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UNITED NATIONS DEVELOPMENT PROGRAMME
SECRETARIAT OF THE PACIFIC REGIONAL ENVIRONMENT PROGRAMME**

**THE INTERNATIONAL WATERS PROJECT
IMPLEMENTING THE STRATEGIC ACTION PROGRAMME (SAP) FOR THE
INTERNATIONAL WATERS OF THE PACIFIC SMALL ISLAND DEVELOPING
STATES**

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Working Paper 6b

Replication strategy, follow-up and new initiatives

**Replication Opportunities for the
Pacific Islands International Waters Program**

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Preface

This report is the sixth in a series of reports that document activities and findings of meetings of national coordinators (NCMs) under the International Waters Project (IWP). Unlike reports for other NCMs, this report does not contain Minutes of the meeting. This is because the fifth national coordinators' meeting (NCM5) was extraordinary. This previously unscheduled NCM was arranged specifically to deal with matters arising during the fourth NCM (NCM4). In particular, it addressed:

- the preparation of a replication strategy for the IWP; and
- the completion of monitoring plans for IWP projects.

No formalities were conducted during NCM5 and no Minutes were kept. Instead, two separate but related reports have been produced:

- This report describes findings of preliminary work to develop a framework for an IWP replication strategy.
- A separate report documents activities conducted specifically on project monitoring. It should be read in conjunction with the report of NCM4 when project monitoring activities commenced.

It is hoped that the documentation of these activities will provide a useful resource for IWP national coordinators as well as others interested in the development of monitoring plans and replication frameworks.

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List of Abbreviations

GEF	Global Environment Facility
ICM	Integrated Catchment Management
ICWM	Integrated Coastal Water Management
IWP	International Waters Program
MCES	Micronesian Chiefs Executive Summit
NCs	National Coordinators for the IWP
NRM	Natural Resource Management
OFM	Oceanic Fisheries Management
PCU	Project Coordinating Unit for the International Waters Program
PMP	Project Monitoring Plans
PPA	Participatory Problem Analysis
RMI	Republic of Marshall Islands
SA	Stakeholder analysis
SAP	Strategic Action Plan
SPBCP	South Pacific Biodiversity Conservation Program
SPREP	Pacific Regional Environment Programme
UNDP	United Nations Development Program

Glossary of Key Terms

Note: These definitions reflect the use of these terms in this replication strategy and care should be taken in applying them more widely.

Adaptive management: managing activities and projects flexibly to modify activities based on feedback from periodic monitoring (Borrini-Feyerabend et al., 2001).

Baseline study: a baseline study gathers information to describe the social, economic or ecological situation to be addressed by a programme or project. This serves as the reference point for measuring the performance of the programme or project over time (Russell and Harshbarger, 2003).

Community: a group of people residing in a sub-village, a village or several villages in an urban or rural setting that use resources in a common area. A community is generally heterogenous, including many sub-groups, often with diverse or opposing needs, capacities, and interests (Pollnac and Crawford, 2000; Whyte, 2002).

Evaluation: a time-bound exercise that attempts to assess systematically and objectively the relevance, performance, success (or failure) and lessons learnt from ongoing and completed programmes and projects. This is often conducted at mid-term and/or at the end of a Programme or Project.

Facilitation: working with or helping a group successfully achieve its aims and tasks while functioning as a group (Braakman and Edwards, 2002).

Indicators: the elements, variables or topics that are the focus of an assessment. Some examples of social indicators include: household income, membership in stakeholder organisations, and diet. Indicators can be monitored regularly to assess the impacts of a program on a community (Bunce and Pomeroy, 2003).

Logical Framework (Logframe): a project planning technique that allows individuals to systematically consider and map out the details of a project plan (Sutherland, 2000).

Monitoring: continuous studies to collect data based on identified indicators or parameters, usually at regular intervals throughout a project to measure changes and show that the project is (or is not) meeting its objectives (Bunce and Pomeroy, 2003).

Natural Resource Management: a broad term referring to initiatives (e.g. policies, programs, projects) to sustainably manage our use of resources such as land, water, sea, forests, and biodiversity.

Objectives Tree: An activity to help stakeholders work from a problem analysis to the development of solutions and possible project activities (Worah et al., 1999).

Participation: a process through which stakeholders influence and share control over development initiatives and the decisions and resources that affect them. It is a process that can improve the quality, effectiveness and sustainability of projects and strengthen ownership and commitment of government and stakeholders (World Bank, 1996).

Participatory Problem Analysis (PPA): An activity to help stakeholders analyse the 'root causes' of resource management problems as a basis for project planning (Worah et al., 1999).

Participatory Learning and Action (PLA) and Participatory Rural Appraisal (PRA): a suite of techniques for gathering and analysing information together with stakeholders, often using visual representation.

Project map: a visual representation of the goals, objectives, activities and outputs of a project based on the results of a *solutions tree* (see below) and a *participatory problem analysis* (see above).

Socio-economic Assessment [SA]: the systematic investigation of the social, cultural, economic and political conditions of people, groups, communities and organisations (Bunce et al., 2000). Focus is generally on those processes and factors related specifically to program activities, with an aim of: a) identifying key stakeholders and establishing an appropriate framework for their participation; b) ensuring that project objectives and incentives for change are appropriate and acceptable to beneficiaries, c) assess socio-economic impacts and risks, and d) minimise or mitigate adverse impacts (Social Development Department, 2002).

Social marketing: a communication approach that makes use of commercial marketing principles to deliver social messages and concepts to campaign for behavioural change. Social marketing recognises that behaviour is shaped by habits, interests, feelings, and beliefs (among other factors) and that to effect enduring change, campaigns must target those elements which most influence peoples behaviour (IWP, 2004, Social Marketing Resource Kit).

Solutions tree: a visual representation of potential solutions to the identified causes of resource management problems. A solutions tree is developed from the outputs of a participatory problem analysis.

Stakeholder analysis: identification of all groups and individuals who may have an interest or be directly or indirectly affected by resource management changes, and analysis of their practices, responsibilities, interests and relationships (Grimble and Wellard, 1996).

Stakeholders: all people, groups, communities and organisations who use and depend on a resource, whose activities affect the resource or who have an interest or 'stake' in these activities. Stakeholders may include local users, government agencies, civil society, universities and researchers (Grimble and Wellard, 1996).

1. Introduction

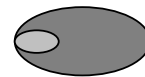
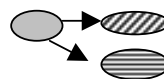
The designers of the Pacific International Waters Project (IWP) envisaged a series of pilot projects to demonstrate best practices and useful methods for integrated coastal and watershed management. These pilot projects would test approaches and strategies to address the root causes of four priority environmental concerns outlined in the Strategic Action Programme for the International Waters of the Pacific Small Island Developing States (SAP): improved waste management, better water quality, sustainable fisheries and effective marine protected areas. These approaches and strategies could then be used to initiate other projects aimed at improving environmental management and governance in the Pacific Islands region.

As the IWP is in its final two years, it is timely to consider how the lessons gained and approaches used in the IWP can assist future actions. This document takes the first step towards identifying the most promising principles, approaches and practices learnt from the IWP, and opportunities to replicate and extend these.

2. What is Replication?

According to the GEF, replication includes:

- Sharing knowledge about the lessons learned through documents, workshops and other methods in that country, regionally or globally;
- Applying the lessons and approaches from one site to another country, region or site;
- Scaling up pilot projects to broaden their scope or their geographical coverage; and
- Using project trained organisations and individuals elsewhere within the country or in the region.



The purpose of replication is **not to identify model projects**. It is to reflect on which specific approaches, activities, principles and practices from a range of projects show promise in addressing the root causes of environmental degradation, and to identify strategies to develop these further.

This document outlines a range of opportunities and ideas for replication arising from the IWP experience. The opportunities identified here have emerged from an analysis of issues flagged in project documentation and reports and discussions with National Coordinators and the Project Coordination Unit (see Section 4).

3. Overview of the IWP project

The International Waters Project (IWP) was designed as a 5-year initiative to implement the Strategic Action Programme for the International Waters of the Pacific Small Island Developing States (GEF/SAP). It involved 14 participating Island countries¹. Funded by the Global Environment Facility (GEF), the IWP was implemented by the United Nations

¹ Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.

Development Programme (UNDP) and executed by the Pacific Regional Environment Programme (SPREP).

The IWP had two components:

- an Oceanic Fisheries Management (OFM) component focused on the management and conservation of migratory fish stocks; and
- a coastal component concerned with integrated coastal watershed management (ICWM).

This replication document addresses the ICWM Component only.

The objective of the ICWM Component was to “address root causes of the degradation of international waters in coastal regions through a programme focused on improved integrated coastal and watershed management”. As originally designed, this was to be achieved through a five-year programme to address priority environmental concerns that were identified during the formulation of the GEF/SAP:

- marine and freshwater quality;
- habitat and community modification and degradation; and
- unsustainable use of living marine resources.

To address these concerns the ICWM Component of the project supported the establishment of demonstration or ‘pilot’ projects, one in each of the 14 countries participating in the Project in four focal areas of related priority concern in Pacific SIDS:

- sustainable coastal fisheries;
- marine protected areas to promote sustainable coastal fisheries;
- the protection of freshwater resources; and
- waste reduction.

The Project aimed to improve the management of coastal areas and resources through a **two-pronged approach** that targeted activities at the local level, as well as at a broader national level in each country. At the local level, the project piloted activities in selected host communities. The focus was to promote increased community involvement and responsibility for local resource management and conservation initiatives. Because the root cause for environment problems cannot be addressed through community level action alone, the Project also supported initiatives to address root causes on an island-wide or national scale. These activities have focused on policy, legislation, enforcement or institutional arrangements contributing to root causes in the IWP focal areas.

Each project supported activities to strengthen capacity and provide lessons for best practice and appropriate methodologies for sustainable resource management. Project design had an emphasis on developing, applying and maximizing benefits from lessons learned through stakeholder (regional, national and local) participation, aiming to build on the experience of past initiatives in the region.

With a 2-year extension to the program, the IWP project is being implemented over a 7 year timeframe.

Replication for the IWP: the structure of this report

This report outlines replication opportunities in relation to four key themes:

- Designing effective projects that support continuous learning and improvement (Section 5)

- Facilitating partnerships (Section 6)
- Building understanding and capacity (Section 7)
- Promoting sustainable actions (Section 8).

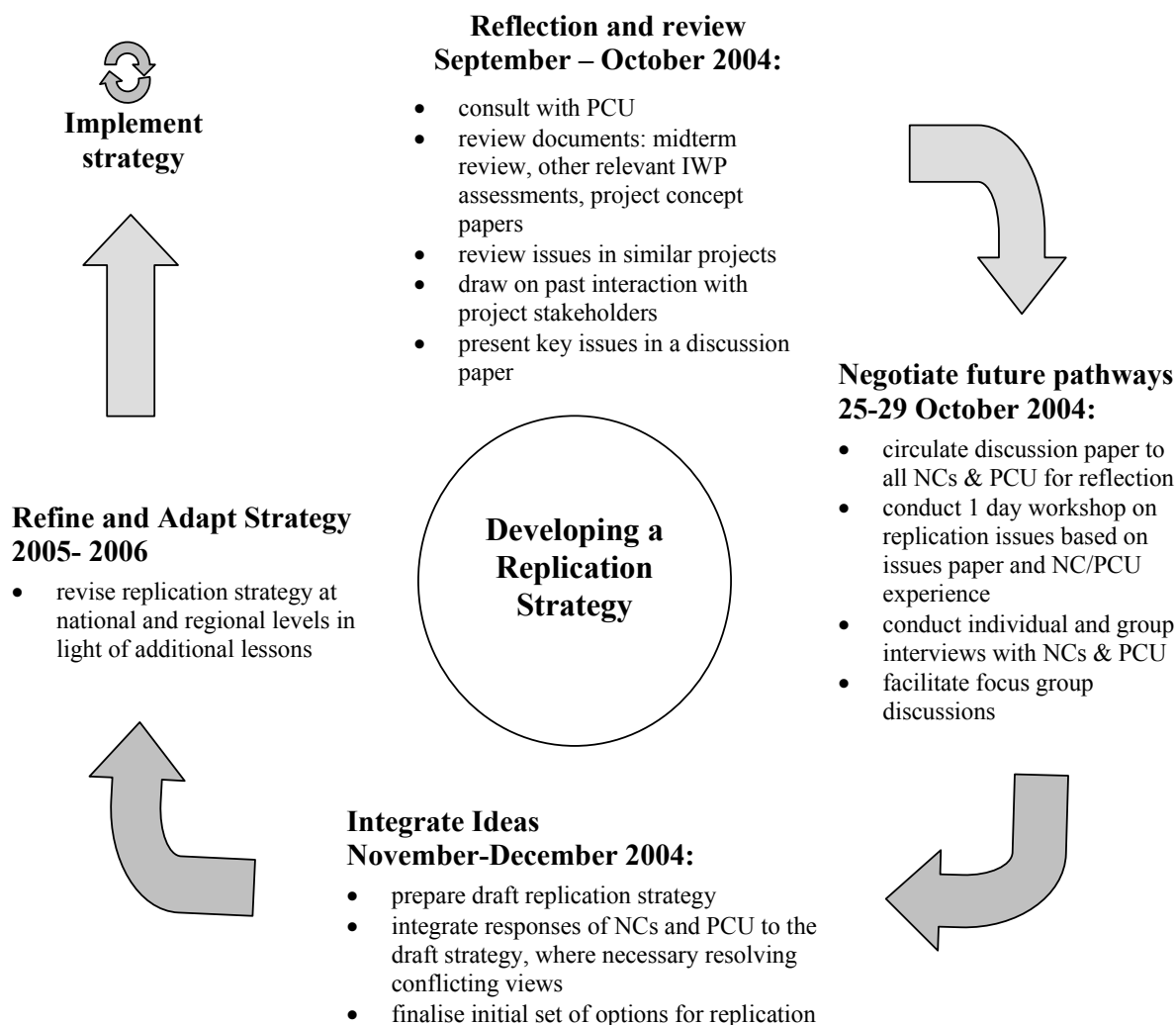
These themes have emerged from an analysis of the main issues in IWP design and implementation, and issues raised by participants in the NCM5 replication workshop (see Section 4 below). They also reflect the main processes outlined in the project documents of the IWP. In addition to these key themes, issues related to funding and resources for future initiatives are considered in Section 9. A consolidated summary of all of these replication opportunities is provided in Section 10.

A number of stories from the IWP have been included in the margins (in shaded boxes) to illustrate particular ideas and approaches.

4. Developing the replication strategy

In a participatory project, it is important for the replication strategy to draw on the reflections and lessons of project stakeholders as a basis for planning future actions and strategies. In essence, planning for replication can be seen as a collaborative learning (co-learning) process (Keen and Mahanty forthcoming). Co-learning incorporates the well known adaptive management cycle used in the IWP (see Figure 2 in Section 5), with a strong commitment to high levels of stakeholder participation, integration, and critical evaluation. This process as applied to the development of the replication strategy is shown in Figure 1, and discussed further below.

Figure 1 The process of developing a replication strategy



4.1 Reflection and review: learning from the past

As Figure 1 shows, development of the replication framework started with a review of key IWP documents, including:

- SAP and Project design documents.
- The IWP series on lessons learned and ‘best practices’ emerging from previous initiatives in freshwater, coastal, waste and community based resource management.
- Mid-term review document.
- Conference papers and lessons learned documents prepared by NCs and PCU

The review process aimed to build a clear understanding of the key issues faced in the IWP, and to identify activities and promising approaches that would be worth repeating, expanding, or supporting in the future. A discussion paper was then used to raise an understanding of the concept amongst project staff and open up discussion on possible issues that could be considered in the strategy. Since the concept of a replication strategy is new to many of those involved in the IWP program, the discussion paper:

1. clearly defined what a replication strategy is.
2. reviewed key components of the IWP program.
3. raised questions for discussion relevant to replication.

Box 1 briefly outlines main headings and samples of the type of questions raised.

Box 1: Main headings and sample questions from the replication discussion paper

<p>Introduction</p> <p>2.0 Overview of the IWP</p> <p>3.0 Replication of IWP</p> <p>3.0 <i>Learning from the past</i> In the future, how can documents on lessons learned and the knowledge contained in them be used most effectively?</p> <p>3.1 <i>Assessment methods</i> What capacity in social and economic assessment methods has been developed that can be applied in future initiatives?</p> <p>3.2 <i>Facilitating stakeholder participation</i> Have the NTFs helped you to engage a wide range of stakeholders?</p> <p>3.3 <i>Nesting local initiatives within a national and regional context</i> How have linkages between your community project and the national level been established? What factors contributed to effective linkages?</p> <p>3.4 <i>Communicating effectively</i> Which communication techniques have proved highly effective?</p> <p>3.5 <i>Defining focal areas</i> Should future initiatives have a range of focal areas or be more targeted than IWP?</p> <p>3.6 <i>Learning by doing</i> What factors have contributed to designing and implementing useful monitoring programs?</p> <p>3.7 <i>Project design and implementation</i> Were the core strategies and objectives of the projects clear from the outset? Why or why not?</p> <p>3.8 <i>Organisational arrangements</i> Has the PCU been effective in facilitating appropriate technical expertise to support project implementation?</p> <p>3.9 <i>Building capacity</i> Has the amount of training been too much, too little or about right?</p> <p>3.10 <i>Gaining and managing finances</i> What have been the benefits/weaknesses of current financial arrangements?</p>

4.2 Negotiating Future Pathways – National Coordinators’ Perspectives

A one day workshop at the fifth National Coordinators’ Meeting (NCM5) was used to increase understanding of the purpose of the IWP replication strategy, to gain input into the core issues and recommendations it should address. The workshop commenced with an overview of the draft paper circulated prior to the workshop. All the discussions from the day was recorded and analysed after the workshop.

To ensure that the development of the replication strategy integrated a range of experiences across the 14 diverse Pacific countries, we conducted a number of exercises with the NCs

during a workshop at NCM5 (see Box 2 for a summary of main activities used in the workshop).

Box 2: Summary of methods used to determine core replication issues in NCM5

Open Learning: Participants were encouraged to develop broad group discussion areas through a process of reflection on their own individual concerns/interests.

Assessment Matrix: A matrix reveals the relationship between two or more variables, and can gather a considerable amount of data in a short time period. Rankings and ratings are used to weight the importance of the relationship. This method was used to gather information on the value of various socio-economic assessment methods and skills that had been used in IWP. The matrix listed each method along one axis, and assessment criteria were listed along the other axis. NCs were asked to rate each tool against the given criteria.

Focus Group Discussions: Several activities involved small group discussions by NCs on topics of direct interest and relevance to their common concerns/experiences.

Collaborative Ranking Exercises: These methods allow a group to jointly discuss and rank the value of particular tools/approaches. The ultimate ranking that groups achieved and the discussion that occurred while participants were negotiating the appropriate order were noted. Because several similar groups (of NCs) conducted the same ranking exercise concurrently, patterns can emerge which are representative of the group's experience as a whole.

Open learning process. We commenced with an 'open learning' process where the participants could freely elect to raise and discuss any issue they felt to be relevant to the topic of replication. To structure this process each participant was asked to respond to the following question:

“If you were to offer TWO pieces of advice about project design and management to a NC just beginning a project in your country/region, what would you advise?”

The responses were grouped under broad headings as they were posted on a board at the front of the room. These broad headings were then discussed further with NCs to gain a better understanding of the issues raised.

Assessment matrix. The IWP provided training for NCs in a number of socio-economic assessment methods and skills that were used to design and implement pilot projects. Many of these techniques could be valuable to apply in the future, particular as some capacity now exists (see Section 7 for more on details). We asked each NC to complete a matrix that allowed them to assess different tools/techniques with respect to:

- Actual use: whether or not it actually was applied.
- Ease of use: how easy/hard it was to use.
- Value of training: where training was provided, how useful was it.
- In-country capacity: whether they felt there was sufficient capacity in their country now to use the method/skill.

After each individual had completed the matrix, a short discussion followed on the issues that this exercise raised for them. Some NCs took this opportunity to elaborate on any positive or negative aspects of specific tools/techniques. This enabled us to record short stories to illustrate NC's experience, and to record more detailed data.

Focus Groups. Following this exercise the NCs were divided into three small working groups to discuss a number of questions related to the 'two pronged' approach of the IWP program,

that is the focus on working at the local and national level. Each focus group concentrated on one of the following elements of this topic:

1. Engaging stakeholders at the local and national levels.
2. Sustaining partnerships at, and between, the local and national levels.
3. Integrating and coordinating policy and regulatory change at the local and national levels.

The key points of the discussion were presented to the whole group. The whole group then had an opportunity to add to, support or refute the points raised according to their experiences.

A second focus group activity was conducted to address topics relevant to project design and implementation. Again, each focus group concentrated on one aspect of this topic, with wider discussion of their findings:

1. Technical support.
2. Organizational arrangements and structures.
3. Finances: resourcing and financial management.

Collaborative ranking. The final session used a collaborative ranking exercise. The NCs were again divided into groups of three and given 10 playing cards. Nine of these cards specified key actions taken in the IWP program and one card was a ‘joker’ – each group could define any action they wanted for the ‘joker’. Each group had to organize the cards to show which action was most important for the future success of their project to that which was least important. Once this was done, three rounds were played where each group was able to place down on the table their highest card and explain their choice. Pooling the results of this exercise the ranking for each action was as follows (when a number of actions had the same ranking they are listed together):

1. Taking action based on experience
2. Establishing/maintaining strong government partnerships
3. Gaining community commitment/ownership
Building capacity
Increasing understanding/knowledge
4. Establishing/maintaining NGO partnerships
Securing international funding
5. Reviewing/changing laws/rules
6. Establishing national trust funds
7. Implementing fee/tax based systems

Following the ‘game’ an interesting discussion compared and contrasted the choices of the different groups. The workshop concluded with a discussion of other important issues for replication.

4.3 Future Pathways – PCU perspectives

The PCU chose not to participate in the replication workshop at NCM5 in order to allow the NCs to express their views freely. A focus group with the four PCU staff was conducted after NCM5 to gain their insights on issues related to regional coordination and the interface between national and regional project management, as well as other issues covered in the

NCM5 Replication Workshop and Discussion Paper. Over two hours, the discussion covered replication opportunities in relation to:

- Project management and structure.
- The working relationship between PCU and SPREP.
- The working relationship between PCU and regional bodies including UNDP.
- Capacity building at the national and regional level.
- Assessment methods.
- Documentation.
- Financial management.

4.4 Drafting the Replication Strategy: integrating ideas

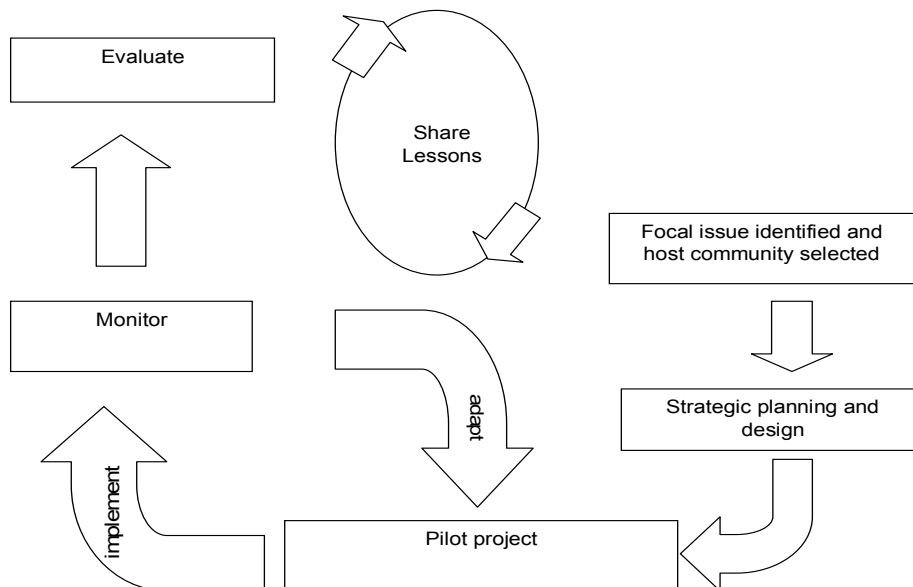
This initial replication document was drafted based on all of the above input. The draft document was circulated for comment to all PCU members, all NCs, and a number of other stakeholders with direct involvement with the IWP program. The comments received were used to revise the draft document. The document will be used as the basis for further work on replication by the PCU. The PCU will finalise the replication strategy over the remaining two years of the project. Implementation of the strategy (shown in Figure 1) is a new learning cycle in itself, rather than an end point.

5. Designing effective projects

The design of projects under the IWP was consistent with an adaptive management approach that involves planning, acting, monitoring/evaluating and adapting actions

(see Figure 2).

Figure 2: Adaptive Management Cycle in IWP



The **planning and design** stage at the regional and national levels drew on past experiences, limited baseline data, and an assessment of national priority environmental issues which at the local level was complemented with Participatory Problem Analysis (PPA, See Section 7.1 below). The **implementation** of pilot projects occurred at the national and local levels, involving community based resource management activities supported by national level activities. **Monitoring** plans were developed and implemented by the national coordinators, while the PCU monitored overall progress. **Evaluation** processes occurred at various points and levels through the program and were used to learn and adapt the projects to better meet their goals. This was supported by identifying core project objectives and milestones in project monitoring plans. For example, the independent Mid-Term Review recommended a

number of actions and program modifications, while nationally and locally, progress was continuously evaluated by the NTFs and community working groups.

Some of the core design features are outlined below and the implications for replication are highlighted.

5.1 Focal issues

At a regional level, the IWP required that countries target their activities to at least one of four focal areas: community based waste management, protecting freshwater quality, sustainable coastal fisheries and marine protected areas. These focal areas were directly related to pressing aspects of integrated catchment management (ICM) in the Pacific. This approach gave countries the flexibility to tailor their pilot projects to country and stakeholder priorities within the defined scope of the regional IWP.

Given the diversity of the countries and ICM issues covered by the IWP regionally, it was useful to have a number of different focal areas from which countries could choose. This allowed a closer fit between the country priority catchment problems and the projects (see Story 1), while maintaining enough commonality regionally to allow for information sharing. For example, in the Atolls ground water pollution and human waste disposal are urgent problems threatening human health and well being; in other areas of the Pacific a much more pressing problem is fish stock management to support community livelihoods.

In a small number of cases, countries chose to target more than one focal area, for instance in PNG waste and sustainable coastal fisheries were chosen because of their interdependence. This dual focus was only workable when a clear priority between the focal areas was established; when both were given equal priority the scope of the project was too broad and community expectations too high for a short 5 year project (see Story 2).

While having more several focal areas gave countries scope to tailor projects to their needs, it also posed some important challenges, including:

- The difficult but worthwhile process of prioritising focal areas among competing stakeholder interests.
- The complexity in defining the project scope, objectives and associated activities, particularly when countries choose to have more than one focal area.
- The difficulties involved in coordinating action across the many agencies responsible for the focal areas.

Story 1: Matching national priorities to focal areas

The Cook Islands IWP focused on the development of a management plan for the water catchment area in its host community Takuvaine, targeting rural chemical and animal waste management -issues of serious concern in densely settled valley catchments.

In contrast, the Vanuatu IWP focused on the sustainable management of coastal fisheries, specifically land crabs and their habitats. These are a staple food of importance during the present politically and economically unstable times. Both projects have successfully engaged their respective communities because of the high priority they give to these locally important resource management issues.

Story 2: Setting clear priorities between focal areas

The IWP project in PNG was designed and publicised to cover a lot of different catchment management problems including waste and sustainable fisheries. In initial consultations with the community and the NTF, people viewed this project as an opportunity to solve a lot of their problems all at once. As a result, project design became increasingly complicated for the time and resources available. In the end, we had to negotiate with stakeholders to set priorities and be realistic about what could be achieved with this project. Narua Lovai, National Coordinator PNG

The majority of the National Coordinators and regional staff found that on balance having a choice of several focal areas was valuable and worth pursuing in future projects subject to some critical considerations. This approach appeared to work well when the focus of specific country level projects was well defined and embedded within the local context at the outset, and addressed one priority focal area to begin with, broadening out to others at latter stages, if necessary (see Story 3).

Story 3: Setting project goals - comments from National Coordinators

You cannot address the problems of the entire country, so stay focused.

Start small, grow big.

Focus on priorities.

Make sure the community fully understands the objectives and limitations of the project.

Understand the objectives of the project before engaging any of the major stakeholders, especially at the community or national level.

Learn from the past ... past work can help prioritize the project focus

Fifth National Coordinators' meeting, Nadi, October 2005

Replication Opportunities

5.1.1 Have more than one focal area in regional projects to:

- a Increase flexibility and ownership, and tailor projects to national and community needs.
- b Enable better integration of resource management across sectors and levels.

5.1.2 Prioritise focal areas at a national and local level, and concentrate on one primary area first, moving onto the secondary one as time and resources permit.

5.1.3 To determine appropriate focal areas, draw on the findings of baseline assessments such as: IWP National Priority Environmental Assessment reports, the National Environmental Management Statements (NEMS), national reports prepared for the Millennium Assessment process, and State of Environment Reports.

5.2 Adaptive Management: A learning-by-doing approach

An adaptive management approach is flexible and allows us to learn as we do, which is crucial in initiatives that aim to bring about long term change and address the root causes of environmental degradation. A learning approach enables projects to work with changing relationships between stakeholders and their social and biophysical environments. It is also responsive to our changing understanding of environmental issues over time as new information becomes available.

Building Learning into Project Design and Implementation

In the IWP a learning approach to project design and implementation has been supported by:

- Gaining a good understanding of baseline conditions – often in the Pacific there is a lack of baseline data on social and environmental conditions. IWP invested considerable time and resources in socio-economic and resource baseline studies (see Section on baselines below).
- Drawing on diverse sources of information to understand the current situation using a range of participatory methods (see Section 6).
- Monitoring (see below) and evaluating progress to ensure feedback to improve project activities and plans. For example, independent reviews such as the IWP Mid Term Evaluation (MTE) proposed a range of modifications to existing arrangements.

A learning approach has been crucial to the IWP focus on **behaviour change**, where pilot projects trialled a range of different strategies to influence stakeholder behaviour towards greater sustainability, including: economic and social incentives, changes to rules, moral

suasion and increased understanding (see Sections 6, 7 and 8 for more on these). To work in the long term, this process can best be achieved by integrating projects into the environmental management activities of the host agency or country, thus extending the limited 7 year time frames of IWP pilot projects. Techniques to support behaviour change through adaptive management are discussed in more detail in the sections to follow.

Baseline Studies

Baseline studies provide an important basis for project planning, and provide a benchmark of social and ecological conditions against which change can be assessed over time. Detailed baseline studies were conducted by many projects and often went beyond the more limited scope of Project Monitoring Plans (PMPs – see below). Such studies have contributed to the overall stock of knowledge in countries. For example, the socio-economic baseline study of Jenrok in the Marshall Islands highlighted the poverty and vulnerability of target communities (Chutaro 2004). While some of these broad concerns were beyond the scope of IWP, they have subsequently been picked up by other initiatives in the country. Baseline information gathered in the IWP not only provides a direct resource for future initiatives, but also provides guidance on how to analyse the socio-economic and ecological contexts as a basis for project planning.

Project Monitoring Plans

In the IWP, project monitoring plans (PMPs) were developed at the national and regional levels. Monitoring plans were useful to assess the effectiveness of project activities. In addition, the process of developing the monitoring plans also helped to clarify project goals and objectives. The project monitoring plans are consistent with each other because the same template was used across all projects. Indicators were project specific, however there was some sharing of indicators between plans because the monitoring plans were finalised in a workshop that facilitated information sharing and collaborative learning among the NCs. Such workshops where NCs worked together to address common problems helped to achieve consistency and integration between regional and national level monitoring plans. Similar interactive workshops could be encouraged in future projects. An overview of the monitoring workshop process and templates is available for use and adaptation by other projects (Mahanty 2004).

Replication opportunities

- 5.2.1 Maintain the IWP's focus on learning and adaptive management in continuing activities and future projects.
- 5.2.2 Use and extend baseline studies conducted in the IWP program, and in particular use some of the exemplary baseline studies such as JENROC as models.
- 5.2.3 Use project monitoring systems, based on sound baseline information, to improve performance in future projects, including adaptations of the templates, indicators, techniques, and training designed for the IWP.
- 5.2.4 Implement integrated monitoring and evaluation strategies at the local, national and regional levels, to evaluate progress and final performance.

6. Sustaining regional, national and local partnerships

Natural resource management (NRM) initiatives in the Pacific Islands have shown greater promise for success and sustainability when they have engaged and work closely with people and groups at different levels that have a strong stake in the resources because:

- National and international stakeholders, such as government agencies and NGOs, can enable vital resources, technical assistance and governance support for sustainable resource management.
- Local stakeholders often depend on natural resources for their livelihoods, typically own land under customary systems of tenure, and participate in traditional management systems for natural resources.

Regional, national and local partnerships are thus essential to sustain project activities over the long term. Important issues for regional and national participation are expanded in Sections 6.1 and 6.2. Section 6.3 focuses on the engagement of local stakeholders.

6.1 Regional level issues

The IWP has a complex management structure that is highly dependent on the Project Coordination Unit (PCU) to facilitate project and financial reporting to regional bodies and to provide technical support to the NCs (see Figure 2). Other regional bodies and forums may be able to pick up some of the coordinating roles of the present PCU as their capacity develops (see Story 4).

For a complex regional program such as the IWP, a project coordinating unit, in some form or another, will be needed to:

1. Clarify core objectives, goals and milestones for the program.
2. Gain agreement on the roles and responsibilities of the participating countries, donors, including the division of responsibilities between PCU, NTFs (or lead agencies), and NCs.
3. Oversee project implementation and reporting.
4. Facilitate communications between projects.
5. Liaise between the funding agency, the implementing agency and the national level participants.
6. Coordinate any training needed across all projects.
7. Synthesise project lessons.

In the first year of the IWP, defining the program goals, objectives and management structures took a considerable amount of the PCU's time, given the weak direction provided by the original project document (see Story 5).

Story 4: Regional cooperation in Micronesia

A regional Micronesian Waste Managers Alliance Working Group is being formed to facilitate the seeking and management of funds to the region for technical assistance in waste management. In the future, it may be possible for other environmental working groups of the Micronesian Chief Executive Summit (MCES) to oversee or support environmental projects.

Joe Aitaro, Palau National Coordinator

In future, concise project documentation that makes the main elements of the project clear, while still allowing a degree of flexibility, would reduce the time needed before project activities can be commenced.

After reviewing past experience, the designers of the IWP determined that the PCU should co-ordinate project implementation *and* provide technical advice, rather than being merely an administrative body. The project document specified that the PCU should include a:

- Project manager
- Community assessment and participation specialist
- Resource economist

Later a Communications specialist was added to the PCU team. Two areas of speciality that were absent from PCU were ecological/biological specialization and institutional/legal specialisation – these were contracted in as required. Ultimately every project must make decisions on appropriate technical expertise given their goals and objectives, and available resources. In some cases expertise can be contracted in, or existing high levels of expertise in the region can be used (as was the case in the IWP for ecological/biological technical advice).

National Coordinators have commented positively on the benefits of high level technical expertise within the PCU, and positive feedback about NC training in participatory problem analysis (PPA), economic analysis, and communication planning (see Section 7 below). The National Coordinators suggested that the technical skills of the PCU in resource economics, social assessments and communications could be more fully integrated into SPREP to benefit a wider range of projects in the future, for instance through the creation of longer term technical positions within SPREP.

The PCU also provided project guidance and administrative support. There are differing views on the right level of project guidance to be provided by a unit such as the PCU. While the authors of the mid term evaluation and some NCs believe that NCs and NTFs should have been given a high degree of control over national projects at the outset, this must be balanced by other considerations such as efficiencies in meeting regional reporting obligations, regional variations in institutional capacity, and differing levels of technical skill. The level of guidance in IWP evolved over the project cycle, reflecting the different phases and circumstances of national projects and the competencies of the NCs (see Story 6 and Section 7.2 on defining and developing ‘core competencies’). It is also important for project documents for future initiatives to clearly define the role of technical and administrative bodies such as the PCU.

Story 5: Making logical frameworks defined yet flexible

'The [IWP] Logical Framework was poorly developed, there were inconsistencies in the design, and the intended implementation strategy was not specified.'

'For a 'programme-style' IW Project, only the broad framework, main strategies and essential principles need to be specified in the design, without prescriptive detail.' (Hunnam and Schuster 2003)

Replication Opportunities

- 6.1.1 For regional projects, establish a small and technically skilled unit such as the PCU to coordinate and support regional level programs. Ensure that the PCU role and the roles of national coordinators and project coordinating bodies such as NTFs are clearly defined and agreed early.
- 6.1.2 Employ PCU staff with technical expertise, as well as administrative expertise, to facilitate training and on-going technical support to the projects.
- 6.1.3 Enhance the regional benefits of future programs like IWP by ensuring the PCU is closely integrated with SPREP through:
 - a. securing the close working relationship between the project and SPREP management
 - b. integrating planned project actions into the SPREP work plan; and
 - c. using the technical expertise of PCU like bodies to benefit other work areas within SPREP, to the extent possible.
- 6.1.4 Support longer term technical positions within SPREP with technical skills in community participation and social assessment, resource economics and communications.

Story 6: Different views from NCs on PCU support

'PCU should coordinate activities only and delegate all project management powers to countries. At the beginning there is a need for more delegation to the countries'

'I think our project has been strongly country driven from the start, and the PCU has played a supportive, not controlling, role'

Fifth National Coordinators' Meeting, Nadi, October 2004

6.2 National level issues

Deficiencies in governance were identified as a root cause of environmental degradation at the inception of the IWP. Recognising this, and that community level action is seldom sufficient in itself to address the wider causes of environmental degradation, IWP placed a strong emphasis on ensuring that national and local actions in the focal area were complementary.

Some of the challenges in addressing national level issues alongside local ones include:

- Negotiating the appropriate sequence of actions given the country context and the issue of concern, for example:
 - bottom-up
 - top-down
 - concurrent action.
- Engaging stakeholders at different levels, defining the roles and responsibilities of key agencies and organisations, and coordinating actions between key groups to make effective and efficient use of resources.
- Creating clearly articulated links between pilot projects and national and international initiatives to harmonise some of the objectives and enhancing the opportunities for collaboration and resource sharing (see Story 7).

Improved governance often requires changes in the policies and regulations that guide environmental management. Institutional and legislative reviews were commissioned by many projects to gain a clearer understanding of the existing situation, and potential amendments, conflicts and gaps to be addressed in the future. However changing policies, legislation and regulations is a long term and resource intensive process in its own right. In many countries, IWP has achieved the initial yet important task of identifying future needs and directions for policy and regulatory change, which will need to be addressed in later initiatives (see Section 8.2).

A key governance issue is coordination between relevant bodies and agencies towards shared goals. Each country participating in IWP had a multi-sectoral **National Task Force (NTF)** or equivalent national steering committee oversee the national implementation of the IWP and strategic management of related resources. NTFs were intended to be a central mechanism for information exchange, coordination between stakeholders, and facilitating local-national linkages. Where there were existing bodies with related responsibilities, such as the National Environment Committee in Tonga, or the National Environment Protection Committee in Palau (see Story 8), the NTF functioned under the auspices of these. In other cases, such as Vanuatu and Niue, a new body was formed.

While important, using NTFs also raised many challenges. These included:

- Sustaining commitment, regular and appropriate government participation, and integration into government operations.
- Getting appropriate incentives for participation given that past projects have paid sitting fees, and that some members had high workloads and responsibilities elsewhere.
- Maintaining information exchanges and communication flows between project staff and NTF members on issues affecting the progress and long term viability of the project.
- Developing NTF members' understanding of project goals, objectives and activities.
- Having the flexibility to add or change membership as required.

Story 7: Integrating local and national actions - comments from NCs

Know how things work at both the community and national levels.

Keep NTF informed as much as the local community to get their support.

Select your steering committee [NTF] members very carefully and be aware of their personal agendas.

Find out what other NGOs or initiatives are in place and build on them; make sure you don't compete with them.

Be diplomatic in balancing your national government demands with demands from other stakeholders.

Fifth National Coordinators meeting, Nadi, October 2004

Story 8: Palau National Environment Protection Committee (NEPC)

The Palau 'NTF' is a sub-committee of the Palau National Environmental Protection Council [NEPC] which includes government, NGOs, Chamber of Commerce and other key groups. ... It helps to coordinate submissions and fund seeking, and increases understanding of issues across sectors.

In many island nations there is a proliferation of committees. Whenever possible the role of the NTF is best integrated with effective pre-existing committees as has been the case in Nauru and with the specialist subcommittees in Palau and Tonga. When using a pre-existing committee, a project working group or sub-committee specifically for the project or focal area may be needed. If a new body is needed for the NTF, it may be more sustainable if its role can evolve to serve several purposes beyond that of the project. The national level coordinating body, whatever its origins, needs to have broad stakeholder engagement, including members drawn from local communities, national agencies, NGOs, and the relevant private sector.

In addition to the NTF, there are other useful strategies that the NCs used to **engage with national actors**, these include:

- Inviting high level officials, including church ministers and politicians to participate in the development and implementation of the project through participating in problem analyses, working groups, and community meetings (see story 9)
- Having NCs participate on the management committees of complementary projects
- Locating of the NCs office within the lead agency
- Presenting project progress at official meetings of government, regional and non-governmental agencies
- Extending the NC's skills and training to other government and NGO officials undertaking similar tasks providing appropriate resources and finances are available to cover costs.

Story 9: Engaging National Leaders

The Cook Islands lead agency Minister, host community member of Parliament and district Church minister participated in the PPA [participatory problem analysis] workshops. Their early connection has helped to gain their support for the project.

Tauraki Raea, Cook Islands National Coordinator

These types of techniques can be encouraged in the future.

Finite projects aimed at achieving sustainable resource management need to ensure that they become an integral part of government operations or set in place structures and process that can be applied after the completion of the project. Therefore, at the national level there has to be a plan for replication, and the principles and new practices developed during the implementation of the projects need to be built into national work plans or other non-governmental activities. For long term sustainability, government engagement is important (see Story 10).

Replication Opportunities:

- 6.2.1 Use existing structures to strategically oversee the project. If this is not possible establish a project steering committee/NTF of stakeholders with strong links to government, community leaders and potential donors.
- 6.2.2 Create national networks to support the project through the active engagement of stakeholders, and through the reciprocal participation of the NC in complementary projects and government committees.
- 6.2.3 Integrate coastal watershed management activities into the work programs and organizational structures of the government, NGOs and/or community.

Story 10: A Community Based Coastal Fisheries Management Unit for Solomon Islands

The Solomon Island project set up a community based coastal fisheries management unit within the Fisheries Department. The unit has become part of the government structure, and the NC is on government committees relevant to the project's work.

Kenneth Bulehite, Solomon Islands National Coordinator

6.3 Local Participation

The importance of commitment from local stakeholders was highlighted in NCM5, where ‘community commitment’ was seen as one of the top five ingredients for project sustainability. The IWP has used a range of methods and strategies to facilitate stakeholder engagement at different levels:

- **Stakeholder analysis and participation plans.** Stakeholder analyses were useful at different points in the project. An initial analysis of stakeholders was used to broadly identify relevant national stakeholders to be involved in NTFs and to strategically manage the pilot projects in-country. Later, in a community context, SA was used with stakeholders to analyse the specific stakeholders associated with their resource management issues, the relationships between various stakeholders and their roles in potential solutions. In Yap, SA helped to identify appropriate potential participants for in-country training in project facilitation. The IWP experience shows the value of stakeholder analysis, and the usefulness of using stakeholder analysis repeatedly in a project and with the stakeholders themselves.
- **Participatory problem analyses** and other participatory assessment methods were effective in engaging stakeholders in analysing problems (see Story 17 on uses of PPA) and improving their awareness of the root causes of problems and the connections between issues. It is important to check the assumptions and information in PPAs from a range of sources because the analyses are very dependent on who participates (see Story 11). Alongside participatory analyses, detailed baseline studies play an important role in building a clear understanding of the nature and extent of the focal environmental issue as well as its environmental and social context.
- Project staff found that **Participatory project mapping and implementation** helped to foster a degree of ownership of project plans and activities among stakeholders. One challenge with participatory project planning is maintaining the focus and scope of the project. Many NCs felt pressure during participatory planning processes to address a wide range of community concerns in project activities. They subsequently found that they needed to go through the difficult process of scaling projects back to focus on a few well-defined objectives that could be achieved in the resources and time available (see Story 1 and Section 5.1).

Story 11: Checking assumptions

“There are absolutely lots of ‘assumptions’ on the possible causes of problems. At what stage of this project will we find out whether they are true or not?”

Comment from a participant in a PPA workshop, Niue 2003

- Stakeholder involvement in **monitoring and evaluation** in some cases helped to reinforce project goals and messages as well as to share the lessons learned during project implementation. It also allowed some projects to use the information to adapt activities for greater effectiveness and equity. [PCU: this will need more comment once project monitoring plans have actually been implemented]

Perhaps as important as these specific participatory processes and strategies is the cultivation of relationships based on trust and open communication that are a foundation for effective stakeholder collaboration. IWP national coordinators have commented on the importance of personal contact, friendships and informal networks between project facilitators and stakeholders in promoting stakeholder engagement and commitment. Representative bodies such as community working groups have also been useful in maintaining communication and community involvement in various activities (see Story 12).

Story 12: Community working groups

Many national coordinators found that community working groups that were made up of a cross section of the community (church groups, clan representatives, women's groups, youth groups) helped with liaison and communication between project staff and communities. They also helped to build community ownership of the project. These worked best when there was good information flow between representatives and the group they represented.

During the initial phases of stakeholder engagement the following issues emerged as important for any future replication:

1. *Incentives for participation*: costs of participation can be high for community members, some costs need to be covered such as travel and foregone income. In contrast, UNDP procedures require government officials in IWP to participate without payment as part of government obligations for project management. This UNDP stipulation of no sitting fees for government staff has been challenged at the IWP because other agencies and past projects have had different policies.
2. *Community understanding of, and commitment to, the project*: needs to be continually nurtured through PPA, working groups, local management committees, media coverage of their progress, site visits, and rewards for achievements (see Story 13).
3. *Information Ownership*: right from the outset information ownership has to be clear. Communities may be reluctant to collaborate unless they are assured that any data collected from them and the villages still belongs to them and will be used for their benefit. (Also see Section 8.1)
4. *Social capital*: often needs to be enhanced through expanding interactions and relationships with lead agencies and resourcing bodies. In Kiribati, the IWP project was an adaptation of the Foundation for the South Pacific (FSP) compost project. The sharing of information between the two projects was mutually beneficial. IWP in Fiji involved University of the South Pacific (USP) in baseline assessments.

Story 13: Many methods to reach the Community

Excellent ownership and involvement in the banana circle composting project was achieved through mobile displays, competitions between communities and households, and positive media coverage - plus the advantage that within a short time there is less smelly organic waste and very healthy banana trees!

Ritia Bakineti, Kiribati National Coordinator

5. *Equity*: not everyone is equal in a community. Getting full engagement may require innovative management (see Story 14). Likewise, in the Solomon Islands the women were grateful for the opportunity to be heard through informal consultations and advisory committees.
6. *Fragmentation*: many environmental issues are cross-cutting and managed by a number of different agencies. If there is not strong communication and participation between these agencies mixed messages can be given to the community about what behaviour is desirable (see Story 15).
7. *Regular Communications*: Community misunderstandings arise when community consultations do not occur on a regular basis or key groups are neglected.

Story 14: Improving Equity by mixing the old with the new

In the Vanuatu project, traditional community based governance arrangements were used for managing the project. Advisory groups were introduced to gain input from members of the community who do not normally participate in these forums, such as women and lower status people.

In Solomon Islands too, women were grateful for the opportunity to be heard.

The stories and experiences of the NCs have provided us with possible replication opportunities outlined below that can extend IWP experiences to future initiatives.

Replication Opportunities

- 6.3.1 Use an integrated approach to participation across scales and sectors, drawing on the methods and principles refined in IWP, including:

a. Methods: stakeholder analysis, participation plans, participatory problem analyses, participatory project mapping and implementation, and participatory monitoring and evaluation

b. Principles: provide appropriate incentives for participation; build stakeholder understanding of, and commitment to, the project; clarify information ownership; enhance social capital; work equitably with stakeholders, avoid fragmentation between stakeholders; maintain regular and consistent communication with stakeholders (see Story 16). **PCU: These principles can be elaborated as the project proceeds.**

Story 15: Untangling mixed messages

Tuvalu has a critical problem with sanitation. One response the IWP Tuvalu stakeholders identified was self contained composting toilets [rather than septic tanks and pit latrines], but the Health Office was advising people that composting toilets were unsanitary. The NC worked hard to get a common message about the value of composting toilets.

- 6.3.2 Develop a consistent regional approach to incentives for participation by government officials, for example through a regional discussion paper.
- 6.3.3 Use templates and processes for communication planning developed by IWP to promote a range of creative community engagement strategies and techniques throughout the project to develop and maintain community ownership.
- 6.3.4 Build on and use resource kits developed in the IWP for communication planning and participatory socio-economic assessment.
- 6.3.5 Disseminate short case studies on valuable approaches used to engage stakeholders through the SPREP website and other media.
- 6.3.6 Maintain a regional register of valuable agencies, NGOs, training institutions and consultants developed during the IWP project and their areas of specialisation as a starting point for future projects of this nature. (This information could be kept by SPREP and available on request.)
- 6.3.7 Maintain the IWP database of environmental projects as a basis for learning of similar projects in the region.

Story 16: Suggestions for engaging stakeholders

Consult with communities, do not assume.

Understand your project stakeholders' needs - these can be opportunities.

Do not raise expectations.

Keep everyone updated regularly on progress.

Talk to as many people as you can; get as much information as you can.

Question who should be involved - who are the stakeholders

Fifth National Coordinators' Meeting, Nadi, October 2004.

7. Building capacity and understanding

Deficiencies in 'understanding' were seen as one of the root causes of environmental degradation in the Pacific at the inception of the IWP. There was a strong emphasis in IWP on building a better understanding of the threats and responses concerning priority environmental concerns, and on extending this understanding through capacity building.

7.1 Understanding root causes

Analysing the social, economic and ecological conditions related to a focal area potentially improves the chances of addressing the root causes. For this reason, IWP used a range of methods to assist with understanding the social, economic and ecological dimensions of priority focal area concerns and as a basis for project planning (see Box 3). Capacity building in the use of assessment techniques is discussed further in 7.2 below. A more detailed description of these methods has been outlined in IWP project resources (Mahanty and Stacey 2004; Lal and Holland 2004).

Box 3 Assessment and planning methods used in IWP

Literature reviews were commissioned to ensure that existing information was used in the design and implementation of the projects (for a full list of reviews see Annex 1).

Stakeholder analysis was used early and repeatedly at different stages in projects to identify and engage key stakeholders.

Participatory Problem Analyses and Solutions Trees were used to analyse root causes and potential actions to address them.

Participatory appraisal methods such as timelines, seasonal calendars and transects were particularly used in sustainable coastal fisheries projects.

Household surveys and surveys of key user groups such as fishers were used in socio-economic baseline

assessments and monitoring.

Specialised methods such as **marine ecological baseline studies** for sustainable coastal fisheries projects, and **waste characterisation** studies for waste projects were used in baseline assessments.

Semi-structured interviews with key informants were used to clarify issues of concern and common resource use patterns and at various points in the project cycle.

Economic and institutional assessment tools included **institutional and legislative reviews and economic valuations** of resources were used as a basis for planning and implementing project activities.

The **financial feasibility and social/economic/ecological feasibility** of proposed project actions was assessed.

Communications strategies analysed target audiences, key messages to be conveyed and potential methods.

Community action plans were used to document project plans in collaboration with stakeholders.

A key question for future initiatives is: which of these methods were useful in project planning and implementation, and could be used in future initiatives? A survey of National Coordinators found four important things:

1. **Useful methods:** The methods most commonly identified by NCs as being useful were facilitated groups, stakeholder analysis, PPAs/solutions trees (see Story 17), communication strategies, institutional reviews, and literature reviews. These approaches are worth considering in future initiatives (see Figure 3).
2. **Less useful methods:** Some commonly used methods were found less useful by NCs including: household surveys, legislative reviews, seasonal calendars, and feasibility studies. This does not mean that the methods should not be applied in the future, but more that the relevance and purpose of such methods needs to be assessed given the situation in which it will be applied (see Figure 3).
3. **Focal area specific methods:** Some methods were specific to a focal area and useful in that context only, such as waste characterisation studies, marine transects and fisher surveys.
4. **Capacity gaps:** Methods such as Stakeholder analysis, PPAs/Solutions trees, and group facilitation, were not only useful but were also easy to apply. In other cases such as feasibility studies, legislative and institutional reviews, communication strategies, literature reviews and household surveys, there was a gap between the level of use and existing capacity. Such gaps can lead to an avoidance of the technique, or an increased reliance on technical advice from external advisers and consultants. Such situations point to the need for capacity building or selective use of the methods concerned if capacity is likely to be lacking (see Figure 4).

Story 17: Comments from NCs on Participatory Problem Analysis:

PPAs have been helpful to focus development effort on real needs and create strong community ownership.

It was helpful to trial PPAs with focus groups to clarify the method and language before using it in communities.

PPAs need to be well facilitated, or they can be stressful for communities.

PPAs need to be well documented to be useful later on.

Doing PPA training with other organisations enables them to use it as well.

Combining PPA and solutions trees worked well, but there can be gaps in analysis depending on who is involved.

Fifth National Coordinators Meeting, Nadi, October 2005

Figure 3: Usefulness of assessment methods for National Coordinators

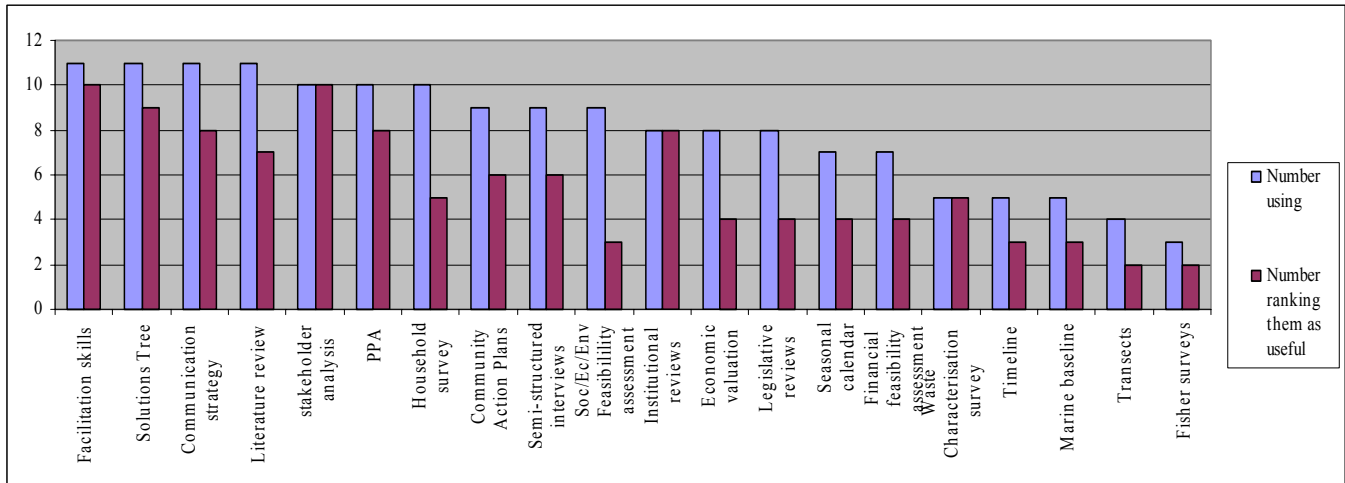
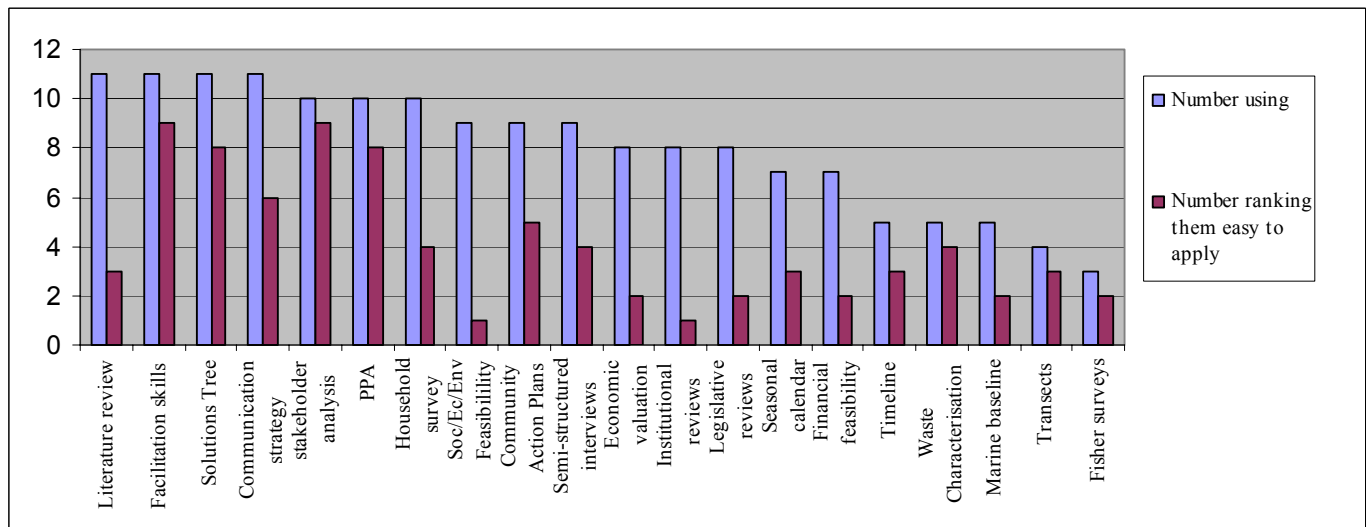


Figure 4: Ease of use of assessment methods for National Coordinators



Replication Opportunities

7.1.1 Apply the social and economic assessment skills and methods used in IWP in other projects (see Story 18). These include:

- a. For NRM projects generally: facilitation skills, stakeholder analysis, PPAs/Solutions trees, communication strategies, institutional reviews, and literature reviews.
- b. For waste related projects: waste audits.
- c. For coastal fisheries projects: transects and fisher surveys.

7.1.2 Use the existing skills of NCs and other project staff in future initiatives. Areas where a number of NCs are likely to be able to contribute include: facilitation skills, stakeholder analysis, PPAs/Solution trees, approaches to participatory project planning.

Story 18: Passing on the learning

The PPA training was so useful in the view of the Vanuatu NC that she organised for other community leaders to be trained. Now PPA is being used for other purposes such as the youth program.

The Cook Islands NC found that taking the NTF through the PPA exercise allowed members to understand and appreciate the process more, and gained more active support and participation from them.

7.2 Capacity building

Conceived broadly, capacity building includes individual training and development, but also goes beyond this to information sharing and supportive arrangements for addressing environmental problems, including helping national agencies to function effectively. The importance of capacity building was stressed in a workshop of National Coordinators where it was identified as one of the top five requirements for project sustainability. Much has been done in IWP to support capacity building. Rather than go through all of the approaches used, this section focuses on approaches and strategies that may be useful in the future.

Capacity building is a broad process to help people do the work that will address their focal area problem.

Leah Nimoho, Vanuatu National Coordinator

Important skills and knowledge to keep developing

According to a survey of National Coordinators at NCM5, some **key skills and techniques that need continued development** in their countries include: facilitation skills, stakeholder analysis, PPA/Solutions trees, feasibility studies, economic valuation methods, communication strategies and literature review techniques.

Facilitation skills were strongly emphasised in IWP training for the use of socio-economic and participatory assessment methods. The unanimously high value placed on facilitation skills by National Coordinators shows their importance in participatory resource management projects.

Useful ways to build skills and knowledge

A strategic approach to training requires some identification and assessment of **core competencies and training needs**. Defining core competencies for project managers early in a program helps to recruit appropriate staff and lays the foundations for accountability to funding agencies. Once project positions are filled, independent assessment of core competencies also provides a strategic basis for training. In some cases, additional training or the development of core competencies may be required before responsibilities can be fully delegated, for example, the ability to:

- Use a computer for core tasks
- Maintain basic financial records and manage project funds
- Negotiate and manage contracts
- Conduct basic group facilitation and team management

- Professional writing and reporting skills
- Manage information and knowledge networks
- Communicate project results widely.

The PCU made efforts during 2002 to assess core competencies of NCs but these efforts did not meet with complete support because some people and organizations felt threatened by the process. Nevertheless, the idea may have some merit for future programs to consider. If such an assessment were done again, the process and assessment criteria would have to be agreed upon through a collaborative process. Recognising that many in-country staff have not had the opportunity to develop all the necessary skills to manage projects and that techniques change constantly, the assessment of core competencies should be promoted as an opportunity for professional development. Local training is available in many Pacific countries.

Knowing about relative competencies and project priorities can help to select *appropriate participants* to attend training workshops and ensure that the right skills are gained by the right people. These people can then make a long term contribution to addressing priority environmental concerns. As an example, in the Train Sea Coast course on economics for community based resource management strict criteria were applied to ensure a good match between the course content and participants (see Box 3 below).

Box 3: Who should we train?

By using criteria for selecting participants, the train-sea-coast course in economics for community based resource management trained a motivated group of participants, capable of gaining and applying the relevant skills. Their criteria included:

- Current involvement in managing community-based environment and development projects in the Pacific and prospects for incorporating economics into current or future work;
- A genuine desire to learn how economics works and how to apply it;
- Commitment to apply the lessons from the course in the job;
- Commitment to undertake considerable preparatory work;
- Commitment to participate in the entire course;
- Good analytical (problem solving) ability;
- Ability to read and write well in English;
- Mathematics skills – such as having completed high school mathematics; and
- A preparedness to speak in public (discuss findings and issues). (Yeo 2004)

The *timing* of training is important. For example, the IWP Train-the-Trainer program provided skills in stakeholder analysis and PPA at the time that NCs and facilitators were ready to use them which contributed to its value in capacity building. In contrast, the TSC course was not available until 2003, half way through the project. In future projects it would be more beneficial to offer this training earlier.

Partnerships for training with institutions such as USP and in-country NGOs helped to build links with people that understand the local context and to build the capacity of staff in partner agencies to undertake future work. IWP nurtured such partnerships in developing the community-based economics training and some train-the-trainer courses. Both resulted in the development of enduring networks and capacity in the country.

Providing **national level training** through existing national institutions allows a greater number of national and local participants to be trained. It also enables training to be targeted to local needs and builds long term opportunities for collaboration and capacity building.

Where the cost of national training is prohibitive and countries share similar training needs, **sub-regional training** is a useful alternative, as it can enable a broader range of country participants to attend than regional training. It also facilitates information exchange between neighbours (see Story 18).

To **maximise the outcomes from regional training** IWP often used a ‘train-the-trainer’ approach in which training in facilitation and participatory project planning was provided to people with a view to having them share their knowledge and skills with others through subsequent training. The success of this approach depended on the calibre, skills and background of participants, as well as their long term commitment to, and engagement with, the project. A variation of the ‘train-the-trainer’ approach in IWP was used during an NCM5 session on monitoring. In this case, **‘champion’** national coordinators were selected to receive additional support and training in the development of monitoring plans and project indicators. The intention was to use these champions to act as resource people for other NCs working in similar focal areas. The long term value of this approach is still to be determined. However, used selectively and equitably, the ‘champions’ approach could be a useful way to develop regional expertise in such areas as project monitoring and to facilitate information sharing between similar programs (see Story 19). A valuable by-product of the process was the increased confidence it gave to these coordinators.

Useful strategies to build the capacity of national institutions

We have looked at capacity building in terms of developing individual skills, but another critical aspect of building capacity is strengthening the work of agencies that deal with pressing environmental management problems in the long term. Short term projects like IWP face a major challenge in facilitating long term development in the capacity of lead agencies and other important national organisations.

Another important area in developing national capacity is strengthening the capabilities and functioning of lead agencies beyond the project boundaries. This has been a challenging task in IWP, but some useful principles are emerging that may be useful for future initiatives:

- **Review what is working and what is not:** institutional reviews in IWP helped to identify strengths and weaknesses of current government arrangements in focal areas, and areas for action.

Story 18: Building a critical mass of local facilitators:

Local facilitation training helped to build a critical number of local facilitators in Fiji. Around 26 facilitators from the pilot project site and the neighbouring villages were trained to run local meetings - it is hoped that the trained facilitators would assist the IWP Fiji during replication.

Sandeep Kaul, Fiji National Coordinator

Story 19: Champions to advocate and support

To help National Coordinators develop their project monitoring plans, three NCs were selected to be ‘champions, receiving extra support with their monitoring plans, so that they could then assist other NCs. Champions were selected based on interest and commitment rather than past performance. Champions rose to the challenge in a regional workshop, where they not only sharpened their own monitoring plans, but facilitated information sharing and supported other NCs with their monitoring plans. Champions helped to demystify monitoring into something achievable that NCs could do.

- **Think about the appropriate lead agency:** deciding where to base a project has implications for building the capacity of key government agencies and for sustaining the work in the future (see Story 20).
- **Melt boundaries:** integrating the project with the wider operations of the lead agency can help to widen training and capacity building outcomes, share experiences about approaches to dealing with environmental problems, and improve the long term sustainability of project initiatives (see Story 20).
- **Engage influential stakeholders:** Engaging high level officials early in a project helps to foster understanding of the project. In IWP, some effective strategies included:
 - a. Inviting key government Ministers, senior agency staff, community leaders and church officials to participate in tangible project activities.
 - b. Involving senior staff in National Task Forces or equivalent bodies.
 - c. Fortuitous staffing arrangements, for instance where senior staff in lead agencies had a previous work history with IWP and therefore had a good understanding of the project.
 - d. Using the annual regional meeting of NCs and senior Government officials in the Multipartite Review as an opportunity to increase a shared awareness of project and government perceptions of Project objectives and initiatives.
- **Nurture senior staff:** Related to the above point, a key lesson from IWP is that senior agency staff has a vital role to play in supporting project initiatives. Projects and lead agencies may mutually benefit from extending the training and development opportunities offered by projects to such key staff.

Story 20: Strategic partnering

The Solomon Islands project dealing with sustainable coastal fisheries had more potential to support national capacity in fisheries management working from the fisheries agency, where the staff, legislation and policies related to the focal area, than the Environment Department. For this reason, the IWP project unit was based in the Fisheries Department.

Useful ways of generating and sharing information

As a pilot program, IWP had a strong focus on generating and sharing information that would be relevant to other multi-stakeholder programs in resource management in the Pacific and elsewhere.

- A series of regional studies were commissioned early in the IWP to distil the lessons learned and ‘best practices’ emerging from previous initiatives in freshwater, coastal, waste and community based resource management. These lessons were used at the regional level, for example to support and guide national level programs. National level project staff, however, often found the language and style of the studies difficult to penetrate, giving them less opportunity to draw on and apply these lessons (this is discussed further below in Section 7.2).
- The use of demonstration sites and technologies, for instance in sanitation projects, was found to be a very practical way of testing approaches and raising community awareness about the options.
- Site visits to other villages/households to learn about different approaches can contribute to the cross-fertilisation of ideas
- Regular national coordinator meetings allowed NCs to exchange their experiences, and benefit from the experiences of others.

Replication opportunities

- 7.2.1 Future projects would benefit from adopting the following IWP training strategies:
- Focusing on a small set of core skills which need development at a specific time given the project goals and planned actions.
 - Conducting an analysis of core competencies to ensure that the planned training is appropriate, and that those attending the training are appropriate.
 - Entering into training partnerships with local and regional institutions and champions to ensure that capacity building can continue after the completion of the project.
 - Encouraging collaborative learning through actively engaging communities and NCs in site visits, demonstrations, and interactive learning from each other.

8. Promoting sustainable actions: persuasion, rules and incentives

A core purpose of the IWP pilot projects was trialling and demonstrating a range of strategies to promote action by key stakeholders in support of sustainable resource management. These can broadly be grouped into:

- Communication strategies to persuade and engage stakeholders in environmentally sustainable behaviour.
- Strategies to develop appropriate rules and incentives for resource management.

PCU: The successes, challenges and future opportunities related to various strategies will become clearer through monitoring activities; however a number of replication opportunities can already be identified. Additional ones will have to be noted later.

8.1 Communication

Communication has been an important focus in IWP both at the regional level and in national projects, given that the SAP identified weaknesses in ‘understanding’ as a root cause of environmental degradation. A unique emphasis of the IWP has been the use of communication strategies to do a range of things:

- **Communicate about the project** with a range of stakeholders.
- **Facilitate more sustainable behaviour** amongst target groups, for instance improved waste management practices.
- **Transfer knowledge** on technical aspects of the project and lessons learned.

Communication strategies at a country level focused on the first two points, while the sharing of technical aspects of projects has been supported at the regional level by the PCU. The process of developing national level communications strategies has unanimously been found to be a very useful process for defining appropriate messages, audiences and methods [PCU, something could be added here on how the development of communications strategies has been useful - the survey found that they were useful to NCs, but lacked information on why and how. Perhaps this can be developed down the track when you can comment on how the strategy helped to focus communications activities. Also on any regional level strategies that proved effective].

The IWP also promoted the use of a **social marketing approach** where communication is used as a process to facilitate behavioural change in sustainable directions. This is a unique emphasis of IWP and a first in the Pacific Islands. [PCU, more to be added here down the

track when you can comment on positives and negatives, and suggested future directions with a social marketing approach in the Pacific]

Stakeholders are more willing to share information when due regard is given to its source and intellectual property. Firstly this enables continued interaction and exchange between the users and producers of information and helps to develop networks and ongoing collaboration opportunities. The second critical issue is the need to protect the intellectual property rights of stakeholders where necessary. While the situation with intellectual property differs from country to country, IWP developed some guidelines that could support future projects in this process (see Story 21).

In order to share lessons, they have to be **documented**.

Documentation of project processes and lessons in IWP was facilitated through:

- Regular narrative reporting by National Coordinators and the PCU.
- Reports on all training and workshops held.
- Country level reports such as baseline assessments and situation analyses.
- Documentation of assessment and analytical tools in the “Collaborating for Sustainability” Resource Kit and the TSC training materials.
- Use of the website as a dissemination tool.

Story 21: Protecting intellectual property:

IWP provided guidelines to project coordinators to help them:

- Clarify the ownership of information with stakeholders.
- Consider how the information is to be managed.
- Clarify processes for documenting information.

Replication

8.1.1 The information ownership paper prepared by the PCU can be used by government agencies and NGOs in the region. A simple pamphlet explaining the issues and what you need to know could be produced for community group use.

8.1.2 In future initiatives, strong protocols on the documentation of key milestones and project processes needs to be put in place at an early stage.

8.1.3 More communication related replication strategies/opportunities to be added here by PCU at a later time.

8.2 Rules and incentives

Rules and regulations influence how people use resources and how the benefits are distributed. They provide important incentives for sustainable resource use either through penalties for unsustainable behaviour, or benefits for sustainable management. Sometimes resources are overused because rights to access and use resources are not clearly defined, or they favour short term use benefits rather than long term ones. In the Pacific, rules at the local, provincial, national and even international level can have important implications for resource use. Although local laws and rules can have strong influences on behaviour, these may need to be complemented by policy frameworks that set the overall direction for resource use nationally.

The question for projects like the IWP is where to start: from the top down or from the bottom up (See Section 6.2). For a five year project, achieving changes to national legislation can be challenging because of the complexity of the task and the potentially wide scope of the review process. Issues related to cultural contexts and values also need careful consideration when making changes to national legislation.

For this reason, some NCs felt that an initial focus on moral suasion and local rules would have the best short term outcome, particularly when well respected leaders in the communities support making changes to behaviour patterns (see Story 22). However moral suasion often needs to be backed up with stronger local by-laws or even national laws to be effective (see Story 23).

Because its two-pronged local and national approach, one of the core components of the IWP was a three stage review of environmental legislation to assess the adequacy of the present rules. It was intended that each country would:

1. review national environmental legislation broadly.
2. evaluate in more detail the adequacy of law relating to the focal area.
3. conduct a focused assessment of local by-laws to strengthen co-management.

National legislative reviews were conducted based on regional and national priorities. In practice, the first stages took a considerable amount of time and any necessary amendments to national policies and laws were not able to be completed in the lifespan of IWP. For this reason, many of the NCs started by focusing on amendments to local by-laws and amending related aspects of the national legislation only, when the “root cause” for some of the focal issue problems in participating countries rested in national-level laws and institutional arrangements. For example, in the case of Solomon Islands and Vanuatu, the relevant fisheries legislation was reviewed and targeted to take account of the outcomes that the IWP was particularly trying to achieve in relation to beche-de-mer and land crabs respectively. Samoa used local experiences to feed into national policies and plans (see story 24). Focusing legislative and policy change in those areas of highest priority to achieve the goals of the project was one fruitful strategy used by IWP projects to integrate community based action with national level rules, regulations and organizational frameworks.

Determining which legal issues are important at the national level requires clarity clear both about national priorities, and the scope and goal of the community based project. Applying the principle of ‘subsidiarity’, it may be most effective to work from the local level up, targeting very specific changes at the national level where resource management problems exceed the ability of local stakeholders to respond effectively (see Box 4).

Box 4: Subsidiarity Principle

Story 22: Laws vs moral suasion?

Change to national laws is so slow - by the time it reaches parliament it can be 20 years on! For us, I think it would be more effective right now to use moral suasion, get key leaders in the community to promote changes to resource management, and then, if we have to, change the local bylaws.

Kelesoma Saloa, Tuvalu National Coordinator

Story 23: We need legal backing too!

It's all very fine to get communities to sustainably manage resources, but they have to be able to enforce their rules on outsiders who can just come in and take away the resource.

Sione Leolahi, Niue National Coordinator

Story 24: Marrying local rules with national policies

To improve water quality in their catchment, the village councils in the Samoan pilot sites of Lepa and Apolima established a rule that people needed to keep a 30 metre distance from water courses for stock and agricultural activities. The lessons from these two pilot sites will be used to develop a national plan to improve freshwater management in Samoa's rural communities.

The subsidiarity principle specifies that decisions should be made by the communities affected, or, on their behalf, by the authorities closest to them. This has been the basic principle governing the devolution of planning systems worldwide and is intended to encourage local ownership over resources and responsibility for environmental problems and their solutions. However local areas are also part of larger systems and cannot function in isolation from forces outside of local control, such as upstream pollution from a neighbouring country or external resource users. In such cases, higher scales of coordination become necessary, guided by key principles for sustainable development including the precautionary principle, principle of inter- and intra- generational equity, and the polluter pays principle.

Source: Carew-Reid *et al.* 1994

Development of rules is only part of the picture; the **enforcement** of rules at the community can be a challenge. One of the strongest incentives for sustainable resource management is to have rights to access and use resources well defined so that those investing in sustainable practices also reap the rewards. Other positive incentives to improve resource use are friendly competitions, public recognition gained through good management, and other benefits extended by external bodies such as additional resources, training or monitoring support. Positive incentives for behaviour change should be a key component of any future program.

While positive incentives are vital, there must also be a ‘bottom line’ when penalties apply. In Western society the penalty is on the individual – the person breaking the rule. In societies with strong kinship relations and a culture of collective resource management, enforcing penalties on individuals can be difficult. In Vanuatu, a trial of penalising the community rather than the individual is being developed in Marine Protected Areas (see Story 25). This kind of approach provides an incentive for the community as a whole to work out the problem. The risk is that the others who had been abiding by the rules but are sharing in the penalty will also start offending. Careful monitoring needs to be done to assess the value of replicating these types of approaches in the Pacific context.

Story 25: Penalising the community rather than individuals

In Vanuatu when a customary resource harvesting taboo was established at the IWP pilot site of Crab Bay, village leaders were informed that they and the whole village would all be involved in punishments for breaking management rules through fines or community work. The idea was to create a whole-of-community responsibility for ensuring that rules were followed

Leah Nimoho, Vanuatu National Coordinator

Replication Opportunities

- 8.2.1 Conduct strategic assessments of needed legislative or rule changes based on the objectives of the project, the ability of local communities to affect change through moral suasion, community based management and changes to local by-laws, and the need for national consistency and coordination. Whenever possible the principal of subsidiarity should apply.
- 8.2.2 Focus national level reviews in these types of projects on changes needed to fill gaps or redress inconsistencies with community based resource management.
- 8.2.3 Include positive incentives for sustainable resource management in future projects. PCU: Innovations and successful approaches arising from project monitoring need to be documented, and opportunities for replication of specific strategies flagged.
- 8.2.4 Tailor rule enforcement at the community level in the Pacific to the cultural context; innovative approaches to address the difficulties of penalising individuals in small

communities need to be monitored and assessed for their potential replicability. (see Story 25)

9. Funding

The regionally coordinated approach to accessing large financial resources from international agencies such as the GEF has some value for the 14 countries in the region because it gains high level and broad support for the initiative, and streamlines administrative arrangements.

Both the IWP and the SPBCP experienced difficulties in developing effective mechanisms to mediate the distribution of finances from donor agencies to projects. The arrangements have varied by country. The IWP established a trust fund in one country, rather than disbursing monies through Government treasuries and other agencies in an attempt to streamline resource flows. This new initiative needs assessment at the end of the project to evaluate its replicability. Audits have occurred of financial management by the PCU and the projects. Lessons from these audits can assist future projects to address the challenges of coordinating regional financial arrangements.

To ensure that national project payments related to the achievement of project milestones, an output based approach to project management was taken in the final phases of the program to address the variable performance between. In the future, a direct relationship between payments and outputs at the country level should be imposed from the outset. This can be complemented by positive incentives for high level performance, as has been exemplified by the PCU helping to publish stories about project achievements in the popular press and the IWP profiles. These measures help to ensure that those with weaker performance are penalised, while those with strong performance are rewarded.

The future stream of benefits from the IWP will in large part depend on securing resources to continue with existing projects, and extend others. Some options for securing future funding include:

- **Leveraging additional resources and pursuing joint interests within countries** to advance IWP work nationally. The development of national level replication strategies would assist with the process of identifying specific initiatives needing support, which could be picked up through bilateral or private sector funding and NGO collaboration (see Story 26 and Story 27);

Story 26: Finding funding

In Solomon Islands, the IWP worked with the national aid-coordinating unit to pursue funding for aspects of the project

- Developing a more **targeted and strategic regional initiative** to gain international funding. The role of SPREP and other regional organisations needs to be considered in this context;
- Building on the complementary interests of IWP and other regional initiatives to support **ongoing policy and institutional development**, for example through SPREP or other regional and bilateral programs.

In the final stages of the project, the PCU may need to assist NCs to find resources to replicate their projects and the work initiated under the regional program. Working with national coordinators to help fund and replicate their projects can be an efficient and effective way of approaching large funding agencies and building capacity (see Story 28).

Finally, the funding timeframes attached to future projects must be given serious consideration, given the time it takes to get participatory projects up and running. A 5-7 year timeframe was insufficient for IWP and remains ambitious in the Pacific. Future projects should look at longer project timeframes (for example 10 years), building in regular reviews to assess progress.

Replication opportunities

- 9.1.1 Ensure that payment of project funds are directly related to the achievement of project milestones. The IWP developed a model for these types of linked payments.
- 9.1.2 Jointly develop a regional strategy for fund raising to replicate the IWP program to ensure that fund raising is strategic. This should not preclude in any way fund raising by communities, nations or regions, but rather should just coordinate and facilitate these efforts.
- 9.1.3 Fund future regional projects for longer periods of time, for example 10 years, with regular reviews to assess projects.

[PCU to complete in consultation with NCs and drawing on their understanding of important funding opportunities for the future. For example, how may GEF revenues be best accessed in the future? Are there other sources of funding worth pursuing in a coordinated fashion?]

10. Summary of Replication opportunities

This document has focused on replication opportunities for the regional program and its components. Discussions with the National Coordinators, the PCU and others have highlighted the importance of starting at the very earliest stages of the program. What is worth replicating, and what is not, will ultimately be determined by the outcomes of

Story 27: Strategic partnering to extend resources in PNG

The community working with IWP in PNG was preoccupied with a lack of basic services such as access to a clean, safe and reliable water supply source. IWP recognised that they needed to help the community address this critical issue to gain their commitment to the wider goals of the project. The project provided a user-pays community water supply tank with water being carted from Port Moresby as and when required and water sales covering the cost of tank refills. Surplus revenue was deposited into a bank account to cover monitor fees, maintenance costs and enforce sustainable fisheries regulations. In addition, the project was assisting the community to secure external donor funding to complete the borewater supply system for the village.

Narua Lovai, PNG National Coordinator

Story 28: Helping NCs to target funding

Near the end of the SPBCP program pressure was put on the national coordinators to raise funds to continue with their projects. This approach was not successful because the coordinators did not have the time or the skills to raise the needed funds. More support needs to be given in the future for both fund raising and replication.

Sione Faka'osi, Tonga National Coordinator

You really need to think about replication right at the beginning of the project. Look for projects with issues that are not site specific and have national appeal

Sione Faka'osi, Tonga National Coordinator

the project based monitoring programs being conducted at the national level.

A number of the NCs felt that by the end of their project funding period they would like to have in place a national replication strategy which could be discussed with donor bodies, NGOs, the lead agency, and the aid coordination agency within their national government. This document would also help to define core areas within the project which should be sustained, extended and/or replicated. To make the development of these replication strategies efficient at what will be a very busy time in the project cycle, a template could be developed as was successfully done for the national projects' work plans and monitoring plans (see Annex 2).

In summary, the replication opportunities that have arisen so far are summarized below.

Designing effective projects

- 5.1.4 Have more than one focal area in regional projects to:
 - a. Increase flexibility and ownership, and tailor projects to national and community needs.
 - b. Enable better integration of resource management across sectors and levels.
- 5.1.5 Prioritise focal areas at a national and local level, and concentrate on one primary area first, moving onto the secondary one as time and resources permit.
- 5.1.6 To determine appropriate focal areas, draw on the findings of baseline assessments such as: IWP National Priority Environmental Assessment reports, the National Environmental Management Statements (NEMS), national reports prepared for the Millennium Assessment process, and State of Environment Reports.

5.2 Adaptive Management

- 5.2.5 Maintain the IWP's focus on learning and adaptive management in continuing activities and future projects.
- 5.2.6 Use and extend baseline studies conducted in the IWP program, and in particular use some of the exemplary baseline studies such as Jenrok as models.
- 5.2.7 Use project monitoring systems, based on sound baseline information, to improve performance in future projects, including adaptations of the templates, indicators, techniques, and training designed for the IWP.
- 5.2.8 Implement integrated monitoring and evaluation strategies at the local, national and regional levels, to evaluate progress and final performance.

Sustaining national and regional partnerships

6.1 Regional issues

- 6.1.4 For regional projects, establish a small and technically skilled unit such as the PCU to coordinate and support regional level programs. Ensure that the PCU role and the roles of national coordinators and project coordinating bodies such as NTFs are clearly defined and agreed early.
- 6.1.5 Employ PCU staff with technical expertise, as well as administrative expertise, to facilitate training and on-going technical support to the projects.
- 6.1.6 Enhance the regional benefits of future programs like IWP by ensuring the PCU is closely integrated with SPREP through:
 - a. securing the close working relationship between the project and SPREP management

- b. integrating planned project actions into the SPREP work plan; and
 - c. using the technical expertise of PCU like bodies to benefit other work areas within SPREP, to the extent possible.
- 6.1.4 Support longer term technical positions within SPREP with technical skills in community participation and social assessment, resource economics and communications.

6.2 National Issues

- 6.2.4 Use existing structures to strategically oversee the project. If this is not possible establish a project steering committee/NTF of stakeholders with strong links to government, community leaders and potential donors.
- 6.2.5 Create national networks to support the project through the active engagement of stakeholders, and through the reciprocal participation of the NC in complementary projects and government committees.
- 6.2.6 Integrate coastal watershed management activities into the work programs and organizational structures of the government, NGOs and/or community.

6.3 Local participation

- 6.3.1 Use an integrated approach to participation across scales and sectors, drawing on the methods and principles refined in IWP, including:
 - a. Methods:** stakeholder analysis, participation plans, participatory problem analyses, participatory project mapping and implementation, and participatory monitoring and evaluation
 - b. Principles:** provide appropriate incentives for participation; build stakeholder understanding of, and commitment to, the project; clarify information ownership; enhance social capital; work equitably with stakeholders, avoid fragmentation between stakeholders; maintain regular and consistent communication with stakeholders. **PCU: These principles can be elaborated as the project proceeds.**
- 6.3.2 Develop a consistent regional approach to incentives for participation by government officials, for example through a regional discussion paper.
- 6.3.3 Use templates and processes for communication planning developed by IWP to promote a range of creative community engagement strategies and techniques throughout the project to develop and maintain community ownership.
- 6.3.4 Build on and use resource kits developed in the IWP for communication planning and participatory socio-economic assessment.
- 6.3.5 Disseminate short case studies on valuable approaches used to engage stakeholders through the SPREP website and other media.
- 6.3.6 Maintain a regional register of valuable agencies, NGOs, training institutions and consultants used during the IWP project and their areas of specialisation as a starting point for future projects of this nature. (This information could be kept by SPREP and available on request.)

Building capacity and understanding

7.1 Assessment Skills and Methods

- 7.1.1 Apply the social and economic assessment skills and methods used in IWP in other projects. These include:

- a. For NRM projects generally: facilitation skills, stakeholder analysis, PPAs/Solutions trees, communication strategies, institutional reviews, and literature reviews.
 - b. For waste related projects: waste audits.
 - c. For coastal fisheries projects: transects and fisher surveys.
- 7.1.2 Use the existing skills of NCs and other project staff in future initiatives. Areas where a number of NCs are likely to be able to contribute include: facilitation skills, stakeholder analysis, PPAs/Solution trees, approaches to participatory project planning.

7.2 Training strategies

- 7.2.1 Future projects would benefit from adopting the following IWP training strategies:
- a. Focusing on a small set of core skills which need development at a specific time given the project goals and planned actions.
 - b. Conducting an analysis of core competencies to ensure that the planned training is appropriate, and that those attending the training are appropriate.
 - c. Entering into training partnerships with local and regional institutions and champions to ensure that capacity building can continue after the completion of the project.
 - d. Encouraging collaborative learning through actively engaging communities and NCs in site visits, demonstrations, and interactive learning from each other.

Promoting

8.1 Communication

- 8.1.1 The information ownership paper prepared by the PCU can be used by government agencies and NGOs in the region. A simple pamphlet explaining the issues and what you need to know could be produced for community group use.
- 8.1.1 In future initiatives, strong protocols on the documentation of key milestones and project processes needs to be put in place at an early stage.

8.1.2 More communication related replication strategies/opportunities to be added here by PCU at a later time.

Promoting sustainable actions: persuasion, rules and incentives

8.2 Rules and incentives

- 8.2.1 Conduct strategic assessments of needed legislative or rule changes based on the objectives of the project, the ability of local communities to affect change through moral suasion, community based management and changes to local by-laws, and the need for national consistency and coordination. Whenever possible the principal of subsidiarity should apply.
- 8.2.2 Focus national level reviews in these types of projects on changes needed to fill gaps or redress inconsistencies with community based resource management.
- 8.2.3 Include positive incentives for sustainable resource management in future projects. PCU: Innovations and successful approaches arising from project monitoring need to be documented, and opportunities for replication of specific strategies flagged.
- 8.2.4 Tailor rule enforcement at the community level in the Pacific to the cultural context; innovative approaches to address the difficulties of penalising individuals in small

communities need to be monitored and assessed for their potential replicability. (see Story 25)

Funding

- 9.1.1 Ensure that payment of project funds are directly related to the achievement of project milestones. The IWP developed a model for these types of linked payments.
- 9.1.2 Jointly develop a regional strategy for fund raising to replicate the IWP program to ensure that fund raising is strategic. This should not preclude in any way fund raising by communities, nations or regions, but rather should just coordinate and facilitate these efforts.
- 9.1.3 Fund future regional projects for longer periods of time, for example 10 years, with regular reviews to assess projects.

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Annex 2. IWP Financial Planning and Reporting Template

The document below has been inserted as an excel spreadsheet object. You can work enter an excel version of the spreadsheet by double clicking on the table below.

Project :

Date of last revision:

31/10/2004

International Waters Programme - Work program and budget 2005

Exchange Rate: USD/local currency=

Quarterly Advance from SPREP
Brought forward from previous quarter
Total Funds Available

UNDP BL	Activity/Budget Item	2005												Split (Quarterly Budget) [USD]		
		Annual Budget												1	2	3
		J	F	M	A	M	J	J	A	S	O	N	D			
	Project management and administration															
017.02	<i>Personnel</i>													-		
	National Coordinator													-		
	Annual Leave													-		
	Assistant National Coordinator													-		
	Annual Leave													-		
	Other personnel (Facilitators, etc)													-		
017.04	Short term local consultants													-		
021.00	<i>Office Maintenance and Support</i>													-		
	Communication													-		
	Local Transport													-		
	Equipment repair and maintenance													-		
	Office equipment													-		
021.00	<i>Project Administration</i>													-		
	2005 Work Plan and Split Budget													-		
	2006 Work Plan and Split Budget													-		
	<i>Regular project reports and outputs</i>													-		
	Quarterly Narrative Report													-		
	Quarterly Financial report													-		
	Quarterly Financial Request													-		
	Annual Use of Consultants Report													-		
	Annual Equipment report													-		
	Annual Audit													-		
	List of local resource people													-		
	List of Contacts													-		
	<i>Technical reports and publications</i>													-		
	Socio-economic baseline													-		
	Ecological baseline													-		
	Waste Stream Analysis													-		
	IWP Database													-		
	Lessons Learned Report													-		
	First Monitoring Report													-		
	Second Monitoring Report													-		
032.02	<i>Consultative arrangements</i>													-		
	Review stakeholder participation in NTF													-		
	SWOT of NTF													-		
	Conduct NTF Meetings													-		
	Project Development Team Meetings													-		
	Review stakeholder participation in LPC													-		
	Support LPC consultations													-		
	Brief SPREP Focal Point													-		
021.00	NCM 6/M PR 4													-		
021.00	<i>Capacity building</i>													-		
	IWP Scholarship													-		
	Other training (capacity building) activities (specify)													-		
021.00	<i>Implementation - outcomes and activities</i>													-		
	<i>Community level</i>													-		
	<i>National level</i>													-		

IWP/MPR4/NCM-6/2005/WP. 6b Annex 3

United Nations Development Programme

Global Environment Facility

[[If a regional project. If not – just the country concerned: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tokelau, Tuvalu and Vanuatu]]

PROJECT DOCUMENT FOR PDF BLOCK B

Project Number:

PIMS Number:

Project Title:

Executing Agency:

Requesting Agency: UNDP

Focal Area: *Possibilities:*

Biodiversity

- 1. Arid and Semi-Arid Zone Ecosystems
- 2. Coastal, Marine, and Freshwater Ecosystems
- 3. Forest Ecosystems
- 13. Conservation and Sustainable Use of Biological Diversity Important to Agriculture

International Waters

- 8. Waterbody-based Operational Program
- 9. Integrated Land and Water Multiple Focal Area Operational Program
- 10. Contaminant-Based Operational Program

Multifocal Area

- 12. Integrated Ecosystem Management

Land Degradation

- 15. Operational Program on Sustainable Land Management

GEF Operational Programme : For example: OP 9, SIDS Component

GEF contribution for PDF A block: USDS

GEF contribution for PDF B block : USDS

Estimated Start Date: ???

Estimated End Date: ???

Duration:

Beneficiary Countries: **If a regional project:** Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tokelau, Tuvalu and Vanuatu

UNDP AND PARALLEL FINANCING:

UNDP/GEF: USDS

In kind co-financing
Gov. of participating countries/
Reg. Organisations **USDS**

TOTAL FUNDING USDS.....

Brief Description:

On behalf of:

Signature:

Date/Year:

Name/title:

UNDP/GEF

TABLE OF CONTENTS

Information sections with annexes, etc

COVER PAGE INFORMATION

1. **Countries: If a regional project:** Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tokelau, Tuvalu and Vanuatu **Otherwise just the country submitting.**
2. **Focal Area:**
3. **Operational Programme: For example:** OP9 (Integrated Land and Water Multiple Focal Area Operational Program), the Small Island Developing States Component with links to OP 2 (Biodiversity -- Coastal, Marine, and Freshwater Ecosystems).
4. **Project Title:**
5. **Total Cost: USD\$.....**
6. **PDF Request: USD\$ Block: PDF Block B**
7. **In-kind contributions: USD\$.....**, including local transport, meeting rooms, logistics, translation, interpretation, administrative services of participating governments and staff and travel costs of participating regional organizations.
8. **Requesting Agency: UNDP**
9. **Executing Agency:**
10. **Duration:**

PROJECT STRUCTURE

11. **Project objective:**
12. **Global significance:**
13. **Background:**

The Strategic Action Plan of the International Waters of the Pacific Islands

The origin of the SAP can be traced to the collaboration by Pacific SIDSs in the preparation of a joint regional position to the 1992 United Nations Conference on Environment and Development (UNCED). The preparation of that regional position provided the first opportunity for the Pacific SIDSs to gather information, analyse the results and build a regional consensus on integrating environmental and developmental concerns into a sustainable whole. That consensus was approved by Pacific SIDS Governments and became the basis for identifying a set of collective actions that were necessary to achieve a sustainable future for Island communities.

The effort to prepare for UNCED became the starting point for the work of National Task Forces and a Regional Task Force of the predecessor of the Council of Regional Organisations of the Pacific (CROP), tasked in 1997 with the preparation of an International Waters SAP. The National Task Forces oversaw a broad-based process of national consultations, and the International Waters SAP was prepared in accordance with results of the national consultations.

The SAP identifies unsustainable use of living resources as one of the three priority transboundary concerns relating to the International Waters of the Pacific Islands Region. In respect of oceanic fisheries, the SAP identifies deficiencies in management at the national and regional levels as the ultimate root cause of the threat of unsustainable exploitation of transboundary oceanic stocks and related species, and recognises these deficiencies as arising from weaknesses in governance of fishing on these stocks and related activities, and a lack of understanding, including a lack of understanding of the biotic components and system dynamics of the WTP LME. The SAP remains completely valid as a basis for future work on oceanic fisheries management. A summary of the SAP is included in Annex 2.

The Pacific SIDSs International Waters SAP Implementation Project

The IW SAP Project was designed to address the concerns, threats and root causes identified in the SAP. Targeted actions within the Project are carried out in two complementary consultative contexts: an Integrated Coastal and Watershed Management (ICWM) Programme and an Oceanic Fisheries Management (OFM) Programme.

More on the lessons learned and best practice information generated by the ICWM Component of the IWP – and its relevance to the Focal Area issue which is the main thrust of this submission.

These activities are financed by a GEF grant of US\$12.0 million, with co-financing of these and other complementary activities amounting to US\$8 million. US\$8.02 million was allocated to the initial ICWM component of the Project.

14 Project description: including implementation arrangements

Baseline and Alternative Scenarios

Outcomes and Activities of the Project:

The Project will have X components – dot point anticipated outcomes for each component.

Implementation Responsibilities

15. Description of proposed PDF Block B activities:

The PDF Block B activities are designed to be fully consultative and participatory, leading to the submittal of the GEF Project Brief or UNDP Project Document to the GEF Council. The PDF programme will involve XX major activities.

Objective one:

Activity 1)

Objective two:

Activity 2)

Objective three:

Activity 3)

Objective four:

Activity 4)

Objective five:

Activity 5)

Description of how the PDF-B be executed?

A work plan for the Block B activities is set out in Annex 3.

16. PDF Block B Outputs

The planned outputs of the Block B grant funded activities are:

17. Eligibility:

All requesting countries are eligible [or the requesting country is eligible....] under paragraph 9b of the GEF Instrument. UNDP supports activities in each country. **In addition add in fit to OP Area selected – e.g.** This project fits the mandate of OP 9: Integrated Land and Water Multiple Focal Area Operational Program. The Project also has linkages with Biodiversity (OP2: Coastal, Marine, and Freshwater Ecosystems). The linkage with OP2 comes through support for projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat.

18. National level support:

Endorsements from the GEF Focal Points of requesting countries are attached in Annex XX.

During the period of PDF funded activities, countries will co-finance costs such as local transport, inter-sectoral coordination, meeting facilities, translation/interpretation, communications, and administrative services, and the staff and travel costs of FFA and SPC personnel participating in PDF activities.

19. Justification

Block B funds will support the preparation of documentation for the.....

20. Monitoring & Evaluation

A Monitoring and Evaluation Plan for the Project will be established during Block B preparation. This Plan will have as core elements the GEF annual project implementation review (PIR); the UNDP annual multi-partite review (MPR); mid-term and terminal evaluations, and other baseline and progress reviews.

Within the M & E Plan, achievement of the Project outcomes will be measured by a framework of process indicators, stress reduction indicators and environmental status indicators as outlined in Annex 6. Within this framework:

- the process indicators will be focused on measuring progress
- the stress reduction indicators will be focused on monitoring the measures that are being implemented.
.....
- the environmental status indicators will include indicators at the regional and national levels of the status of ecosystem factors.....

In addition to the indicators of outcomes, the M & E Plan will include indicators related to project implementation focused on measures of delivery of Project inputs and quality of Project activities.

21. Legal Context

iF this is a regional project - For the 15 participating countries, the approved Project Document shall be the instrument referred to in Article 1 of the legal agreement signed between each of the 15 participating governments and the United Nations Development Programme. The host countries' implementing agencies shall, for the purpose of the Standard Basic Assistance Agreement (SBAA), refer to the governments' cooperating agencies described in that Agreement.

22. Budget

The PDF-B financed activities are expected to begin in XX, and to be completed by XX. The GEF documentation is planned to be presented to GEF Council in the XX quarter of 200?. The output-based PDF-B Budget is set out in the following table.

PACIFIC SAP II PDF-B OUTPUT BUDGET			
Activity	GEF	SIDSs	Total
<i>Sub-Total</i>			
<i>Sub-Total</i>			
<i>Sub-Total</i>			
<i>Sub-Total</i>			
<i>Sub-Total</i>			
<i>Sub-Total</i>			
<i>TOTAL</i>			

Annexes

- ANNEX 1 The map of the project site
- ANNEX 2 Summary of the SAP
- ANNEX 3 Work plan
- ANNEX 4 Programme Implementation Structure
- ANNEX 5 Endorsement letters from participating countries (**if a regional project**)
- ANNEX 6 Monitoring & Evaluation Indicators

