 1.2.1	Evaluate national and sub-national experiences and lessons learned on specific efforts to integrate protected areas into broader land- and seascapes and sectoral plans and strategies such as poverty reduction strategies.
Goal 2.1	To promote equity and benefit-sharing.
Activity 2.1.2	Recognize and promote a broad set of protected area governance types related to their potential for achieving biodiversity conservation goals in accordance with the Convention, which may include areas conserved by indigenous and local communities and private nature reserves. The promotion of these areas should be by legal and/or policy, financial and community mechanisms.
Goal 3.1	To provide an enabling policy, institutional and socio-economic environment for protected areas.
Activity 3.1.1	Identify legislative and institutional gaps and barriers that impede the effective establishment and management of protected areas, and by 2009, effectively address these gaps and barriers.
Activity 3.1.2	Conduct national-level assessments of the contributions of protected areas, considering as appropriate environmental services, to the country's economy and culture, and to the achievement of the Millennium Development Goals at the national level; and integrate the use of economic valuation and natural resource accounting tools into national planning processes in order to identify the hidden and non-hidden economic benefits provided by protected areas and who appropriates these benefits.
Activity 3.1.5	Identify and remove perverse incentives and inconsistencies in sectoral policies that increase pressure on protected areas, or take action to mitigate their perverse effects. Whenever feasible, redirect these to positive incentives for conservation.
Activity 3.1.6	Identify and establish positive incentives that support the integrity and maintenance of protected areas and the involvement of indigenous and local communities and stakeholders in conservation.

CBD PoWPA Activities by Goal	Description
Goal 3.2	To build capacity for planning, establishment and management of protected areas.
Activity 3.2.1	Complete national protected-area capacity needs assessments, and establish capacity-building programmes on the basis of these assessments including the creation of curricula, resources and programmes for the sustained delivery of protected areas management training.
Goal 3.4	To ensure financial sustainability of protected areas and national and regional systems of protected areas.
Activity 3.4.1	Conduct a national-level study of the effectiveness in using existing financial resources and of financial needs related to the national system of protected areas and identify options for meeting these needs through a mixture of national and international resources and taking into account the whole range of possible funding instruments, such as public funding, debt for nature swaps, elimination of perverse incentives and subsidies, private funding, taxes and fees for ecological services.
Goal 4.1	To develop and adopt minimum standards and best practices for national and regional protected area systems.
Activity 4.1.2	Develop and implement an efficient, long-term monitoring system of the outcomes being achieved through protected area systems in relation to the goals and targets of this work programme.
Goal 4.2	To evaluate and improve the effectiveness of protected areas management.
Activity 4.2.1	Develop and adopt, by 2006, appropriate methods, standards, criteria and indicators for evaluating the effectiveness of protected area management and governance, and set up a related database, taking into account the IUCN-WCPA framework for evaluating management effectiveness, and other relevant methodologies, which should be adapted to local conditions.

SECTION 4.

EVALUATION OF APPLICATIONS

Background and purpose of the International Technical Review Committee (ITRC)

Final decisions about the award of grants within the project are based on a set of technical evaluation criteria, and made by the International Technical Review Committee (ITRC). The ITRC is composed of volunteer members invited from the GEF Secretariat, CBD, UNDP, UNEP/WCMC, World Bank, TNC, WWF, IUCN – WCPA and STAP. CBD Secretariat and UNDP/GEF will chair the ITRC.

ITRC specific objectives

1. ITRC reviews and approves:
 - a. Country application template;
 - b. Guidance notes for countries to help prepare eligible applications; and
 - c. Screening, eligibility, and selection criteria for applications.
2. Once all in-coming country requests have been screened by the Global Project Coordinator for eligibility, ITRC will:
 - a. Technically review and score country applications submitted for funding in accordance with established selection criteria, taking into account comments submitted for each request during the public disclosure period; and
 - b. Request, as necessary through the Global Project Coordinator, adjustments to proposed activities, timeframes, and budgets. ITRC may request, as necessary, independently or through the local UNDP country office, verification of the information presented by the government, which will be duly informed of the request.
 - c. Approve funding awards as a consensus decision of all ITRC members.
3. ITRC supports the project in raising co-financing either on a project-by-project basis or for the global project as a whole;
4. ITRC supports the project in sharing and linking its lessons learned to policy development, GEF and CBD agendas, and to improving development approaches and practices at country, regional and local levels.
5. If an organization, whose representative is a member of the ITRC, is providing co-financing or is actively advising a country on preparing an application, this must be disclosed during the application selection process. The ITRC member's vote/score will not be taken into account when calculating the average score for that application.

ITRC composition

Organization	Name of contact person	Position
CBD Secretariat, ITRC Co-Chair	Ahmed Djoghla	Executive Secretary
UNDP/GEF, ITRC Co-Chair	John Hough	Deputy Executive Coordinator a.i., Principal Technical Advisor, Biodiversity
GEF Secretariat	Mark Zimsky	Team Leader, a.i. Biodiversity
UNEP WCMC	Jon Hutton	Director
STAP	James N. Sanchirico	STAP expert, Senior Fellow, Resources for the Future
TNC	Yabanex Batista	Senior Policy Advisor, International Government Relations
WWF International	Gordon Shepherd	Policy Director
WCS	Linda Krueger	Policy Director
WCPA	Trevor Sandwith	Deputy Chair
WCPA South America	Carmen E. Miranda Larrea	Regional Vice Chair
WCPA East Asia	Cristi Marie Capati Nozawa	Regional Vice Chair
World Bank	To be named	

Assessment, selection, monitoring and supervision process

	Steps	Description	Timeline
1	Call for country applications (CfA) announced	<ul style="list-style-type: none"> CfA and guidelines sent electronically to all CBD Focal Points with copies to all GEF Operational Focal Points, and posted at the project website. 	Announcement date – 10 July, 2007.
2	Application preparation and submission	<ul style="list-style-type: none"> The global project office (Bratislava) will provide basic technical assistance in the application preparation process. Information about potential partners that can help countries with application design and implementation will be placed at the project website. 	Proposals due six weeks after CfA announcement date.
3	Public disclosure	<ul style="list-style-type: none"> All received applications will be posted at the project website and the public will be invited to submit comments and observations, which will be taken into account by the ITRC. 	10 days for public web-posting.
4	Technical Review and Selection	<ul style="list-style-type: none"> The Global Project Coordinator will pre-screen all applications against the announced eligibility criteria. Applications which do not meet eligibility criteria 1-4, or that do not meet at least two of the criteria 5-8, will be rejected at the screening stage, and will not be subject to further assessment by the ITRC. The ITRC will score all screened applications, applying the established selection criteria. The ITRC members reserve the right to request, through the Project Coordinator, adjustments to proposed activities, time frames, and budgets. In addition, the ITRC and Project Coordinator reserve the right to verify, independently or through the local UNDP country office, the information presented by the government, which will be duly informed of the request. Based on this, modifications might need to be made before the application can be approved. ITRC members present their selection protocols, with scores calculated individually. The Project Coordinator calculates the average score for each application. Applications that receive less than 250 points are rejected. Applications that receive over 400 	<p>Screening by Global Project Coordinator to be concluded by the end of the 1st week following the public disclosure deadline.</p> <p>Scores from each ITRC member to be received within 15 days since the dispatch of screened applications to the ITRC by the Global Project Coordinator.</p> <p>Average scores calculation by Global Project Coordinator: two days.</p> <p>ITRC teleconference: 20 days after the Global Project Coordinator informs ITRC of average</p>

	Steps	Description	Timeline
		<p>points are approved for funding. Applications that receive between 251 and 399 points are subject to a conference-call discussion by the ITRC members, to be organized by the project management unit, to come to final agreement, regarding each such application. The final decision is made by ITRC consensus.</p> <ul style="list-style-type: none"> • The applicant country will be informed about the ITRC decision, and unsuccessful applicants will have the opportunity to revise and resubmit their proposal in a later round. 	<p>scores and proposes an indicative day and time for the teleconference. During the same period, the Global Project Coordinator will communicate with those governments whose applications had budget or substantial adjustments recommended by ITRC members.</p> <p>Informing country about final ITRC decision: 45 days following the public disclosure deadline.</p>
5	Memorandum of Agreement	<ul style="list-style-type: none"> • Once applications are approved by the ITRC, UNOPS and UNDP/GEF will, in consultation with the local UNDP country office where necessary, proceed with issuing a Memorandum of Agreement (MOA) with each successful recipient country government. • Only after the MOA is concluded will the award be official. • A list of the official awards will be maintained on the project website. 	Signing MoA: up to three weeks after the country has been informed of the final ITRC decision.
6	National activities monitoring and supervision	<ul style="list-style-type: none"> • As necessary, local UNDP COs will be contacted by the Global Project Management Unit to ask for assistance in the administrative and financial support for execution of activities in each country and routine financial and progress monitoring and supervision. Consultants may be contracted, through the project management unit, as necessary for more in-depth technical monitoring and evaluation. • Upon completion, each country will be required to submit a project completion report, following the template provided by the Project Coordinator, describing project outcomes and impacts using agreed indicators, and lessons learned. 	Through national project implementation.

For the Initial Gap Analysis

	Steps	Description	Timeline
1	Submission of a Request for Initial Gap Analysis by country	<ul style="list-style-type: none"> • The country may, after consultations with the project office, decide that it obviously lacks Initial Gap Analysis or any similar exercise, which precedes requesting further assistance from the project. • The country, if eligible, fills out the template, and uses the guidance note for requesting financial assistance for Initial Gap Analysis, as well as the description of the Initial Gap Analysis under Activity 1.1.5, and submits the proposal. 	Soon after the announcement date – scheduled for 10 th July 2007.
2	Non-objection voting by ITRC for Initial Gap Analysis	<ul style="list-style-type: none"> • The Project Office issues an email communication to ITRC members, posting the Initial Gap Analysis Request for their non-objection. 	Non-objection voting: 11 days from the day of email communication.
3	Release of grant for Initial Gap Analysis	<ul style="list-style-type: none"> • If comments or objections were raised, they will, through the Project Office, be discussed with the proponent government. • If no objections were raised, the country and UNOPS 	MoA signed 10 days after ITRC's positive decision

	Steps	Description	Timeline
		are informed of the positive ITRC decision, and a MoA is prepared for signature.	
4	Gap Analysis report	<ul style="list-style-type: none"> A report, as stipulated in the templates and guidance, is sent by the recipient country, not later than three months after financing has been received by the recipient country's bank account. Based on the Initial Gap Analysis report, the global project office prepares a technical note of gap analysis completion for ITRC members, which is kept until the full application is ready for submission by the same country. 	Not later than 3.5 months after funds arrived at the country's bank account.

Selection criteria/scorecard used by ITRC for proposals that have passed the pre-screening stage

	Selection Criteria	Points
1	Have the actions proposed for support received funding from other sources?	Minimum: 0 points if ITRC members have evidence of the application's close similarity to already funded grant(s). Medium: 25 points if there is evidence of similarities with funded grants, yet the application still builds on the funded grant and adds important value in terms of PoWPA implementation. Maximum: 50 points, if no similarities with on-going grants have been identified.
2	Is the application based on the Initial Gap Analysis (independent of GEF or carried out with this project's support).	No: 0 points To some extent: 25 points Yes, fully: 50 points
3	Availability of co-financing, in-cash, and/or in-kind.	The amount of points here corresponds exactly to the percentage share of the confirmed co-financing provided in the application: i.e. if co-financing amounts to 20%, the proposal gets 20 points, if 75% - 75 points, etc. Minimum: 0 points (for 0% co-financing) Maximum: 100 points (for 100% co-financing and above)
4	The degree to which proposed activities emphasize concrete actions towards achieving effective and sustainable national protected area systems, including those directly and indirectly resulting in the creation of new protected areas and improved management for existing protected areas.	Minimum: 0 points Maximum: 50 points
5	Clarity of articulation and degree of realism in the objective, outcomes and outputs of the application	Minimum: 0 points Maximum: 50 points
6	Clarity of the matrix work plan (including chances for activities' completion in two years), and budget, including clear linkages between budget lines and proposed outcomes/activities.	Minimum: 0 points Maximum: 50 points
7	Fit of the monitoring and evaluation plan to the proposed activities and timetable, including assessment of the degree of clarity, realism and verification possibility of the monitoring and evaluation indicators.	Minimum: 0 points Maximum: 50 points
8	To what extent do activities include partnerships with other organizations, and especially non-governmental stakeholders?	Minimum: 0 points Maximum: 50 points
9	Clarity of linkages of the proposed actions with country priorities in the area of protected area management.	Minimum: 0 points Maximum: 50 points

	Selection Criteria	Points
10	Degree of the contribution to poverty reduction and other key MDGs.	Minimum: 0 points Maximum: 50 points
11	Is the country a LDC and/or SIDS?	No: 0 points Yes: 50 points
	Total Points	<u>Minimum:</u> 0 <u>Maximum:</u> 600

SECTION 5.

MONITORING AND REPORTING

There are four monitoring and reporting milestones that each country has to adhere to:

- (i) The inception report
- (ii) Quarterly technical and financial report
- (iii) One-page travel reports
- (iv) Project completion report.

All reports should be sent by e-mail to the Global Project Coordinator, maxim.vergeichik@undp.org.

The inception report

- a. Is prepared one month after the funds arrive at the project bank account.
- b. Presents an updated timetable for implementation of project activities as stated in Section I.4.D of the approved project.
- c. Describes the project management and monitoring process in detail.
- d. Attaches CVs of consultants/experts and their TORs for each of the key project activities listed in the table in Section I.4.D of the approved project.

The template of the inception report is found in *Annex 5*.

Quarterly technical and financial reports

- e. Should be a maximum of 1,000 words.
- f. Should be sent by e-mail before the 10th of the month following the end of a calendar quarter.
- g. Should present a table from section I.4.D, with one additional column added, which will describe the progress so far. It is not enough to simply state “done” or “not done”. It is necessary to describe how the activity was implemented and, if it is delayed, the reasons.
- h. Should describe any strategic issues/challenges/risks that the project is facing and add these to the table text.
- i. Should present accurate financial data.
- j. Should attach separately all source documents (contracts with people, invoices, bills) which can be sent directly to: UN House, 35 Grosslingova street, Bratislava, Slovakia, Attention Maxim Vergeichik; or scanned and sent as pdf files to maxim.vergeichik@undp.org

The template for the quarterly technical and financial report is found in *Annex 5*.

One-page travel report

This report should be prepared for visits to protected areas (if direct work with PAs or field work to collect data is part of project activities), and should describe:

- The date of travel;
- Who traveled;
- Destination (i.e. which protected site was visited);
- Purpose of travel; and
- A brief description of the findings of the progress of work at the protected site that was visited.

No template is provided for the one-page travel report which should be developed as a MS Word document reflecting the five issues above, signed by the Contact Person responsible for the management of the project, scanned, and e-mailed to maxim.vergeichik@undp.org together with the quarterly technical report.

Country project completion report

The country project completion report should be sent within one month after the last payment was made under the project. The Global Project Coordinator will send reminders to projects when their completion reports are due. The template and guidance notes for the completion report are available in Annex 5, and in electronic form at the project website www.protectedareas.org.

Annual audit

Please note that all recipient countries will have to present evidence of the annual financial audit of their project. Further, qualified professionals may be contracted by the project as necessary to perform spot checks, additional or random audits and any other anti-corruption measures found necessary as a consequence of the various monitoring activities.

ANNEXES

ANNEX 1. LIST OF ELIGIBLE COUNTRIES

Below is the list of all countries eligible to apply for assistance under this project (members of the GEF having ratified the Convention on Biological Diversity). Please note that at least 50% of the total funds available will be distributed to LDCs and SIDS. Other countries from the list are also eligible to apply.

Eligible countries	LDC or SIDS
Afghanistan	x
Albania	
Algeria	
Angola	x
Antigua And Barbuda	x
Argentina	
Armenia	
Azerbaijan	
Bahamas	x
Bangladesh	x
Barbados	x
Belarus	
Belize	x
Benin	x
Bhutan	x
Bolivia	
Bosnia-Herzegovina	
Botswana	
Brazil	
Bulgaria	
Burkina Faso	x
Burundi	x
Cambodia	x
Cameroon	
Cape Verde	x
Central African Republic	x
Chad	x
Chile	
China	
Colombia	
Comoros	x
Congo DR	x
Congo Republic of	
Cook Islands	x
Costa Rica	
Cote d'Ivoire	
Croatia	
Cuba	x
Djibouti	x
Dominica	x
Dominican Republic	x
Ecuador	
Egypt	
El Salvador	
Equatorial Guinea	x
Eritrea	x
Estonia	
Ethiopia	x
Federated States of Micronesia	x
Fiji	x
Gabon	
Gambia	x

Eligible countries	LDC or SIDS
Georgia	
Ghana	
Grenada	x
Guatemala	
Guinea	x
Guinea-Bissau	x
Guyana	x
Haiti	x
Honduras	
India	
Indonesia	
Iran	
Jamaica	x
Jordan	
Kazakhstan	
Kenya	
Kiribati	x
Korea DPR	
Kyrgyzstan	
Lao PDR	x
Latvia	
Lebanon	
Lesotho	x
Liberia	x
Libya	
Lithuania	
Macedonia	
Madagascar	x
Malawi	x
Malaysia	
Maldives	x
Mali	x
Marshall Islands	x
Mauritania	x
Mauritius	x
Mexico	
Moldova	
Mongolia	
Morocco	
Mozambique	x
Myanmar	x
Namibia	
Nauru	X
Nepal	x
Nicaragua	
Niger	x
Nigeria	
Niue	x
Oman	
Pakistan	
Palau	x
Panama	
Papua New Guinea	x
Paraguay	
Peru	
Philippines	
Poland	
Republic Of Korea	
Romania	
Russian Federation	
Rwanda	x
Samoa	x
Sao Tome and Principe	x
Senegal	x
Serbia and Montenegro	

Eligible countries	LDC or SIDS
Seychelles	x
Sierra Leone	x
Slovak Republic	
Solomon Islands	x
South Africa	
Sri Lanka	
St. Kitts And Nevis	x
St. Lucia	x
St. Vincent and Grenadines	x
Sudan	x
Suriname	x
Swaziland	
Syria	
Tajikistan	
Tanzania	x
Thailand	
Togo	x
Tonga	x
Trinidad and Tobago	x
Tunisia	
Turkey	
Turkmenistan	
Tuvalu	x
Uganda	x
Ukraine	
Uruguay	
Uzbekistan	
Vanuatu	x
Venezuela	
Vietnam	
Yemen	x
Zambia	x
Zimbabwe	

ANNEX 2. REQUEST FOR FINANCIAL ASSISTANCE FOR INITIAL GAP ANALYSIS

1. Country	
2. Agency and/or ministry responsible for protected areas	
3. CBD ratification date	
4. LDC country (yes/no)	
5. SIDS country (yes/no):	
6. Submission date of this request	
7. Duration of the gap analysis study: (three months maximum)	
8. Contact person	Name: Title: Ministry: Phone: Fax: E-mail:

PART I JUSTIFICATION AND OBJECTIVE OF GAP ANALYSIS

(Give details)

PART II KEY ACTIVITIES OF THE GAP ANALYSIS

Activities	Budget, US\$	Completion date
Activity 1. (List)	National consultants/institutions:	
	International consultants:	
	Travel of national consultants	
	Travel of international consultants:	
	Sub-total for Activity 1:	
Activity 2 (List)	National consultants/institutions:	
	International consultants:	
	Travel of national consultants	
	Travel of international consultants:	
	Sub-total for Activity 2:	
Activity 3. (List)	National consultants/institutions:	
	International consultants:	
	Travel of national consultants	
	Travel of international consultants:	
	Sub-total for Activity 3:	
Continue for all activities.		
TOTAL	Maximum US\$ 15,000	Maximum three months

GUIDANCE NOTE TO FILLING A REQUEST FOR INITIAL GAP ANALYSIS

This guidance note should be used ONLY for preparing a request for the Initial Gap Analysis. If a country has already undertaken the Initial Gap Analysis or a similar exercise, it can proceed to applying for full assistance under this project for the eligible PoWPA activities. Please use the corresponding template and guidance note for application preparation, available at the project website: www.protectedareas.org.

General note

The Initial Gap Analysis is an important prerequisite for a country's implementation of the PoWPA, and for requesting further assistance from this project. Financing of the Initial Gap Analysis, which is the first part of PoWPA Activity 1.1.5 eligible under this project, is available only for LDCs and SIDS. If a country is not a LDC or SIDS it is not eligible for this assistance, but remains eligible for the second part Activity 1.1.5 (national planning for interim measures for highly threatened/highly valued areas). Please note, that the amount of assistance provided at this stage is deducted from the total admissible amount that a country can obtain from UNDP/GEF under this project (i.e. from maximum US\$ 250,000). Support to the Initial Gap Analysis is provided to LDCs and SIDS, with an expectation that they will, upon completion of this exercise, develop eligible applications for further assistance under this project.

Please consult the brief description of PoWPA Activity 1.1.5 in Annex 6 to better understand the essence and sequence of the Initial Gap Analysis.

1. **COUNTRY.** Name of the country
2. **AGENCY AND/OR MINISTRY RESPONSIBLE FOR PROTECTED AREAS.** Indicate the name of the national agency responsible for protected areas, and/or the ministry to which it belongs, and which will be leading the project implementation.
3. **CBD RATIFICATION DATE.** Date on which the Convention on Biological Diversity was ratified by the country.
4. **LDC Country.** Indicate whether the applicant country is defined by the United Nations as a Least Developed Country. Please refer to the table at <http://www.un.org/special-rep/ohrlls/ldc/list.htm>.
5. **SIDS Country.** Indicate whether the applicant country is defined by the United Nations as a Small Island Developing State. Please refer to <http://www.un.org/special-rep/ohrlls/sid/list.htm>
6. **SUBMISSION DATE.** Date on which this request is submitted.
7. **DURATION OF THE GAP ANALYSIS STUDY.** Please indicate, in months, the duration of the proposed project. Please note that the Initial Gap Analysis is not expected to exceed three months in duration.
8. **CONTACT PERSON.** Please indicate contact data, from the responsible agency, ministry or affiliated organization who will be responsible for the management of the Initial Gap Analysis.

PART I – JUSTIFICATION AND OBJECTIVE OF GAP ANALYSIS

Please state (in a maximum of 1,000 words):

- The reasons which have prevented the country from undertaking the Initial Gap Analysis under the PoWPA;
- What commitments/decisions the Government has recently taken to undertake the PoWPA gap analysis, and to subsequently request and implement this GEF project;
- Are there any arguments that serve as evidence of the seriousness of the country's commitment to implement PoWPA, and establish well-functioning national protected area systems for terrestrial areas by 2010 and marine protected areas by 2012.

PART II KEY ACTIVITIES OF THE GAP ANALYSIS

- A gap analysis can consist of 4-6 activities, according to the country's justification. Please try to list a maximum of six activities, but if necessary expand the table.
- Management costs, overheads, purchase of furniture, computers, or vehicles are NOT eligible. The eligible categories are (1) national consultants and institutions (who will be involved as experts in the Initial Gap Analysis, in the production of maps, or procurement of scientific data), international consultants, limited national and international travel (together not more than 30% of the total budget request).
- Please note that the budget, as provided in the table above, will be compared with the final report for the gap analysis study, and any deviations from the approved gap analysis budget lines, exceeding 20%, will have to be justified.
- A maximum of US\$ 15,000 may be requested for the purposes of this PoWPA gap analysis. These resources will count towards the maximum amount of resources (i.e. US\$ 250,000) a country may access during the lifetime of the global project.

ANNEX 3. TEMPLATE AND GUIDANCE NOTE FOR APPLICATION FOR FUNDING

APPLICATION FOR FUNDING

1. Country	
2. Agency and/or ministry responsible for protected areas	
3. CBD ratification date	
4. GEF OFP endorsement	
5. CBD PoWPA Activities (out of those eligible) to be supported	
6. LDC country (Yes/No)	
7. SIDS country (Yes/No)	
8. Application submission date	
9. Duration: (24 months maximum)	
10. Contacts	Contact for project substantial issues Name: Title: Ministry: Phone: Fax: E-mail:
	Contact for budget issues Name: Title: Ministry: Phone: Fax: E-mail:

11. Financing plan, in US\$*

Funding requested from GEF:	
Co-financing ¹ total, including:, including:
Government	
Bilateral	
NGOs	
International multilateral organizations	
Private Sector	
Other	
TOTAL FOR PROJECT BUDGET	

* Details to be provided in the Financing Section of the proposal document below

¹ Please see the definition of co-financing in the Guidance Note

PART I APPLICATION

SECTION I.1 SUMMARY

I.1.A Rationale and objective of the country project

I.1.B Expected outcomes, indicators, risks and mitigation measures

Expected outcomes	Indicators	Risk associated with attaining the indicator (high, medium, or low)	Risk mitigation measures

SECTION I.2 LINK TO INITIAL GAP ANALYSIS

(Link to the Initial Gap Analysis)

SECTION I.3 ACTION PLAN TO IMPLEMENT THE POWPA

(Give details)

SECTION I.4 PROJECT DESCRIPTION

I.4.A. Overview of the national protected area system

(Give details)

PA category/type	Quantity	Surface area, hectares	Corresponding IUCN category	Management authority

I.4.B Threats to the protected areas

Threat 1. *(Give details)*

Threat 2. *(Give details)*

Threat 3. *(Give details)*

*(Continue if necessary)***I.4.C. Barriers and limitations preventing the existing PA system from achieving the targets of the CBD PoWPA****Barrier 1.** *(Give details)***Barrier 2.** *(Give details)***Barrier 3.** *(Give details)**(Continue if necessary)***I.4.D Project outcomes and activities, and PoWPA Activities related to outcomes***(Give details)*

PoWPA activities to be addressed	Project outcomes that correspond to PoWPA activities	Activities per each outcome

I.4.E. Related projects and initiatives (not to be included in co-financing)

Project name	Funding: source and amount, US\$	Implementing agency(ies)	Which PoWPA activities are supported and how

SECTION I.5 STAKEHOLDER INVOLVEMENT

Stakeholder	Mechanism for involvement in the project

SECTION I.6 MONITORING AND EVALUATION OF EXPECTED OUTCOMES*(Give details)*

Type of M&E activity	Responsible party (ies)	Timeframe
1. Inception report		
2. Quarterly technical and financial reports		
3. One-page travel reports		
4. Project completion report		

SECTION I.7 BUDGET

I.7.A Estimated project costs

Outcome	GEF(US\$)	Co-financing (US\$)	Total (US\$)
1.			
2.			
3.			
4.			
(Continue if necessary)			
Project management budget/costs*, (including audit ² cost specified separately in the brackets)			

* A maximum of 10% of the funding request may be spent on project management, *not taking into account audit costs*.

I.7.B Budget lines

Outcome 1:

Budget category	GEF(US\$)	Co-financing (US\$)	Total (US\$)
1. Local consultants			
2. International consultants			
3. Training			
4. Travel			
TOTAL for Outcome 1			

Outcome 2:

Budget category	GEF(US\$)	Co-financing (US\$)	Total (US\$)
1. Local consultants			
2. International consultants			
3. Training			
4. Travel			
TOTAL for Outcome 2			

Outcome 3:

Budget category	GEF(US\$)	Co-financing (US\$)	Total (US\$)
1. Local consultants			
2. International consultants			
3. Training			
4. Travel			
TOTAL for Outcome 3			

² Please note that a financial audit is necessary for every project annually.

Note: Continue by presenting similar tables for all listed outcomes. An explanation of eligible budget items is provided in the Guidance Note.

Project management: (maximum 10% of the total amount requested from the GEF under this application):

Budget category	GEF(US\$)	Co-financing (US\$)	Total (US\$)
1. Local consultants engaged in managing the project			
2. International consultants			
3. Stationery and disposable items			
4. Travel			
5. Inception and closing workshops (two maximum)			
<i>TOTAL, before audit costs</i>			
6. Audit cost			
<i>TOTAL project management, including audit</i>			

I.7.C Co-financing (provide information on all co-finance sources directly relevant to the PoWPA activities which are the focus of this application)

Institution	Classification	Type	Amount (US\$)	
			Confirmed*	Unconfirmed
Total co-financing				

- *Please present copies of letters of co-financing as confirmation. Please note that only confirmed co-financing is counted by ITRC at the project assessment.*

PART II RESPONSE TO ITRC REVIEW AND COMMENTS – IF APPLICABLE

ITRC Comment	Response from project team

PART III ANNEXES

ANNEX III.1 OUTCOMES OF THE GAP ANALYSIS

III.1.A The gap analysis process

(Give details)

III.1.B Gap analysis outcomes

(Give details)

III.1.C Linkage between gap analysis outcomes and activities proposed under this application

Gap analysis result	Which activity is it linked to in the application

III.1.D Maps, records, relevant scientific publications and additional web-links

ANNEX III.2 GEF OFP ENDORSEMENT LETTER

(Please attach)

ANNEX III.3 CO-FINANCING LETTERS

(Please attach)

GUIDANCE NOTE FOR COMPLETING A COUNTRY APPLICATION

This guidance note is NOT for the Initial Gap Analysis. Please examine the separate Guidance Note for Initial Gap Analysis requests, Annex 2.

General note

The Initial Gap Analysis is an important prerequisite for obtaining financing under this project. If the country has not undertaken the Initial Gap Analysis, but is a SIDS or a LDC, it can request financial assistance from this project for the Initial Gap Analysis. In such a case, please do not submit this application, but use a separate template to request the financial assistance under the Initial Gap Analysis, found in Annex 2. Please note that absence of an Initial Gap Analysis, or an equivalent exercise, puts an application at risk of being rejected. For further guidance on the Initial Gap Analysis for PoWPA please follow the guidance note: *CBD Technical Series 24: Closing the Gap: Creating Ecologically Representative Protected Area Systems*. (It can be downloaded from the project website www.protectedareas.org).

1. COUNTRY. Name of the country

2. AGENCY AND/OR MINISTRY RESPONSIBLE FOR PROTECTED AREAS. Indicate the name of the national agency responsible for protected areas, and/or the ministry to which it belongs, which will be leading implementation of the activities under this application.

3. CBD RATIFICATION DATE. Date on which the Convention on Biological Diversity was ratified by the country.

4. GEF OPERATIONAL FOCAL POINT ENDORSEMENT: Name and position of the country's GEF Operational Focal Point, as well as date on which the GEF OFP endorsement letter for this application was signed.

5. CBD POWPA ACTIVITIES TO BE SUPPORTED. Indicate those CBD Programme of Work on Protected Areas eligible activities (out of those listed in Section 3), for which funding is being requested by the country. Do not list the specific project activities here.

6. LDC country. Indicate whether the applicant country is defined by the United Nations as a Least Developed Country. Please refer to the table at <http://www.un.org/special-rep/ohrlls/lcd/list.htm>.

7. SIDS country. Indicate whether the applicant country is defined by the United Nations as a Small Island Developing State. Please refer to <http://www.un.org/special-rep/ohrlls/sid/list.htm>

8. APPLICATION SUBMISSION DATE. Date on which the application is submitted.

9. DURATION. Please indicate, in months, the duration of the proposed project. Please note that in line with the approved criteria, a country project can not exceed 24-months in duration, and that the closing date of the project must be no more than 24 months after the grant agreement is signed.

10. CONTACTS. Please indicate separately the contact data for the person who will lead the substantial/technical implementation of the project, and for the person who will be responsible for budgetary and financial management. This can be the same person.

11. FINANCING PLAN. Please note that all amounts should be stated in US dollars, not in thousands or millions of dollars, and not in domestic or other currencies. Please do not specify names of organizations here. This should be done in the financing section of the main text of the proposal.

Funding requested

This is the grant amount requested from the UNDP/GEF project – Supporting Country Action on the CBD Programme of Work on Protected Areas.

Co-financing total. For the purpose of this project, “complementary activities” discussed under point 8, are any programmes, projects, activities in the area of protected area improvement, besides those directly linked to those PoWPA activities for which the country is applying under this project. On the other hand, “co-financing” is understood as funding made available from non-GEF resources specifically to support implementation of those PoWPA activities that are the focus of the country’s application. Please note that only confirmed co-financing (i.e. co-financing confirmed with a commitment letter) is taken into account.

Please first give the total co-financing amount. Then, break it down by sources as follows:

Government. Committed total contributions from national ministries and other governmental institutions.

Bilateral. Committed total contributions from foreign governments, and foreign government technical assistance agencies/programmes.

International multilateral organizations. Committed contributions from multilateral institutions, such as UN agencies/programmes, World Bank, regional development banks, etc.

NGOs. Committed contributions from international and/or local NGOs.

Private sector. Committed contributions from private companies, businesses, industries or professional associations.

Others. Committed contribution from all other sources.

Please note that letters of commitment from these agencies are required in support of this application.

TOTAL FOR PROJECT BUDGET. This equals funding requested from GEF plus the co-financing total.

PART I APPLICATION

SECTION I.1 SUMMARY

Briefly describe the whole project (*in around 500-600 words*). Expand tables as necessary.

I.1.A Rationale and objective

Describe the rationale for the project (justification) and its objective (one).

I.1.B Expected outcomes, indicators, risks and mitigation measures

First, present project outcomes. Ideally, your project should have on average three, maximum five outcomes, which can be designed in such a way as to correspond to the PoWPA Activities that the project is targeting. Outcomes are the impacts that the project hopes to achieve in each of the PoWPA Activities it is focusing on.

Please do not add text here, just complete the table. Each outcome should be measured by one or more of the indicators directly relevant to the measurement of the corresponding CBD PoWPA Activity or Activities that are targeted by your project. For each outcome, using Table 1 below please find the PoWPA Activity to which your outcome corresponds, track the indicator(s) in the third column, and adapt it for the purposes of your outcome. Evaluate the risk and present mitigation measures for each outcome.

Example:

Assume, Coolandia country project is targeting, among other eligible activities, Activity 1.1.1 (Target setting for protected area systems).

The Coolandia project outcome which corresponds to Activity 1.1.1, may be formulated as “By the end of the project Coolandia will have established a legally binding target of including 13% of its territory into protected areas”.

The indicator for this Outcome should be adapted from the third column of Table 1, which may be done, for example, in the following way: “Evidence of Coolandia Prime-Minister Regulation under approval / approved prescribing (i) percentage of country to be included in the protected areas, (ii) time horizon to achieve the target, (iii) roles and responsibilities of government and scientific institutions in achieving and measuring success towards the established target”.

Table 1. PoWPA Activities eligible under the project, and their indicators

CBD PoWPA	Activity description	Indicators	Baseline value	Target value	Source of verification	Assumptions
Goal 1.1	To establish and strengthen national and regional systems of protected areas integrated into a global network as a contribution to globally agreed goals.					
Activity 1.1.1	Establish suitable time-bound and measurable national and regional level protected area targets and indicators.	Establishment of quantitative and measurable protected area targets (e.g., %age of terrestrial areas or forests to be protected).	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Activity 1.1.4	Conduct, with the full and effective participation of indigenous and local communities and relevant stakeholders, national-level reviews of existing and potential forms of conservation, and their suitability for achieving biodiversity conservation goals, including innovative types of governance for protected areas that need to be recognized and promoted through legal, policy, financial institutional and community mechanisms, such as protected areas run by government agencies at various levels, co-managed protected areas, private protected areas, indigenous and local community conserved areas.	Completion of a national-level review of protected areas governance types.	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Activity 1.1.5	Complete protected area system gap analyses at national and regional levels based on the requirements for representative systems of protected areas that adequately conserve terrestrial, marine and inland water biodiversity and ecosystems. National plans should also be developed to provide interim measures to protect highly threatened or highly valued areas wherever this is necessary.	Comprehensive map produced, delineating all existing protected areas in the country, including delineation of various categories of protected areas (Note: this mapping tool will be useful well beyond the life of this project, as it can be periodically updated and used for future planning and decision-making)	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Goal 1.2	To integrate protected areas into broader land- and seascapes and sectors so as to maintain ecological structure and function.					

CBD PoWPA	Activity description	Indicators	Baseline value	Target value	Source of verification	Assumptions
Activity 1.2.1	Evaluate national and sub-national experiences and lessons learned on specific efforts to integrate protected areas into broader land- and seascapes and sectoral plans and strategies such as poverty reduction strategies.	Evaluations completed on efforts made to date to integrate protected areas into broader planning processes and strategies (e.g., poverty reduction strategies).	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Goal 2.1	To promote equity and benefit-sharing.					
Activity 2.1.2	Recognize and promote a broad set of protected area governance types related to their potential for achieving biodiversity conservation goals in accordance with the Convention, which may include areas conserved by indigenous and local communities and private nature reserves. The promotion of these areas should be by legal and/or policy, financial and community mechanisms.	Concrete actions taken by the government to promote a broad set of protected areas governance types, including legal, policy, financial, institutional and community mechanisms.	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Goal 3.1	To provide an enabling policy, institutional and socio-economic environment for protected areas					
Activity 3.1.1	Identify legislative and institutional gaps and barriers that impede the effective establishment and management of protected areas, and by 2009, effectively address these gaps and barriers	Reviews completed of legal and policy gaps related to protected areas.	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD	One or more countries request funding to carry out activities aligned with this PoWPA activity.
		Concrete actions taken by the government to fill legal and policy gaps (e.g., new laws, regulations, policy decrees).	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD	

CBD PoWPA	Activity description	Indicators	Baseline value	Target value	Source of verification	Assumptions
Activity 3.1.2	Conduct national-level assessments of the contributions of protected areas, considering as appropriate environmental services, to the country's economy and culture, and to the achievement of the Millennium Development Goals at the national level; and integrate the use of economic valuation and natural resource accounting tools into national planning processes in order to identify the hidden and non-hidden economic benefits provided by protected areas and who appropriates these benefits.	Studies completed documenting protected areas economic and cultural values, including their contribution to poverty alleviation and the Millennium Development Goals.	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Activity 3.1.5	Identify and remove perverse incentives and inconsistencies in sectoral policies that increase pressure on protected areas, or take action to mitigate their perverse effects. Whenever feasible, redirect these to positive incentives for conservation.	Concrete actions taken by the government to mitigate or remove perverse policy incentives which undermine protected areas, and concrete steps to establish positive policy incentives that support protected areas (e.g., ecosystem service fees, tax-related fiscal instruments).	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.
Activity 3.1.6	Identify and establish positive incentives that support the integrity and maintenance of protected areas and the involvement of indigenous and local communities and stakeholders in conservation.	Concrete actions taken by the government to mitigate or remove perverse policy incentives which undermine protected areas, and concrete steps to establish positive policy incentives that support protected areas (e.g., ecosystem service fees, tax-related fiscal instruments).	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.

CBD PoWPA	Activity description	Indicators	Baseline value	Target value	Source of verification	Assumptions
Goal 3.2	To build capacity for the planning, establishment and management of protected areas					
Activity 3.2.1	Complete national protected-area capacity needs assessments, and establish capacity-building programmes on the basis of these assessments including the creation of curricula, resources and programmes for the sustained delivery of protected areas management training.	National-level assessments completed documenting capacity needs for protected area managers and achievement of effective protected area systems.	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.
		Completion of the design of protected areas management training and capacity-building programmes and specific actions taken to implement capacity building programmes	0	100% of countries that received funding to implement this activity.	Project completion reports, National communications to CBD.	
Goal 3.4	To ensure financial sustainability of protected areas and national and regional systems of protected areas.					
Activity 3.4.1	Conduct a national-level study of the effectiveness in using existing financial resources and of financial needs related to the national system of protected areas and identify options for meeting these needs through a mixture of national and international resources and taking into account the whole range of possible funding instruments, such as public funding, debt for nature swaps, elimination of perverse incentives and subsidies, private funding, taxes and fees for ecological services.	National-level assessments of total financial needs and gaps completed.	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD	One or more countries request funding to carry out activities aligned with this PoWPA activity.
		National-level action plans to achieve sustainable finance completed, including necessary actions to establish new funding mechanisms (e.g., trust funds, park entrance fees, etc.).	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD.	
Goal 4.1	To develop and adopt minimum standards and best practices for national and regional protected area systems.					
Activity 4.1.2	Develop and implement an efficient, long-term monitoring system of the outcomes being achieved through protected area systems in relation to the goals and targets of this work programme.	Long-term monitoring system designed and operationalized for the purpose of tracking outcomes achieved in relation to the CBD Programme of Work on Protected Areas.	0	100% of countries that received funding to implement this activity	Project completion reports, National communications to CBD.	One or more countries request funding to carry out activities aligned with this PoWPA activity.

CBD PoWPA	Activity description	Indicators	Baseline value	Target value	Source of verification	Assumptions
Goal 4.2	To evaluate and improve the effectiveness of protected areas management.					
Activity 4.2.1	Develop and adopt appropriate methods, standards, criteria and indicators for evaluating the effectiveness of protected area management and governance, and set up a related database, taking into account the IUCN-WCPA framework for evaluating management effectiveness, and other relevant methodologies, which should be adapted to local conditions.	<p>Methods, standards and criteria formally adopted and operationalized by the government for evaluating the effectiveness of protected areas management and governance.</p> <p>Database created to track progress on management effectiveness over time.</p>	<p>0</p> <p>0</p>	<p>100% of countries that received funding to implement this activity</p> <p>100% of countries that received funding to implement this activity.</p>	<p>Project completion reports, National communications to CBD.</p> <p>Project completion reports, National communications to CBD.</p>	One or more countries request funding to carry out activities aligned with this PoWPA activity.

SECTION I.2 LINK TO INITIAL GAP ANALYSIS

Has the country undertaken the Initial Gap Analysis for PoWPA? If so, please state (1) when was it carried out, (2) what uncovered priorities in the area of protected area management, were identified by the country as a result of that assessment? Please attach a report or indicate the web or literature references/reports where this study may be found. Please describe the Initial Gap Analysis in more detail in Annex III.1.

SECTION I.3 ACTION PLAN TO IMPLEMENT THE POWPA

Please, describe, (in 600-800 words) how the country is implementing or preparing for PoWPA implementation? Clarify which other PoWPA activities, NOT COVERED by the proposed project, are addressed or will be addressed by the government, other donors or conservation NGOs.

SECTION I.4 PROJECT DESCRIPTION

I.4.A. Overview of the national protected area system

Please describe, (*in about 600 words*) the country's current protected area system.

- Use the table to show all types/categories of protected areas in the country (i.e. nature parks, reserves, national monuments, etc.) their quantity/number; the total size in hectares covered by each category; to which IUCN category the national PA category corresponds, and how each category of protected area is managed. "Management authority" in the table means: (1) is the protected area in state, public or private ownership? and (2) does this type of protected area have site units/wardens?
- As well as completing the table, please indicate the percentage of the country's total area that the PA system currently covers.
- Is there a national law on protected areas? Please indicate a weblink, if available.
- Are there plans to expand the country's PA coverage? Please indicate under which law or state programme PA expansion is expected to happen.
- What ecosystems and species, included in IUCN and other international Red Lists, are protected by the PA.
- What are the project's targets and timeframes for addressing gaps in the country's protected areas system?

I.4.B Threats to the protected areas

Please describe (*in a maximum of 600 words*) the four or five main threats to the protected area system. This should be based on the outcomes of the Initial Gap Analysis, which must be carried out prior to request of assistance from this project. The Gap analysis should be attached to Annex 1 of the application.

Threats, which are referred to by some writers as "pressures" are different from barriers. Threats are direct influences of human developments that cause some degree of deterioration or destruction of the biodiversity at protected areas or in their close vicinity. According to *A Guide to Threat Reduction Assessment for Conservation threats* can be divided into:

- Factors that have a direct impact on the biodiversity of protected areas caused by people living and working at the site, e.g. over-hunting, overgrazing, illegal fishing, illegal constructions, etc.
- Factors that have a direct impact on the biodiversity of protected areas, but are caused by people living or working *outside* of protected areas, for example, illegal logging, drainage, or unsustainable river management in the buffer zones of protected areas.

- Indirect general threats that often underline the two types of threats listed above, such as rural poverty, absence of law enforcement capacities, and other factors like these.

I.4.C. Barriers to achieving the targets of the CBD PoWPA

Please list a maximum of five main barriers and/or limitations that prevent the current protected area system in the country from achieving the objectives of the PoWPA. As in the previous section, identification of barriers should also be based on the Initial Gap Analysis.

Unlike threats, barriers or limitations do not directly relate to the condition of biodiversity in the protected areas. Barriers may be legal, institutional, financial, administrative, knowledge-management and other problems which prevent the country's government from improving its protected area system so that it meets PoWPA requirements. For example these could be: perverse incentives for illegal commercial activities in the protected areas; the fact that protected areas do not receive enough priority compared to the country's other social and economic problems; poor training and lack of capacity of government officials and protected area wardens; poor knowledge on setting up, gazetting, and managing protected areas; and others.

I.4.D. Project outcomes and activities, and PoWPA Activities related to outcomes

Complete the table, as follows:

- In the first column, please indicate which PoWPA Activity (from Table 1 Section III) is being addressed.
- In the second column, indicate which project outcome corresponds to each PoWPA Activity addressed.
- In the third column, for each outcome describe between three and five activities which will be implemented to reach the outcome.

Add text as necessary, to indicate whether the project, in addition to its main objectives focused on PoWPA, is expected to have any additional impact on either poverty reduction, or on attaining the MDGs.

I.4.E. Related projects and initiatives (not included in co-financing)

Complete the table, listing any national and international programmes and projects relevant to implementation of the PoWPA Activities other than those targeted by the project (i.e. the complementary projects and programmes). List their funding sources and amounts, and the implementing agencies/partners.

Add text as necessary, to prove that the proposed project will be properly integrated into the government's efforts to achieve PoWPA objectives.

Please note that complementary activities presented here should be separate from co-financing activities.

SECTION I.5 STAKEHOLDER INVOLVEMENT

Please fill out the table, listing all stakeholders who will be involved in the project and briefly describe the mechanisms of their involvement in project implementation.

Also provide information regarding any laws and policies of the country that govern stakeholder consultation in the establishment and management of protected areas in the country.

SECTION I.6 MONITORING AND EVALUATION

Describe (*in 100-200 words*) the mechanisms and responsible parties for monitoring the expected outcomes of the project. Next, please fill out the table, noting that:

- (i) **The inception report** must be prepared one month after the money has been deposited in the project bank account.
- (ii) **Quarterly technical and financial reports** should be sent by the 30th of the month following the end of each calendar quarter. The report should contain both a technical and financial section.
- (iv) **A one-page travel report** should be sent within 10 days of the conclusion of a trip.
- (v) **The project Completion Report** should be sent within 30 days of the end of the month in which the last payment was made under the project. The Global Project Coordinator will remind projects when their completion reports are due. All reporting templates and guidance notes for the Project Completion Report are available in Annex 5, and at the project website www.protectedareas.org

SECTION I.7 BUDGET

I.7.A Estimated project costs

Please fill out the table, indicating GEF budget and co-financing per outcome. Include total project management/coordination budget/cost. These costs must not exceed 10% of the total grant, excluding the cost of financial audit. Please note that equipment and vehicles are not eligible for funding.

A financial audit must be carried out for each project annually. Please indicate the cost of the audit in the management cost table under the Budget Lines section.

I.7.B Budget Lines

Please provide, for each outcome, a breakdown of each outcome's budget lines. Please note that purchase of vehicles, computer equipment, and furniture is not eligible.

There are four eligible categories under regular Project Outcomes:

- Local consultants (these can be individual or relevant institutions), including production and/or procurement of maps and software relevant for the implementation of the relevant Outcome;
- International consultants (individual or companies);
- Travel of national consultants for field data gathering, or project monitoring purposes, as well as travel of international consultants; and
- Targeted training (conferences and non-training workshops can be financed in exception cases when evidence is presented of their linkage to implementation of particular PoWPA activities.

It is not necessary to use all types of categories under each outcome. Only the most appropriate types of categories, best suited for a particular outcome, should be used.

Under Project Management (which must be limited to 10% of the total amount requested from the GEF under this application, excluding audit costs), the following items are eligible:

- Local consultants (one or two maximum) hired to management the project or assist the government in its implementation. Please note, that government officials cannot receive financing under this project from this or any other budget line;

- International consultants, if the proponent justifies that project management can not be successful without involvement of an international consultant;
- Procurement of stationery, paper, stickers, and similar disposable items;
- Travel of local consultants, government officials, and international consultants directly relevant to project monitoring;
- Financing for the inception and closing workshops, if envisaged by the project; and
- Audit costs.

Please note that any other overhead costs connected to project implementation (i.e. rent, utilities, rent of vehicles, gasoline, etc.) have to be covered from co-financing.

I.7.C Co-financing (provide information on all co-finance sources for the project)

Co-financing is understood as funds provided by non-GEF project partners specifically for those PoWPA activities that are the focus of the country's application. Please note the difference between co-financing and related projected and activities discussed in section I.4.E – understood as all complementary activities in the area of protected area management besides those directly relevant to the PoWPA activities covered by the country's application.

Please fill out the table, listing:

- Co-financing classification. Select from: government, international, multilateral agency, bilateral, private sector, NGO, or others (specify).
- Type of co-financing. Select from: cash (i.e. money which is allocated in the budget of a co-financing institution specifically for the purpose of co-financing activities related to this project); in-kind commitments (i.e. non-monetary types of contribution such as time of experts, equipment and vehicles granted for the implementation of the project, coverage of rent, utilities, etc.)

Please note: Letters of co-financing should be attached from each institution. Also note that only confirmed co-financing is counted by ITRC at project evaluation.

PART II RESPONSE TO ITRC REVIEW AND COMMENTS

Provide fill out the table to include responses to comments provided by the International Technical Review Committee. Expand the table as necessary.

PART III ANNEXES

Please note that the following annexes must be completed. You may include additional annexes as necessary.

ANNEX III.1 OUTCOMES OF THE GAP ANALYSIS

III.1.A-III.1.D The Initial Gap Analysis process

For each of III.1.A – III.1.D, please provide relevant detailed information. Please fill out the table, which lists separate results of the Initial Gap Analysis in the right hand column, and, in the other column, the outcomes as listed in the application to which each gap analysis result is linked.

ANNEX III.2 GEF OFF ENDORSEMENT LETTER

Please attach a copy of the letter of endorsement from the GEF OFF.

ANNEX III.3 CO-FINANCING LETTERS

Please attach copies of all co-financing letters. Note that amounts mentioned in letters should match the figures given in Table I.7.C Co-financing.

ANNEX 4. TEMPLATE MoA

MEMORANDUM OF AGREEMENT BETWEEN UNOPS AND GOVERNMENT OF ()

Memorandum of Agreement (hereinafter referred to as the “Agreement”) made this _____ day of _____ 19____ between the United Nations Office for Project Services (hereinafter referred to as “UNOPS”) and (*Insert name of government ministry*) (hereinafter referred to as (*Insert acronym of entity*)).

WHEREAS UNOPS desires to engage the services of the (*Insert acronym of entity*) in the context of Project 3273 Global Early Action on Protected Areas, financed by the Global Environment Facility Trust Fund and on the terms and conditions hereinafter set forth, and

WHEREAS the (*Insert acronym of entity*) is ready and willing to accept the engagement of services for UNOPS on the said terms and conditions.

NOW, therefore, the parties hereto agree as follows:

I. Responsibilities of (*Insert acronym of entity*)

1.1 The (*Insert acronym of entity*) agrees to provide the services as described in the attached Country Application for Funding (Annex A), approved by the International Technical Review Committee on (*Date of application approval*) which forms an integral part of this Agreement. None of the funds provided pursuant to this Agreement may be used any purpose other than those expressly set forth in Annex A.

II. Responsibilities of UNOPS:

2.1 UNOPS agrees to make the payments specified in Article IV below [and to] (*Insert any other special responsibilities UNOPS may have under this agreement. If not applicable delete second half of sentence.*)

III. Duration

3.1 This Agreement will come into effect on (*Insert day/month/year*) and shall expire on (*Insert day/month/year*).

IV. Payments

4.1 As full consideration for the implementation of activities performed by the (*Insert acronym of entity*) under the approved Country Application For Funding (Annex A), as certified by the Global Project Coordinator of Project 3273 Global Early Action for Protected Areas, UNOPS shall pay (*Insert acronym of entity*) an amount of (*Insert currency and amount in both figures and words*) according to the financial proposal, which constitutes an integral part of Annex A, and the schedule set out below³:

(*Insert schedule*)

4.2 All payments shall be in local currency, and deposited into the (*Insert acronym of entity*)’s bank account of which the details are as follows:

³ The exact payment schedule will be determined further to negotiations/discussions with the respective government office. As a general principle, disbursements will correspond to receipt of workplans and financial reports on a quarterly basis, or otherwise as agreed with the recipient country.

Bank name:

Account name:

Account no.:

Bank address:

4.3 The amount of payment is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the *(Insert acronym of entity)* in the performance of the Agreement.

V. Records, Information and Reports

5.1 *(Insert acronym of entity)* shall maintain clear, accurate and complete records in respect of the funds received under this Agreement, in line with Monitoring and Reporting requirements stated in the approved country Application in Annex A. *(Insert acronym of entity)*'s books and records shall be maintained in such a manner that the receipts and expenditures of the funds will be shown separately on such books and records in an easily checked form.

5.2 *(Insert acronym of entity)* shall furnish, compile and make available at all times to UNOPS any records or information, oral or written, which UNOPS may reasonably request in respect of the services performed by the *(Insert acronym of entity)*, including for financial audit purposes.

5.3 All further correspondence regarding the implementation of this Agreement should be addressed to:

(Insert acronym of entity)

For UNOPS:

(Insert name and address of the Division Chief, Project Manager, or UNDP Resident Representative with the proper delegated authority, as appropriate)

For the *(Insert acronym of entity)*

(Insert name and address of authorized official)

VI. General Provisions

6.1 This Agreement and the Annexes attached hereto shall form the entire Agreement between *(Insert acronym of entity)* and UNOPS, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Agreement.

6.2 The *(Insert acronym of entity)* shall carry out all services under this Agreement with due diligence and efficiency.

6.3 UNOPS undertakes no responsibilities in respect of life, health, accident, travel or any other insurance coverage for any person which may be necessary or desirable for the purpose of this Agreement or for any personnel performing services under this Agreement. Such responsibilities shall be borne by the *(Insert acronym of entity)*.

6.4 The rights and obligations of the *(Insert acronym of entity)* are limited to the terms and conditions of this Agreement. Accordingly, the *(Insert acronym of entity)* and personnel performing services on its behalf shall not be entitled to any benefit, payment, compensation or entitlement except as expressly provided in this Agreement.

6.5 The *(Insert acronym of entity)* shall be solely liable for claims by third parties arising from the *(Insert acronym of entity)*'s acts or omissions in the course of performing this Agreement and under no circumstances shall UNOPS be held liable for such claims by third parties.

6.6 Equipment purchased by the *(Insert acronym of entity)* with funds supplied by UNOPS shall be the property of the *(Insert name of funding source)* unless otherwise agreed in writing between UNOPS and the *(Insert acronym of entity)*, and shall be used for the purpose indicated in the project proposal throughout the period of this Agreement.

6.7 All funds which remain unutilized after completion of project activities shall be promptly returned by the *(Insert acronym of entity)* to UNOPS, or to be otherwise disposed of in consultation with UNOPS.

6.8 This Agreement may be terminated by either party before completion of the Agreement by giving thirty (30) days written notice to the other party, and the *(Insert acronym of entity)* shall promptly return any unutilized funds to UNOPS as per paragraph 6.7 above.

6.9 No modification of or change in this Agreement, waiver of any of its provisions or additional contractual provisions shall be valid or enforceable unless previously approved in writing by the parties to this Agreement or their duly authorized representatives in the form of an amendment to this Agreement duly signed by the parties hereto.

6.10 Any controversy or claim arising out of, or in accordance with this Agreement or any breach thereof, shall unless it is settled by direct negotiation, be settled in accordance with the UNCITRAL Arbitration Rules as at present in force. Where, in the course of such direct negotiation referred to above, the parties wish to seek an amicable settlement of such dispute, controversy or claim by conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules as at present in force.

The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.

6.11 Nothing in or relating to this Agreement shall be deemed a waiver of any privileges and immunities of the United Nations, UNDP or UNOPS.

VII. Additional Provisions

(Please insert any special provisions relevant to this Agreement under this Article; eg. reference to intellectual property rights. If there are no special provisions, then please delete this entire Article)

[“Without derogating the above terms and conditions, the following additional provisions shall apply:”]

IN WITNESS WHEREOF, the undersigned, duly appointed representatives of UNOPS and of the *(Insert acronym of entity)*, respectively, have on behalf of UNOPS and the *(Insert acronym of entity)* signed the present Memorandum of Agreement on the dates indicated below their respective signatures.

On behalf of UNOPS:

On behalf of *(Insert acronym of entity)*:

Name:

Name:

Title:

Title:

Date:

Date:

**ATTACHMENT A
APPROVED COUNTRY APPLICATION⁴**

Date of ITRC approval: ()

⁴ Either Initial Gap Analysis or full Country Application

ANNEX 5. REPORTING TEMPLATES

TEMPLATE FOR COUNTRY INCEPTION REPORT

Title of the project and country

Date when MoA with UNOPS was signed

Date when project funds were received at the country's project account

Updated outcomes and activities table:

Outcome	Activities per outcome	Completion deadlines for each activity

Will the completion deadline for the whole project remain unchanged from that which was stated in the approved project? If not, please provide justification and a new project completion deadline.

Do you envisage any change in the budget as it was approved? If so, please provide reasons for the expected changes, and please describe what changes to the budget need to be made.

Project contact persons

Please confirm that the project contact persons as listed on the cover page of the approved project, are correct, and are accessible through e-mail (or fax). If there is a change in any of the contact persons (for substantial issues, or budget issues), please provide new information.

Experts working under the project

Project activities	Persons / organizations who/which will be hired to implement the activity: Name, title, e-mail, phone number.	For the purposes of this project – is the person/organization which implements the activity reporting directly to the contact person for substantial project issues? If no, provide name of the person to whom he is reporting to

CVs of key experts/organizations listed in the second column of the previous table:

(Give details)

Monitoring and evaluation plan and time-table

Monitoring and reporting event	Expected date of event
Next quarterly technical and financial report	
Is travel to the field to inspect project implementation envisaged? If yes – give tentative dates	
Tentative data for completion report	

QUARTERLY COUNTRY TECHNICAL AND FINANCIAL REPORT

Title of the project and country

Technical progress report

Project outcomes	Activities per each outcome	Progress in the implementation of activities and achieving the indicators

Quarterly financial report

Project outcome	Initially approved budget for the outcome	Currently spent amounts for each budget line under each outcome	Number of the source document confirming the payment*

Please present, number, and attach separately all source documents (contracts with people, invoices, bills). These can either be mailed to: UN House, 35 Grosslingova street, Bratislava, Slovakia, Attention Maxim Vergeichik; or scanned and sent as pdf files to: maxim.vergeichik@undp.org.

Issues/challenges/risks that the project faced in the previous quarter, or expects in the next quarter

(List)

COUNTRY PROJECT COMPLETION REPORT

1. Project title, and country	
2. Agency and/or ministry responsible for the project	
3. Project contacts	Contact for project substantial issues Name: Title: Ministry: Phone: Fax: E-mail:
	Contact for budget issues Name: Title: Ministry: Phone: Fax: E-mail:
4. Date when MoA for this project was signed by UNOPS	
5. Original project closing date	
6. Actual closing date	
7. CBD PoWPA activities which were supported	
8. Was the project revised? If so, please state the data of clearance of the project revision by Global Project Coordinator.	

SECTION 1 SUBSTANTIAL RESULTS

Table 1. Report on activities

Project outcomes	Activities per each outcome	Status of activities, and clarification for activities not implemented, or partially implemented

Table 2. Achievement of indicators

Outcome indicators from approved application	Achievement status of the indicator, and clarification for indicators not achieved or partially achieved

Table 3. Contribution to strengthening of the national PA system

Have any new protected areas been established as a result of this project?	If yes, name these and state the area of each (hectares):
Has the project resulted in any changes to the policy, legislative, or regulatory environment of protected areas?	If yes, list the changes that have been made:
Has the project raised awareness or knowledge about protected areas in people beyond the project team?	If yes, amongst which target audiences:
Has the project resulted in any changes in institutional arrangements and mandates concerning protected areas?	If yes, list the changes that have been made:
How many protected areas already have improved management capacity as a result of this project?	If yes, name these and state the area of each (hectares):
Have any new financial mechanisms for protected areas (such as user fees, tourist taxes, payments for environmental services, etc) been created, or existing mechanisms strengthened as a result of this project?	If yes, list these:
Has the project improved relationships between protected areas and local communities?	If yes, how?
Has the project worked with Indigenous communities?	If yes, name the groups and what was done:
Have any of the lessons or demonstrations from the project been adopted elsewhere?	If yes, list the subjects of these and where they have been adopted. Explain any actions taken by the project to assist in this.

Project's contribution to remove/alleviate threats and barriers

Threats to the protected areas, and impact of the project on their alleviation

Threat 1.

(Give details)

Threat 2.

(Give details)

Threat 3

(Give details)

(Continue, if necessary)

Barriers to achieving the targets of the CBD PoWPA, and impact of the project on their alleviation

Barrier 1.

(Give details)

Barrier 2.

(Give details)

Barrier3.

(Give details)

(Continue, if necessary)

SECTION 2 BUDGET REPORT**Outcome 1:**

Budget category	GEF(US\$) approved	GEF (US\$) actual	Deviation GEF from approved, %	Co- finance. approved, US\$	Co- finance. actual, US\$	Deviation of co-finance from approved, %
1. Local consultants						
2. International consultants						
3. Training						
4. Travel						

Explanation for deviations over 20%:*(Give details)***Outcome 2:**

Budget category	GEF(US\$) approved	GEF (US\$) actual	Deviation GEF from approved, %	Co- finance. approved, US\$	Co- finance. actual, US\$	Deviation, co-finance from approved, %
1. Local consultants						
2. International consultants						
3. Training						
4. Travel						

Explanation for deviations over 20%:*(Give details)***Outcome 3:**

Budget category	GEF(US\$) approved	GEF (US\$) actual	Deviation GEF from approved, %	Co- finance. approved, US\$	Co- finance. actual, US\$	Deviation, co-finance from approved, %
1. Local consultants						
2. International consultants						
3. Training						
4. Travel						

Explanation for deviations over 20%:*(Give details)**Please present in the same format reports for all other outcomes.*

Project Management and Coordination Budget:

Budget category	GEF(US\$) approved	GEF (US\$) actual	Deviation GEF from approved, %	Co- finance. approved, US\$	Co- finance. actual, US\$	Deviation, co-finance from approved, %
1. Local consultants						
2. International consultants						
3. Training						
4. Travel						

Explanation for deviations over 20%:*(Give details)***SECTION 3 LESSONS LEARNT**

i)
ii)
iii)

SECTION 4 LIST OF ARTICLES AND MEDIA REPORTS WHICH MENTIONED THE PROJECT

Name of newspaper, or media channel	Name of article or programme	Essence of the article/message regarding the project	Date and time when it was published or broadcast

Conferences at which the project was presented	Name and title of the presenter	Date of presentation

SECTION 5 OVERALL ASSESSMENT

(Give details)

SECTION 6 FINANCIAL AUDITOR'S STATEMENT

(Attach statement)

Name of auditor or company, e-mail and telephone	Date of project audit	Conclusion about financial accuracy and correctness of use of project funds

GUIDANCE NOTE TO FILLING THE COUNTRY COMPLETION REPORT

Please refer to the following guidelines when preparing the completion report on your country project under the UNDP/GEF - Supporting Country Action on the CBD Programme of Work

1. PROJECT TITLE AND COUNTRY. Please give the name of the project, as it was approved, and the country.

2. AGENCY AND/OR MINISTRY RESPONSIBLE FOR PROTECTED AREAS. Indicate the name of the national agency responsible for protected areas, and/or the ministry to which it belongs, which will be leading the project implementation.

3. PROJECT CONTACT PERSON. Please indicate separately, the contact data for the person who will lead the substantial/technical implementation of the project, and the person who will be responsible for budgetary and financial management. This can be the same person.

4. DATE WHEN MOA FOR THIS PROJECT WAS SIGNED BY UNOPS. This date should be on the stated as in the signed MoA that the country has signed with UNOPS for implementation of this project

5. ORIGINAL PROJECT CLOSING DATE. As originally stated on the funding request cover page.

6. ACTUAL CLOSING DATE. This is the date of the submission of the final report by the country.

7. CBD PoWPA ACTIVITIES WHICH WERE SUPPORTED. Please indicate, which PoWPA activities were supported by this project. If in the course of the project other eligible PoWPA activities were supported, other than those for which the project was originally approved, please include them here.

8. WAS THE PROJECT REVISED? Indicate whether a project and/or budget revision was discussed and approved in the course of project implementation. Please note that all project and/or budget revisions must be cleared by e-mail or fax with the Global Project Coordinator.

SECTION 1 SUBSTANTIAL RESULTS

Fill out the tables, but do not add additional text.

Table 1. Report on activities.

In the first two columns please present outcomes and activities exactly as stated in the approved project. In the last column describe the status of the activities:

- Have these been successfully implemented?
- What specifically contributed to the success of their implementation?
- Were there any results generated over the initially envisaged activities?
- For partially successful or unsuccessful activities, please provide a justification for the lack of success.
- What is the country's strategy for dealing with unsuccessful and partially successful activities?

Table 2. Achievement of indicators

In the first column please present outcome indicators from the approved original country application. In the last column please state whether the corresponding indicators were achieved and whether in full, or partially. If some of the indicators were not achieved, or were only partially achieved, please present a justification.

Table 3. Contribution to strengthening the national PA system

In the table, please provide answers to each of the questions as instructed in the template.

Following the table please describe project contribution to removal/alleviation of threats/barriers, as instructed in the template. If this has already been reflected in the previous tables, please enter: “as described in the previous tables”.

SECTION 2 BUDGET REPORT

Please fill out the tables for each outcome, and for the project management component. Below the table please provide clarification for any deviations over 20% from originally approved budget lines.

SECTION 3 LESSONS LEARNT

Are there any lessons from this project that could benefit the design and implementation of other projects dedicated to protected areas, and especially for the PoWPA? Please list them in the table below and describe them in detail.

SECTION 4 LIST OF ARTICLES AND MEDIA REPORTS WHICH MENTIONED THE PROJECT

Please list all occasions when the project was presented in media (newspaper articles, magazines, TV or radio), or when it was presented at national or international conferences. If possible please attach newspaper clippings or photocopies, and attach them to this report. Please also attach maps, records, relevant scientific publications, further weblinks, or any other relevant materials about the project.

SECTION 5 OVERALL ASSESSMENT

Please give an overall assessment of the project. State what will be the following steps, beyond the project, that the country will undertake under PoWPA. Please also state any comments/suggestions that the project would like to share with the CBD or GEF regarding PoWPA and mechanisms to assist countries in implementation of PoWPA.

SECTION 6 FINANCIAL AUDITOR'S STATEMENT

Please attach a signed and stamped statement from a certified local or international auditor who performed the last year's financial check of the project. In addition please fill out the table.

ANNEX 6. EXAMPLES OF WHAT CAN BE DONE UNDER ELIGIBLE PoWPA ACTIVITIES

Activity 1.1.1

Establish time-bound and measurable (e.g. numerical) national / regional protected area targets and indicators

The PoWPA stresses that protected areas should be “comprehensive, effectively managed, and ecologically representative”. The terms “comprehensive” and “ecologically representative,” which are important to understand at the planning stage, suggest that the protected area network will contain examples of all ecosystems and all species, in spatial scale and population size large enough to be viable and for natural ecology to continue functioning over time. The concept of ecological representation lies at the heart of efforts to develop protected areas from a scattering of *sites*, mainly aimed at protecting a few well known species (often called charismatic megafauna), to a *system*, that provides an “ark” for all biodiversity.

Three steps are important for protected area system target and indicator setting:

1. The political will of the country’s government to improve its protected area system;
2. Research to justify targets and indicators for the improvement of the national protected area system; and
3. Stakeholder consultations.

Gaining political support and will to improve the national protected area system

Implementation of Activity 1.1.1 depends on the political will of the government. The need for improvement of the current national protected areas system should be recognized at a high level. There are several examples of country leaders declaring protected areas as one of key national priorities. The best known is probably the case of Madagascar, when during the World Park Congress in Durban in 2003, President Marc Ravalomanana announced: “...our resolve to bring the protected areas from 1.7 million hectares to 6 million hectares over the next five years to come in relation to IUCN protected areas categories...through strengthening of the present national network and implementation of new mechanism for establishment of new conservation areas.”

However, political statements setting the future goals for protected areas have to be carefully justified and based on participatory consultations and science.

Research

Research is necessary to justify targets and indicators for the expanded national protected areas system. This research may well be part of the Initial Gap Analysis, which is prescribed by a different PoWPA Activity (1.1.5), and is also eligible for support from this project.

Stakeholder consultations

Once the political will has been solidified, and initial research has taken place to justify targets and indicators for expansion of the PA system, it is important that stakeholder consultations, as part of the target-setting exercise take place at the local level, and involve indigenous and local communities around existing and potential protected areas. (This can

also be part of PoWPA Activity 1.1.4, which is also supported by this project.) For each of the major new or expanded PAs, identified as priorities up through 2012, there has to be support and agreement between the government and local residents on proposed new objectives of expansion of the protected area system. The process of local stakeholder engagement needs to be tailored to individual conditions, but generally addresses issues related to whether people support the idea of a protected area, how it might be managed and how it might be governed. Assembling a broad representation of relevant stakeholders and agreeing on initial targets for protection is often a critical first stage. Some nations have taken bold steps in declaring very broad goals for protected areas, demonstrating their recognition of the importance of taking their national biological riches seriously. However the details of how to achieve and implement such commitments at the site level must be worked out, including thorough stakeholder consultations.

Activity 1.1.4

Conduct, with the full and effective participation of indigenous and local communities and relevant stakeholders, national-level reviews of existing and potential forms of conservation, and their suitability for achieving biodiversity conservation goals, including innovative types of governance for protected areas that need to be recognized and promoted through legal, policy, financial institutional and community mechanisms, such as protected areas run by government agencies at various levels, co-managed protected areas, private protected areas, indigenous and local community conserved areas.

Review of governance models

Under this Activity, countries need to undertake a review of different governance models and management objectives, considering both experiences in other countries and within the country. Although many protected areas will doubtless remain state-managed areas with limited access, other models to consider include private protected areas, community conserved areas and various forms of co-management. Management objectives to consider range from strict protection to significant but sustainable levels of resource extraction and use, some of which can retain traditional management systems within them. Choosing the most effective management and governance systems can involve a trade-off between the needs of biodiversity and human livelihoods. While strict protection can sometimes appear to be the “best” for biodiversity, balancing conservation needs with those of users, in particular local communities, often results in different models, and a less strictly protected, but well-managed, area is often more effectively conserved than a protected area that is in theory strictly controlled, but in practice open to widespread illegal use. Experience with different approaches is growing and countries have access to a range of case studies, guidelines and models.

NISP

Under this activity, support can be granted for models such as National Implementation Support Partnerships (NISP). A number of countries have already created such partnerships, composed of key national government agencies, NGOs and other stakeholders (e.g., indigenous peoples’

organizations). ” these multi-stakeholder NISP partnerships have typically included formal collaboration agreements that outline key actions, timetables and responsibilities as elements of a national implementation plan for the Programme of Work. An example is the case of Brazil, where over 30 organizations and government agencies have signed a formal agreement to collaborate to implement the Programme of Work. Here, six governmental working groups on priority themes have also been established, along with a national forum on protected areas. A national implementation plan can provide a framework for organizing action over the coming decade.

Sequence of the NISP initiation / national level review of existing and future PA system:

1. Government initiates a comprehensive implementation planning process;
2. A formal implementation support partnership is organized (perhaps also thematic committees);
3. A work plan for the NISP is approved;
4. NISP budget and funding needs are agreed;
5. Alternative strategies are developed for expanding the PA system and negotiating an optimal strategy with local residents;
6. A “master plan” for the system of protected areas (based on assessments, studies, etc.) is developed; and
7. Implementation of the key actions of the “master plan” begins.

Activity 1.1.5

Complete protected area system gap analyses at national and regional levels based on the requirements for representative systems of protected areas that adequately conserve terrestrial, marine and inland water biodiversity and ecosystems. National plans should also be developed to provide interim measures to protect highly threatened or highly valued areas wherever this is necessary

Gap Analysis⁵

The three types of commonly accepted PA gaps are:

- (1) **Exclusion of focal/internationally important species or ecosystems:** one or more of the internationally important species and/or ecosystems/biomes known to occur in the country are not included in any of the country’s current protected areas.
- (2) **Insufficient coverage of species or ecosystems:** while the internationally important species/ecosystem is represented in the protected area system, its occurrence is either of inadequate ecological condition, or the protected area(s) fail to address the migration/movements or specific conditions (e.g. security of wintering, stop-over grounds) necessary for the long-term survival of the species or ecosystem.
- (3) **Management gaps:** protected areas exist on paper and cover internationally important species and ecosystems in good number and scope, but management regimes (propriety of

⁵ Please note that only LDCs and SIDS are eligible for Initial Gap Analysis. Assistance is limited to US\$ 15,000. A separate application has to be filled out to request this assistance.

PA categories to ensure protection, absence or insufficient capacities of management units, poor law enforcement, exclusion of buffer zones, etc.) do not provide full security for particular species or ecosystems.

The sequence of action to undertake gap analysis:

Action 1. Identify focal biodiversity and set key targets: It is important for the country to (1) know the presence of internationally important, or so-called focal, species and ecosystems on its territory, and at the same time, match that with a set target of how much area it will dedicate to protected areas. At the simplest level, the World Conservation Union has suggested that countries set aside at least 10 % of their terrestrial area into protected areas and some nations or parts of nations have gone much further in their commitments, e.g., Mongolia (30 %). More sophisticated targets come from the development of regional or national biodiversity visions or directly from gap analyses. For example, a series of conservation targets have been set for the Forests of the Lower Mekong Ecoregion Complex, including 26 priority areas for conservation and priorities amongst mammals, birds, forests and fish.

Action 2. Evaluate and map the occurrence and status of critical biodiversity: Although this step can seem difficult in many countries where surveys of biodiversity are still very incomplete, all countries can proceed in an iterative way with available data and extrapolated biodiversity information that can be improved over time as additional data become available. Information is needed on both (1) what must be protected, and (2) what can be mapped. This stage therefore needs to draw on (1) existing information from all known sources, (2) new field surveys if time and funds allow. Mapping all species is impossible – most countries have only identified a small proportion of their plants and invertebrates. Gap analysis therefore often has to rely on data: (1) for well-known internationally important species (such as mammals, birds, amphibians and fish); (2) for a few key species from other groups that are representative of particular habitats; and (3) for ecosystems. Mapping in cases of data deficiency therefore maybe carried out in two steps: (1) using a particular/indicative unit of biodiversity to capture many other associated elements, and (2) doing a survey of other species and fine-scale special elements (a category that catches everything that species and habitats mapping may not catch such as nesting cliffs, caves, azonal habitats like wetlands, etc.). Predictive models based on habitat affinities for key indicator species may be useful in some cases although they have clear limitations in terms of accuracy.

Action 3. Analyze and map the occurrence and status of protected areas: Basic data on protected areas are usually available at national level although precise spatial information is frequently lacking as is information on protected areas in other governance systems (e.g. private protected areas or indigenous areas). Information about the status of protected areas is generally less available, including issues relating to management objectives, governance and management effectiveness, although studies and data on these are starting to emerge. However this information is important for inclusion in a gap analysis, even if it only exists in approximate form, as protected areas may exist on paper, but their governance, management, or management objectives may mean that no biodiversity conservation is afforded. Linking maps of protected areas with even basic knowledge about their management effectiveness is critical for this activity of the gap analysis.

Action 4. Compare maps of biodiversity with maps of existing protected areas to identify gaps: maps of occurrence and status/ecological needs of species and ecosystems can be overlaid on maps of occurrence and management status of existing protected areas and any gaps identified. These are ideally divided into (1) representation gaps, (2) ecological gaps, and (3) management gaps as discussed above. It is understood, nonetheless, that such a gap analysis can only approximate to total biodiversity.

Action 5. Prioritize gaps to be filled, and agree on the strategy for the next steps: It is understood that the government may not be able, in the next 5-10 years to fully “close the gap”. Therefore it is important to select priority gaps to be closed. Strictly speaking the gap analysis itself stops at the previous stage. But a gap analysis is carried out primarily as a tool to expand and strengthen the protected area system and the filling of urgent gaps is an explicit commitment cited in the PoWPA agreed to at the Seventh Conference of the Parties of the CBD. Therefore, once gaps are identified, analyzed, and prioritized, the government has to make a decision, which would – building on the gap analysis – propose developing new protected areas, enlarging existing protected areas and through other forms of land and water management including easements, development of ecological corridors, buffer zones and in some cases introduction of sustainable management approaches in land outside protected areas.

National planning for interim conservation measures to protect highly threatened/valued species and ecosystems⁶

Under this part of Activity 1.1.5 countries may request assistance for development and national approval of short-to-medium term conservation and business plans for species and/or biomes clearly recognized by IUCN or another international NGO or intergovernmental organization as “highly threatened” or “highly valued”. Such plans can be modeled after any of the well established templates (such as those used by IUCN, BirdLife International, Wetlands International), as well as nationally accepted templates. Assistance can be granted for national adaptation of international plan models, rapid research, stakeholder consultations, validation, fine-tuning, and national approvals of such plans. Targeted fund-raising with high success chances is also supported.

Activity 1.2.1

Evaluate national and sub-national experiences and lessons learned on specific efforts to integrate protected areas into broader land- and seascapes and sectoral plans and strategies such as poverty reduction strategies

Protected areas that remain as isolated units, marooned by radically altered habitat, almost always face serious viability problems over the long term. The Programme of Work emphasises the importance of protected areas existing in a mosaic of land and water that includes habitat which, if not in a fully natural form, at least provides suitable enough conditions to provide, for example, passage for species and maintenance of ecological processes. Specific activities in the Programme of Work refer to “linking habitats” between protected areas, such as through buffer zones around protected areas (where use is restricted to activities that do not undermine the integrity of the protected area), biological corridors, and “ecological stepping stones” (habitat that provides stopping off places for migrating species). This can further involve developing mechanisms for improving the integration of protected areas into the wider landscape, for example requiring regional planning processes and Environmental Impact Assessment procedures for large scale projects to address protected area issues.

Activity 1.2.1, which is eligible under this project, is limited only to a stock-taking and planning exercise. This is the first step to actual integration of protected areas into productive landscapes. The sequence of actions, which can be undertaken for Activity 1.2.1 may include (but will not be limited to):

⁶ This part of Activity 1.1.5 is not limited to LDCs and SIDS.

1. Overview/map of protected areas that the country undertakes to establish before 2010/2012. This can be one of the outcomes of the gap analysis under Activity 1.1.5.
2. Within the national protected area system, what are the elements of flora and fauna that require “buffering” or “corridors” that would “extend” the strict boundaries of the protected areas, or would need some linkages between protected areas to be established, so that economic use in them is limited? A special map with clarifying notes can be developed, and approved as part of a country’s master plan for protected area development or other legal instrument.
3. On the other hand – create is the map of industries/sectors (specifically consider: mining, fisheries, water management, tourism, forestry, agriculture, construction) and ask how this map overlays onto the map of “buffer-seeking”/migratory elements of biodiversity. The outcomes of this overlaying may be a matrix of areas/spots/industries on the outskirts or in-between several protected areas, for which “special requirements for limitations/restrictions/no use/no take” have to be developed.
4. What are the legal instruments to put such requirements into action? What has been the experience of the country’s use of such instruments so far? The most common instrument to materialize these requirements is the Environmental Impact Assessment. Is this instrument recognized and used in the country? Is Environmental Impact Assessment alone sufficient to insure that these elements are enforced? If not, what should be the plan to revise/improve the Environmental Impact Assessment? If it is not sufficient – what should be other country- or place-specific mechanisms that it would be possible to legally enforce the requirements to integrate the concerns for migratory and fragile biodiversity? A plan to put these mechanisms into action should be developed.
5. This plan then needs to be discussed publicly, and aligned with the country’s other priorities, primarily those dealing with poverty reduction.

An example of marine protected areas can be drawn here. Marine protected areas vary in management objectives in the same way as their terrestrial counterparts. The Convention on Biological Diversity puts forward a marine and coastal biodiversity management framework consisting of two types of marine and coastal protected areas:

- **Multiple use protected areas**, which may permit extractive uses but contain areas that are more strictly controlled for biodiversity protection. Such controls may also have other (e.g., economic or social) objectives. Examples include controls on fishing (e.g., restricting bottom trawling), on the removal of certain species (e.g., habitat forming species), rotational closures, and controls on pollution and sedimentation. Such areas can protect particular species or life cycle stages (such as spawning), help to maintain connectivity and buffer more strictly protected areas.
- **No-take zones** (representative marine and coastal protected areas where extractive uses are excluded), which permit no extraction and are managed to maintain their ecology or to allow natural restoration. Such strictly protected areas form the backbone of the marine biodiversity conservation measures and need to be selected for coverage and representation in the same way as land and freshwater sites. There is ample evidence that such no-take zones can have short and long-term benefits to human communities through, for example, helping to maintain and replenish fish stocks.

Further, there are a number of instruments developed by international NGOs for the implementation of ecosystem approach. Care should be taken though, that Activity 1.2.1 is limited to initial

stocktaking and planning, and not, as is commonly supposed, to cover concrete efforts to put the ecosystem approach into action on the ground.

Activity 2.1.2

Recognize and promote a broad set of protected area governance types related to their potential for achieving biodiversity conservation goals in accordance with the Convention, which may include areas conserved by indigenous and local communities and private nature reserves.

The promotion of these areas should be by legal and/or policy, financial and community mechanisms

IUCN recognizes that protected areas need a range of different management approaches and classifies these through a six-part category system. Intensity of natural resource use and human settlement varies, from Category I strictly protected reserves where human presence is carefully controlled, to Category V protected landscapes and seascapes where people continue to live and use natural resources in management systems that are broadly compatible with conservation. Identifying a suitable mix of management approaches within a protected area system is a critically important part of the planning process. IUCN also stresses that a full range of ownership and governance options may be appropriate in a protected area system, although national protected areas legislation sometimes does not provide for private or communal property to exist within protected areas. Today, in many countries local communities are rightly insisting on a role in determining management policies. A suggested first step in this process is to carry out a national review of the status, needs and mechanisms for involving stakeholders in protected areas policy. The extent to which this is necessary will depend on management approaches within existing protected areas. In particular, reviews can consider a range of innovative approaches to protected area management, including:

- **Government-managed protected areas:** state management at national or local level, occasionally delegated to an NGO.
- **Co-management or collaborative management:** a variety of options for involving local communities in management, ranging from active consultation, to consensus-seeking, negotiating and sharing responsibility to in some cases transferring management responsibility to communities.
- **Community-conserved areas:** natural or modified ecosystems containing significant biodiversity, ecological services and cultural values, voluntarily conserved by indigenous, mobile and local communities through customary laws or other effective means. Some of these may be official protected areas as recognized by the CBD and IUCN; others may be better regarded as compatible management systems suitable for buffer zones and corridors around protected areas or in other parts of the landscape or seascape.
- **Private protected areas:** protected areas managed by private individuals, companies or trusts. Some countries recognize such areas in law and impose the same restrictions on these as state protected areas (e.g. Brazil), or even have state agencies running protected areas on private land (e.g., Finland through regional environment centres). Others remain uncertain about how to ensure their long-term security or to represent them within the protected area system.

IUCN explicitly recognizes the validity of a range of different management approaches within a protected area network.

CLASSIFICATION OF PROTECTED AREAS BY IUCN CATEGORY AND GOVERNANCE TYPE											
GOVERNANCE TYPE	A. PROTECTED AREAS MANAGED BY THE GOVERNMENT			B. CO-MANAGED PROTECTED AREAS			C. PRIVATE PROTECTED AREAS			D. COMMUNITY CONSERVED AREAS	
IUCN CATEGORY (MANAGEMENT OBJECTIVE)	Federal or national ministry or agency in charge	Local/ municipal ministry or agency in charge	Government-delegated management (e.g. to an NGO)	Transboundary management	Collaborative management (various pluralist influences)	Joint management (pluralist management board)	Declared and run by individual landowner	... by non-profit organizations (e.g. NGOs, universities)	... by for profit organizations (e.g. corporate land-owners)	Declared and run by indigenous peoples	Declared and run by local communities
I. Strict nature reserve or wilderness area											
II. Ecosystem conservation and protection											
III. Natural monument											
IV. Conservation through active management											
V. Landscape/ seascape conservation & recreation											
VI. Sustainable use of natural resources											
Adapted from Borrini-Feyerabend, G, A Kothari and G Oviedo, <i>Indigenous and Local Communities and Protected Areas: towards Equity and Enhanced Conservation</i> , IUCN, WCPA and CEESP, 2004											

Reviews of governance types can draw on a range of existing materials and approaches that need to be applied to the particular situation within a country and reflect the various principles outlined within the PoWPA.

There are several emerging lessons in protected area governance (Graham et al., 2003; Pansky, 2005), including:

- No single governance structure will be sufficient for meeting the goals of the Convention on Biological Diversity – a plurality of governance structures will likely be needed.
- A diverse set of different governance types across the protected area systems can fill ecological gaps, address complex issues such as landscape connectivity, and encourage higher levels of societal engagement in protected area management.
- Traditional knowledge and practices are increasingly vulnerable to international management paradigms, and should be safeguarded through governance agreements.
- Cooperation across different governance types will be increasingly important to address large-scale conservation issues, but such models are scarce and can be fraught with political challenges.
- Although it is easy to identify broad principles of good governance, local application requires sensitivity and flexibility.

- Rapid global changes in technology (e.g., remote sensing), and in concepts of social participation in governmental processes, are driving rapid changes in governance toward devolution, greater accountability, and consensus decision-making models.
- Effective and equitable sharing of benefits is likely to be the most politically challenging aspect of protected area governance, especially where there are multiple stakeholder groups with complex tenure and use rights.
- Good governance alone is an insufficient precondition of effective management; adequate resources and a supportive policy environment are equally important.
- Good governance requires clear legal and operational frameworks, including a delineation of stakeholders' rights and responsibilities, and a recognition of community and indigenous tenure and use rights.

Activity 3.1.1

Identify legislative and institutional gaps and barriers that impede the effective establishment and management of protected areas, and by 2009, effectively address these gaps and barriers

The PoWPA encourages parties to conduct a hands-on analysis of what is missing in the legislation and government structures that prevents the expansion or improvement of the effectiveness of national protected areas. This assessment may be covered by the gap assessment exercise (Activity 1.1.5), but may well be an important stand-alone exercise. To implement this PoWPA Activity a country should do the assessment of legal and institutional barriers and on that basis adopt a plan to remove the identified barriers, as it is a requirement under the PoWPA that all Parties to the CBD should have in place the appropriate institutions and legal frameworks to support the establishment of comprehensive national, regional and sub-national protected area networks for terrestrial areas by 2010 and for marine protected areas by 2012. The plan needs to envisage adoption/revision of laws, by-laws, policies. Countries are also eligible to receive assistance for putting the plan into action, i.e. for the coverage of legal, participatory and consultative costs preceding and immediately following the adoption/revision of new legislation and by-laws, as well as for putting in place the necessary enforcement mechanisms.

Activity 3.1.2

Conduct national-level assessments of the contributions of protected areas, considering as appropriate environmental services, to the country's economy and culture, and to the achievement of the Millennium Development Goals at the national level; and integrate the use of economic valuation and natural resource accounting tools into national planning processes in order to identify the hidden and non-hidden economic benefits provided by protected areas and who appropriates these benefits

Although protected areas have many economic and cultural values, these are often poorly understood and under-valued by markets, politicians and the general public. This under-valuation of biodiversity can result in a view that establishing protected areas incurs huge opportunity costs, particularly for developing countries. The PoWPA therefore recommends that Parties conduct national-level assessments of the “hidden and non-hidden economic benefits” of protected areas to allow these values to be more fully recognized and respected in planning and resource use decisions, while recognizing that some values are not easily or appropriately quantified, for example spiritual values. Even where the market economic values of protected areas can be credibly quantified, it is important to place such market values in their particular local context. Moreover, aggregate economic values, by themselves, can disguise serious inequities in the current or proposed future distribution of protected area costs and benefits. It is therefore always important—as Activity 3.1.2 stresses—to assess “who appropriates these benefits.” That a protected area provides valuable watershed services to downstream users, for example, is unlikely to be relevant for upstream communities unless a mechanism is put in place that transfers resources from the downstream users to the upstream users, who are asked to forgo opportunities that alternate uses of the protected watershed would provide for them.

Numerous methods have been employed to quantify the benefits of protected areas. Generally, those that are most easy to apply tend to focus on marketable benefits and require the least amount of data collection, but are prone to under-valuation. More complex methods that include valuation of non-marketable values tend to require more investment in data collection, usually rely on a number of assumptions that may be more or less valid, and may fall prey to the objections discussed above concerning economic valuation of non-material benefits. A guide to the different types of methodological approaches available is given in the CBD document *Biodiversity Issues for Consideration in the Planning, Establishment and Management of Protected Area Sites and Networks* (<http://www.biodiv.org/doc/publications/cbd-ts-15.pdf>). Further, there is a collection of biodiversity valuation tools at <http://www.biodiv.org/incentives/tools.shtml> as well as at <http://www.biodiv.org/doc/publications/cbd-ts-28.pdf>

Many countries carried out country wide or regional ecosystem valuation exercises. For example the study of the contribution of the Bulgaria Rhodope mountains ecosystems to the country’s wealth (blended common international knowledge of valuation techniques with national statistical data. The study:

1. Used one of the commonly established ecosystem classifications (in that case the CORINE Landcover classification) to group all ecosystems into 32 classes (broadleaved forests, mixed forests, natural grasslands, transitional woodland shrubs, inland marshes, etc).
2. For each class, it described in detail four types of services – (1) provisioning, (2) regulation, (3) cultural services, and (4) supporting services.
3. A justified menu of tools (direct valuation, contingent valuation, choice modeling) was then used to monetize/valuate each ecosystem service in each class.
4. The exercise ended with the calculation of monetary contribution of the biodiversity of the Rhodope region, followed by double-checking and fine-tuning.

In another example, UNDP and the Samoan Government assessed the economic value of Samoa’s marine resources. The authorities asked WWF to assist with carrying out an economic valuation study to highlight how much the country’s biodiversity was worth in monetary terms – specifically within the forestry and marine sectors. This exercise was intended to raise awareness of the importance of wise management of the country’s scarce natural resources and to recommend different regulatory and/or economic mechanisms that could be introduced to maximize the returns from these values and ensure the sustainable use of resources.

The UNDP, the Samoan Government and the WWF funded a consultant from Universiti Putra Malaysia to estimate the economic value of Samoa's marine and terrestrial resources, which was carried out in collaboration with WWF staff. The results had to be generated in less than three months on a tight budget, and therefore not all of the values of the environment could be estimated. The study focused on the larger ones, such as rents for timber and fisheries, the recreation values of environmental resources, the flood protection function of mangroves and carbon sequestration. Techniques used included surveys to determine how much people were willing to pay to enter recreation areas and simple modeling techniques to calculate appropriate rents for use of the country's forests and fisheries. For some of the more complex values of nature, such as carbon sequestration properties of forests, estimates from other countries had to be used.

The study found that Samoa's agriculture and fisheries sectors contributed 8.2% and 7.8% of GDP respectively, while tourism earnings were estimated to contribute 18.8% of GDP. Once the study was completed, a workshop for different government departments of Samoa was held to discuss the results and to advance possible policy implications. The study and subsequent workshop were successful in raising the awareness within government departments and civil society of the critical economic importance of the country's scarce resources. The findings from the study were incorporated into the NBSAP, and actions have been identified over the short and long term to integrate them into national development planning. Key proposed interventions, most of which have been acted upon, included:

- The need to charge entrance fees to protected areas;
- Increasing fisheries charges to larger vessels to generate greater government revenues and decrease the incentives for over-exploitation of the fishery;
- The introduction of mechanisms to ensure that local landowners receive greater returns from forestry;
- The integration of economic valuation in key government decision-making processes; and
- The establishment of a National Trust Fund, funded in part by the new fees, and partly by international donors.

Following the study, the Samoan authorities hired a full-time environmental economist to carry out further valuations in additional areas. Interest in the valuation of natural resources within the Pacific Rim has increased, and has resulted in similar studies carried out in other Pacific Island nations.

This case study clearly showed the power of talking in terms of money. Once people saw the huge value of biodiversity in dollar terms they quickly understood its importance. By talking in economic language it was possible to engage ministries who traditionally did not work on environmental issues, for example the Finance Ministry. The involvement of external donors, in this case the UNDP, can be very important in ensuring the interest of the national government at an early stage. (For further information please contact Richard McNally, Head of Policy, WWF-Vietnam, richard@wwfvn.org.vn. The can be found at: www.wwf.org.uk/filelibrary/pdf/econ_samoa.pdf)

The valuation exercises in themselves are an important first step for decision makers to realize the real value of biodiversity found within protected areas. In addition to the valuation exercise, Activity 3.1.2 encourages countries to undertake efforts to integrate the outcomes of the valuation exercise into national planning and national accounting. The project encourages governments to engage partnerships between ministries of environment and ministries of economy/statistics to undertake this effort. In addition to the case study from Samoa, publications with examples from projects showcasing integration of the valuation outcomes into planning can be found at <http://www.biodiversityeconomics.org/library/basics/index.html>.

The UN guidance for integrated environmental and economic national accounting (SEEA, <http://unstats.un.org/unsd/envAccounting/seea2003.pdf>) provides guidance on how biodiversity components can be integrated into basic or satellite accounts. The SEEA allows the integration into the national accounting system of primarily the qualitative, i.e. non-monetary valuation of biodiversity components.

Activity 3.1.5

Identify and remove perverse incentives and inconsistencies in sectoral policies that increase pressure on protected areas, or take action to mitigate their perverse effects. Whenever feasible, redirect these to positive incentives for conservation

A perverse incentive is a policy or practice that encourages, either directly or indirectly, resource uses leading to the degradation of biological diversity. Hence, such policies or practices induce unsustainable behavior that reduces biodiversity, often as unanticipated side-effects as they were initially designed to attain other objectives. The CBD has recognized the need to remove policies or practices that create perverse incentives that lead to the degradation and loss of biological diversity, or to mitigate these perverse incentives, as a crucial element in national and global strategies to halt the degradation and loss of biodiversity. This theme is continued in the PoWPA. Addressing perverse incentives at governmental level requires interacting with non-environmental ministries (e.g., agriculture, finance), which may not regard the incentives as perverse at all. It may be worth therefore first targeting those policies that are already being reviewed and where quick changes are possible.

A three-stage process that (1) identifies perverse incentives; (2) designs and implements appropriate reforms, including redirecting some perverse incentives to protected areas financing; and then (3) monitors, enforces and evaluates these reforms would provide the basis for removing these problems. As a practical way to get started, finance ministry officials could assign task forces to document all existing perverse subsidies, identify those which hold the greatest promise for reform, and develop preliminary action plans to address these.

This three-stage process would best achieve its target if the government chooses to concentrate on major economic sectors, which are both – key to national income generation, and threats to biodiversity. These may be fisheries, agriculture, mining, sea transport, forestry.

Taking the example of fisheries, several fisheries subsidies can be identified that have an expansive effect on the fishing-fleet capacity. Such subsidies, through the expansive effect on the catch capacity, generate incentives to over exploit the resource. This pressure of the resource base results under both private property and unregulated open access.

Two mechanisms played a major role in the discussion on how to mitigate the perverse impacts of fisheries subsidies:

First, additional regulation could be introduced, that is, a fishery management system based on total allowable catch (TAC) could be implemented. This requires careful consideration of:

- Indicators and measurement techniques;
- Monitoring and enforcement mechanisms (these are especially serious in the case of fisheries given the number of fishing vessels in a typical fishery and the nature of the resource); and

- Adaptive behaviour of fishermen.

Second, subsidies could be granted to remove the adverse impacts of some subsidies on catch capacity and subsequent resource overuse (decommissioning schemes). Here:

- The role of the overall subsidy framework is crucial. Unless perverse subsidies are simultaneously removed, the effectiveness of decommissioning schemes will be impaired;
- Careful design of the decommissioning scheme, including the proper specification of eligibility conditions, is also important to avoid the generation of further adverse incentives; and
- The strategic behavior of rational fishermen seriously impedes the long-term effectiveness of decommissioning schemes. Their use should therefore be restricted to a transitional period of time.

In the case of agriculture, the most significant part of the relationship between agricultural subsidies and biodiversity passes indirectly through effects and patterns of production. Specifically, the promotion of domestic agricultural production, export subsidies and tariffs that shield the domestic market translates into the following effects, which in turn, will affect biological diversity:

- An intensification of agricultural production on given acreage, through changes in cropping or livestock regimes, pest management practices and mechanization;
- A change in land use patterns, that is, an expansion land used for agricultural purposes.

In those countries that heavily rely on such support policies, the subsequent further intensification of agricultural production is said to have negative effects on biological diversity especially if based on heavy mechanization, inappropriate reliance on monoculture and the excessive dependence on agro-chemicals as well as external energy and water inputs. Conversely, positive effects resulting from a removal of such policies include:

- A reduced level of eutrophication of water ecosystems through agricultural run-off from fertilizer use, with a positive impact on inland waters biodiversity;
- A positive impact on soil biodiversity through, *among other things*, reduced soil compression by heavy machinery;
- Reduced intoxication or killing of pollinators and other non-target wildlife species through pesticide use; and
- The use of more crop varieties as a means to reduce risk of pests.

The removal of such measures may also lead to a contraction of agricultural land in those countries. Such conversion of specific areas is often said to have positive biodiversity impacts especially when previous agricultural production on these areas was highly technological and specialized, and when effective environmental and conservation policies are in place to restore the initial, non-agricultural habitats (e.g., wetlands). A crucial precondition of a successful long-term restoration is that the conversion has to be irreversible, which may warrant the use of specific legal or economic tools within such conservation policies.

Activity 3.1.6

Identify and establish positive incentives that support the integrity and maintenance of protected areas and the involvement of indigenous and local communities and stakeholders in conservation

The CBD Decision VI/15 which underlines “the special importance of designing and implementing incentive measures in reaching the objectives of the Convention, especially in regard to the sustainable use of biological diversity...” is also reflected in the PoWPA. Once the threats to protected areas and the policies and practices giving rise to perverse incentives are identified, positive incentive measures can be chosen to change people’s economic behaviour in ways that benefit protected areas. Positive incentives may be *direct mechanisms* that reward specific changes in behaviour; *indirect mechanisms* that encourage conservation and sustainable use by establishing more general enabling conditions; or *disincentive mechanisms* that penalize activities that degrade protected areas and thus discourage such activities.

Incentives can take many forms. Among others, these can be:

- Endowment, debt-for-nature, biodiversity enterprise or simple pool funds;
- Biodiversity and carbon offsets;
- Fiscal instruments (environmental subsidies, taxes, levees, extraction fees); and
- Flexible land and resource use mechanism (transferable land use rights, transferable fish catch quotas)

Working through fiscal incentives to better the protected area system is one of the most difficult, yet the most tangible way to induce positive change. From the perspective of protected area managers (an important subset of the larger community of biodiversity conservationists as discussed above), fiscal instruments can not only generate revenue, but – which is no less important – change the behavior and awareness of local residents and government decision-makers. Revenue-generating instruments can be designed at various levels of the political system. Instruments can be designed for the protected area system or even for a specific protected area. They can be designed at local and provincial/state levels of government. They can also be designed at the national/federal level of government.

Depending on the fiscal policies and practices of the government, managers of protected area systems, or specific protected areas, may have some autonomy to design specific fiscal instruments for the protected area. Entrance fees to parks provide one obvious example. User fees for the sustainable use of biological resources – such as backpacking, fishing or hunting fees – are also common. Licensing fees for tourist operations and filming rights are also possible. Such fiscal instruments are based on the benefit principle and generate earmarked revenues for the protected area authorities.

Protected area managers may also be able to benefit from the design of fiscal instruments at the local or provincial/state level. For example, a portion of a local or provincial sales tax – generated in part from the spending of park visitors in the local economy – may be earmarked to the protected area. Landowners who benefit from being adjacent to or near a protected area may pay a portion of their property tax to the protected area. Innovative fiscal instruments, such as a state lottery, may earmark earnings to a protected area.

At the national/federal level, fiscal instruments that earmark revenue may also be possible, though these are likely to be for systems of protected areas rather than specific parks. Examples include setting aside a portion of a national sales tax or revenues from a national lottery. One innovative instrument is to earmark a portion of revenues earned from an entry visa into the country or an airport departure tax.

Tax incentives can also be designed to encourage workers and businesses to contribute part of their income to a protected area. Income tax deductions for biodiversity-related contributions can be included in the tax code

Of particular interest to many protected areas is the impact of economic activities in the buffer areas of a park on the integrity of the park and the conservation of biodiversity within the greater bio-region. Local, provincial and/or national fiscal instruments can be designed to encourage biodiversity-benefiting economic activities – such as organic farming and ecotourism – around protected areas. Tax breaks – on income taxes, property taxes, employment taxes, etc. – can be given to such biodiversity businesses.

Tourism companies who bring visitors to the park and maintain biodiversity-benefiting standards in the operations could also be given tax breaks. The same holds for other economic activities – such as farming, fishing, hunting, sustainable wild harvesting, and research – which take place within a protected area.

In addition to influencing economic activities in and around protected areas, fiscal activities can also be used to influence household behavior. For example, if there are sizable settlements within the bio-region in which the park is located, tax incentives may be used to encourage biodiversity-friendly practices in local homes and gardens, including removal of exotic species and the establishment of wildlife corridors within the settlements.

Creating new fiscal instruments or reforming existing ones is information intensive. Indeed, information on the costs and benefits of alternative tax systems and, further, the identification of potential impacts on biodiversity of various reforms, are needed. Hence, a solid information base will ensure a better use of fiscal instruments. Further, the effective use of fiscal instruments relies on a minimum administrative apparatus, to set, administer, collect and allocate revenues. Tax legislation has to assign clear responsibilities and confer tax collecting powers accordingly. Proper enforcement will require the existence of a legal structure. Implementation, monitoring and enforcement all require appropriate staff and funding.

It is obvious that political feasibility is an absolutely critical feature. It is no good designing an ideal instrument for biodiversity conservation which has not had the chance of securing the needed political support.

A practical example of what can be done is the introduction of taxes for watershed protection services in Costa Rica. In 1998 Inversiones La Manguera Sociedad Anonima (INMAN), a Costa Rican hydro-electric company, signed a contract with the Monteverde Conservation League (MCL) to pay for ecological services provided by the protected area managed by MCL.

The Bosque Eterno de los Nios (Children's Eternal Rain Forest) is a 22,000 ha private reserve managed by MCL. Approximately 3,000 ha of the protected forest is part of a watershed that is used by INMAN for generating electric power. Recognizing the benefits they receive from protection of this watershed, INMAN entered into an agreement with MCL to pay for the protection of the ecological services provided by Bosque Eterno de los Nios.

The contract recognizes services such as “stabilization of land, soil protection, humidity and nutrient retention, water protection, protection of species biodiversity” and more. INMAN pays MCL US\$ 10 per hectare (a negotiated price) x (a factor that accounts for the amount of energy generated and sold by the hydro-electric plant) x 3000 (for the hectares in the watershed). The money from this tax is used directly to pay for reserve protection programmes. Although this is an excellent example of a private organization recognizing and paying for environmental services, the process of developing a binding legal agreement took much effort on the part of both parties. (Source: Janzen, Daniel. *Gardenification of tropical conserved wildlands: multitasking, multicropping, and multiusers*. Proceedings of the National Academy of Sciences of the United States of America 96(11):5987- 5994 in IUCN, 2000, Financing Protected Areas. For more details see Phillips, A. 2000. *Financing Protected Areas: Guidelines for Protected Area Managers*. IUCN. Switzerland.)

Activity 3.2.1

Complete national protected-area capacity needs assessments, and establish capacity building programmes on the basis of these assessments including the creation of curricula, resources and programmes for the sustained delivery of protected areas management training

Many protected areas do not have the human, technical or administrative capacity to adequately support their core management activities. In many instances, protected area managers and their staff also need a new range of skills. These skills vary at each site but often relate to interaction with people, including both indigenous and local communities and also the increasing number of tourists who want to visit protected areas and experience wild nature. To do this, Parties can start by assessing capacity building needs and then establishing capacity building programmes.

The capacity assessment will be a cross-cutting exercise, since capacity encompasses everything from effective and relevant laws and policies to sound management organizations, to the skills of individuals and the empowerment of indigenous and local communities. Moreover, capacity needs will vary according to a country's level of development and protected area system. At a minimum, though, a national assessment should cover: (1) the legal and policy framework; (2) formal government protected area institutions and their coordination with other sectors; (3) protected area planning and management; (4) public participation and partnerships; (5) public awareness and support; and the needs of diverse stakeholder groups.

Capacity building programmes and training courses for decision-makers and protected area managers can be organized in a variety of ways. The preceding capacity and training needs assessment should guide the deployment of the actual training programme. For example, Barbara Pitkin in her book *Training Needs and Opportunities Among Protected Area Managers in Eastern, Central and Southern Africa*

(<http://www.worldwildlife.org/bsp/publications/africa/parcs/contents.html>) suggests that the preceding needs assessment will be valuable as long as it:

- Assesses skills needed for effective protected area management;
- Assesses present skill levels;
- Determines the types, amount, and frequency of training currently received;
- Assesses training needs;
- Identifies constraints to adequate and effective training;
- Identifies the institutions and programmes presently used for training;
- Identifies potential opportunities for relevant training; and
- Identifies pilot activities to test innovative training methods.

This useful guide further provides a step-by-step approach for deploying a PA capacity building / training programme. Thus, the initial assessment is followed by (1) identification of training priorities, and (2) assessment and selection of institutions which may host the training/capacity building programme.

Based on lessons learned from case studies in developing capacity action plans (Ervin et al., 2007), the following are some guiding principles in developing protected area capacity action plans:

- Build off the results of existing assessments of protected area management effectiveness;

- Focus on capacities needed to address key management weaknesses, abate critical threats and improve policy constraints as the basis for the action plan;
- Consider individual and institutional capacities, and, depending on the scope of the assessment and available resources, on societal capacities when developing actions;
- Engage the right actors at the right time; park guards and field level staff can provide one level of input, ministerial staff and policy-makers can provide another. Several meetings may be needed to include different levels of expertise;
- Include multiple actors from different sectors, including, for example, tourism, economic development, land use planning, forestry, fisheries and agriculture;
- Emphasize a self-assessment approach, empowering protected area staff and administrators to identify their own capacity needs and constraints;
- Ensure the support of senior-level management in conducting the capacity assessment and following up with results; and
- Ensure that the capacity action plan is integrated into national budgetary processes in order to increase the likelihood that the plan will be implemented.

Many universities in Europe and the US have permanent vocational training courses for Protected Area managers and staff (for example the Colorado's State University College of Natural Resources <http://conservation.warnercnr.colostate.edu/>). Their experience may be valuable for drafting a country's own training and/or capacity building programme. They may also become partners in developing and launching a training curriculum.

Activity 3.4.1

Conduct a national-level study of the effectiveness in using existing financial resources and of financial needs related to the national system of protected areas and identify options for meeting these needs through a mixture of national and international resources and taking into account the whole range of possible funding instruments, such as public funding, debt for nature swaps, elimination of perverse incentives and subsidies, private funding, taxes and fees for ecological services

PoWPA emphasized the need for both *national* and *international* sources of funding. A range of innovative national sources are starting to play an increasingly important role in meeting funding needs. Examples include fees on tourism and other resource uses, raising funds from new markets (such as carbon offsets, water, or other payments for ecosystem services), finding new donors (such as large corporations, private philanthropists, other government agencies or tax revenue-sharing), sharing costs and benefits with local stakeholders (e.g., private landholders and local communities), employing new financial tools (such as business planning), improving wider policy and market conditions (such as reforming environmentally-harmful subsidies and creating positive incentives), and devolving funding and management responsibilities (for example to NGOs, local communities, individuals or businesses).

To date, most financial analyses and plans have been conducted at the level of individual protected areas, and there is no widely accepted methodology for national-level financial analysis and planning. In general, however, Parties will need to answer three questions:

1. What is the current level of protected areas financing, what are its sources, what is it being spent on and how efficiently and effectively are funds being used?
2. Taking existing and planned protected areas into account, what are the unmet financial needs over the next decade or so?
3. What is the range of options for filling the funding gap and what is the potential of each option to generate revenue for the protected area system?

The answers, taken together, will form the basis of country-level “sustainable financing plans”, which will likely include necessary regulatory, legislative, policy, institutional and other measures. These financial plans will form part of the business plans developed for protected areas. Actions ideally focus on both revenue and expenditure and can consider innovative funding mechanisms including payment for environmental services. Specific steps could include:

- Analysis of current income and expenditures, overall financial needs, gaps and opportunity costs;
- Definition and quantification of protected area goods and services, potential sources of demand for such goods and services, and contributions to achievement of poverty reduction and MDGs;
- Screening and feasibility analysis of potential financial mechanisms; and
- Elaboration of a comprehensive plan for ensuring long-term financial support for the system of protected areas;

Implementation of the plan will require actions at the national level. Business plans covering the protected area system need to take into account the broader enabling environment, planning activities and implementation of finance mechanisms. Specific actions can include, for example:

Creation, capital expansion and strengthening of existing environmental funds, such as national protected area trust funds,

Adoption of new laws /policies that allow for creation of well-tested site-based finance mechanisms (e.g., tourism-based user fees) and for local income to be retained for funding of local protected area needs,

Laws, policies and other measures that put in place innovative types of finance mechanisms, such as resource extraction fees, water use payments, etc.;

Identification of perverse subsidies (particularly in sectors most directly related to protected areas) and redirection of such subsidies to protected areas financing; and

Development of external funding programmes, with short-term and sustainable financing elements.

The example of Namibia may be drawn upon (based on http://www.conservationfinance.org/About_CFA_pages/CF_related_projects.htm). Studies to determine the economic value of, and sustainable financing for, Namibia’s system of protected areas (parks) are being undertaken as part of the Namibian Ministry of Environment and Tourism’s “Strengthening the Protected Areas Network” (SPAN) project being supported by UNDP GEF. It was found that the protected areas underpin a large portion of the Namibia’s national tourism industry, which is one of the four biggest contributors to national income. Although tourism attributable to the presence of parks generates considerable tax revenue for government, and contributes significantly to poverty reduction, the parks themselves generate relatively little direct revenue from park use and accommodation fees.

These direct revenues amount to less than half of park operating costs. The park system is characterized by severe under-financing, particularly with regard to the capital budget.

A vision for the effective development of the parks system was formulated and cost-benefit analysis showed that investment in this development would yield very positive results. Current funding for parks would need enhanced financing and several potential ways in which increased and new funding could be secured were investigated. One strategy was to lobby for large increases in government and donor finance for park development and management demonstrating that increased investment in parks would generate very significant economic returns. In the past, parks have been seen by decision-makers as contributing little to income and employment.

A second, important strategy was to harness the significant capacity of the private sector and local communities to invest in and manage parks and adjacent linked areas. Essentially this would involve removing the policy and institutional barriers preventing such investments. Thirdly, a need to create savings on current expenditures was identified, by improvements in planning and allocation as well as restructuring, particularly in the case of state enterprise. The aim here was to improve the economic efficiency of government's expenditures and to make such expenditure more responsive to biodiversity conservation needs and long-term market demand. Fourthly, accessing finance for the parks through increasing direct revenues was voiced as an important element. Here, capturing more of tourists' willingness to pay for park use and conservation through innovative pricing and payment systems was found to be important. Pricing structures, differentiated according to tourist market segments, and payment systems that reward loyalty were further investigated.

Activity 4.1.2

Develop and implement an efficient, long-term monitoring system of the outcomes being achieved through protected area systems in relation to the goals and targets of this work programme

It is important that countries put in place mechanisms for accurate reporting on the progress in the implementation of PoWPA. Currently, there is no common model developed in this regard. Some of the established protected area monitoring schemes may be adapted to meet the needs of PoWPA reporting. Thus, the IUCN's WCPA has developed a management effectiveness evaluation framework which may be adapted to report progress on the PoWPA, and which provides a consistent basis for designing evaluation systems for protected areas and systems (<http://www.iucn.org/dbtw-wpd/html/bp14-evaluatingeffectiveness/cover.html>). The framework is based around a cycle of protected area management with six distinct stages, or elements:

- It begins with establishing the *context* of existing values and threats,
- Progresses through *planning*, and
- Allocation of resources (*inputs*), and
- As a result of management actions (*process*),
- Eventually produces goods and services (*outputs*)
- That result in impacts or *outcomes*.

These six stages have a central core, which is a cycle of evaluation, reflection, and learning. Evaluation that assesses each of these elements, and the links between the elements provides a

relatively comprehensive picture of management effectiveness. The framework can be tailored to specific contexts, habitat types and other locally variable circumstances.

Countries will also have to report on the PoWPA progress as part of their National Reports to CBD, and therefore the PoWPA reporting system may be adjusted along the lines/formats of the CBD national reports.

Activity 4.2.1

Develop and adopt appropriate methods, standards, criteria and indicators for evaluating the effectiveness of protected area management and governance, and set up a related database, taking into account the IUCN-WCPA framework for evaluating management effectiveness, and other relevant methodologies, which should be adapted to local conditions

Information on the status and trends of biodiversity within protected areas is the objective of “outcome” monitoring in the process of management effectiveness evaluation (Goal 4.2). The development of biodiversity conservation targets (under Activity 1.1.1) should help guide monitoring these “outcomes”, i.e. the ecological integrity or biodiversity health of a protected area or system. The CBD framework on global level indicators adopted in Decision VII/30 (<http://www.biodiv.org/decisions/default.aspx?m=COP-07&id=7767&lg=0>) will help to improve consistency across regions and protected areas, allowing the aggregation of information collected through protected area monitoring programmes, and comparisons at different levels and different times. Understanding the cause-and-effect linkages between management and outcomes is critical to identifying how management can be improved: i.e. in driving adaptive management strategies. Assessment is only worth carrying out if it is linked in turn to practical plans to address any problems or management weaknesses that are discovered through assessment.

A number of monitoring and assessment systems have been developed. These include assessments undertaken at a protected area system level such as WWF’s RAPPAM methodology (http://www.panda.org/about_wwf/what_we_do/forests/our_solutions/protection/tools/rappam/index.cfm); a review of Finland’s parks (<http://www.metsa.fi/mee/index.htm>); and State of the Parks assessment and reporting in New South Wales in Australia (<http://www.nationalparks.nsw.gov.au/>).

The World Commission on Protected Areas has developed a framework for developing management effectiveness assessment methodologies (Hockings et al., 2006). While any particular assessment methodology will have an array of indicators, the framework identifies the following elements for categorizing these indicators:

- Context – protected area significance, threats and policy environment
- Planning – protected area design and planning
- Inputs – the resources needed to carry out protected area management
- Processes – the way in which management is conducted
- Outputs – the implementation of management programmes, actions and services
- Outcomes – the extent to which objectives have been achieved

There are many different approaches to assessing protected area management effectiveness, but these generally fall into four categories (Ervin, 2007):

- An in-depth evidence-based approach uses the results of monitoring and stakeholder surveys to assess the degree to which management actions have achieved management objectives. Such assessments typically involve the creation of a detailed baseline of key desired outcomes, and the assessment is designed to measure changes in these outcomes over time (see for example Parks and Wildlife Service, 2004).
- A system-wide peer-based approach includes most or all of the protected areas within a given system (see for example Ervin, 2003b; Goodman, 2003). Participants assess a range of indicators related to key threats and critical management needs, typically in participatory workshops with peer review by protected area managers and others to reduce biases.
- A rapid scorecard-based approach uses a scorecard to elicit expert opinions about protected area management (see for example Stolton et al., 2003, Corrales, 2004), usually with a set of four or five pre-defined thresholds for each indicator. Such assessments can be very rapid, and require few resources to implement.
- A categorical assumption-based approach draws on available data and develops assumptions to determine potential management effectiveness (see for example Supples et al., 2006). Usually there is little interaction with field staff to corroborate results, but there is often some review of the assumptions by administrative staff. This approach, which applies to an entire category of protected areas, should not be treated as equivalent to a more comprehensive assessment.

The choice of assessment approach and methodology will depend on several factors, including the available time, financial and human resources, and the specific purpose of the assessment. In general, an in-depth, evidence-based approach is best suited for a comprehensive assessment of a few important protected areas and for setting thresholds for adaptive management, a site-level scorecard-based approach for tracking progress related to conservation investments, a system-level approach for developing system-wide strategies, policies and capacity needs, and a categorical approach for a cursory assessment of the major management gaps within a protected area system (Ervin, 2007). In many cases, planning teams may want to use a mix of approaches within a single protected area system, and adapt existing indicators and methodologies to suit local circumstances.

Site based assessments vary from use of a simple scorecards such as the World Bank/WWF Tracking Tool (<http://www.panda.org/downloads/forests/areprotectedareasworking.pdf>) (used to measure progress in 200 protected areas), the Nature Conservancy's Parks in Peril scorecard (<http://www.parksinperil.org/wherewework/>) through to more detailed site-based monitoring and assessment programmes (<http://www.enhancingheritage.net>). *The WCPA Framework for Assessing the Management of Protected Areas* can be found at (<http://www.iucn.org/dbtw-wpd/html/bp14-evaluatingeffectiveness/cover.html>).

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