

**INTERNATIONAL TROPICAL TIMBER ORGANIZATION**

**COMPLETION REPORT**

**1 FEBRUARY TO 31 OCTOBER 2013**

<b>PROJECT TITLE:</b>	ENABLING CUSTOMARY LANDOWNERS TO PARTICIPATE EFFECTIVELY IN CFM AND REDD SCHEMES WITHIN FOUR PILOT AREAS OF PNG
<b>HOST GOVERNMENT:</b>	GOVERNMENT OF PAPAU NEW GUINEA
<b>EXECUTING AGENCY:</b>	PAPAU NEW GUINEA FOREST AUTHORITY
<b>REPORT TITLE:</b>	PRE-PROJECT COMPLETION REPORT

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**REPORT TITLE:** PRE-PROJECT COMPLETION REPORT

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## **Abbreviations and Acronyms**

## 1. Executive Summary

The pre-project aimed to design a model community-based land ownership mapping and forest resource assessment system that supports CFM schemes within four pilot areas of PNG. Pre-project activities were implemented as planned using a systematic, participatory and capacity building approach. The project management team first selected six local CFM partners from each region of Papua New Guinea with target landowner groups and demonstration areas in place. PRA tools were then used to collect a set of baseline data from selected sample sites within each demonstration area. The second round of data collection activities used web- and paper-based questionnaires, semi-structured interviews, and organisational and literature reviews to identify objectives, requirements and options for: (i) resource assessment and land ownership mapping, and (ii) acquiring and utilising land ownership and forest resource data in PNG. The field research findings and recommendations have been incorporated into two technical reports.

The PNG Forest Authority hosted a 3-day project planning workshop to finalize the framework for the full-project with reference to the technical report findings. During day one, project partners and key stakeholders agreed that the full-project proposal was needed to establish a model community-based land ownership mapping and forest resource assessment system that supports CFM schemes (including PES and REDD+) and increases landowner understanding about the goods and services that forests provide. Workshop participants also identified four outputs that will lead to the delivery of the project's specific objective, namely:

- Participatory data collection technology is improving CFM practices at community, district and provincial levels.
- Clan groups are participating appropriately in the National Land Development Program.
- A data management system is engaging landowners in feasible CFM schemes (including PES and REDD+).
- Policy and planning guidelines for CFM are in place.

During day two of the project planning workshop, participants selected:

- Three strategies that will shape the technical components of the full-project, comprising: (i) Participatory GIS (P-GIS) for community empowerment, (ii) two way communication for knowledge sharing, and (iii) capacity building for sustainability at local, provincial & national levels
- A set of technical specifications and information mobilization processes for the full-project, comprising: (i) data management system and web-based platform with 6 user groups, 5 technical components and 3 data access levels for information storage and dissemination, (ii) smart phone and tablet devices with an Android operating system for data collection and (ii) open source software for developing appropriate data entry and export options (online and offline) in a freely available and regularly updated format.

The full-project will be managed by the PNG Forest Authority at the national level; working in collaboration with the project's selected CFM partners at the local level. This arrangement has the potential for ongoing replication through other local partners and their target landowner groups in the future. The full-project's exit-strategy takes into account the financial, technical, social, economic, institutional and political aspects of the project, and incorporates the lessons learned from project partners and key stakeholders during the pre-project implantation phase. Significant, long-term benefits are expected for the project's beneficiaries, namely: (i) selected landowner groups, (ii) selected local CFM partners, (iii) the PNG Forest Authority, and (iv) registered private sector markets for environmental goods and services.

## **2. Project Identification**

### **2.1. Context**

In Papua New Guinea (PNG), around 97% of land is held under customary ownership, and most of that land is forested. While the nation's constitution lays the groundwork for landowner groups to benefit from their forest resources, the legal framework does not establish clear processes on how it can be achieved and who really represents the community's interests in, for example, negotiating with logging companies. Whilst customary landowners are generally well informed about the quality of their forests, they are often excluded from systematic forest assessment activities, forest management decision-making processes and associated development opportunities, such as REDD financing schemes. This situation has often led to unsustainable resource exploitation with only short-term benefits reaching the affected forest resource owners.

### **2.2. Origin and problem**

The pre-project is a direct outcome of the *PNG Forestry and Climate Change Policy Framework for Action* which highlights the need for engaging customary landowners at the local level and enhancing the capacity of government institutions at the national level. The PNG Forest Authority's preliminary problem analysis sessions found that customary landowners and community forestry enterprises have limited capacity to participate effectively in CFM schemes due to:

- Limited landowner capacity to formalise landownership and manage CFEs;
- Limited landowner capacity to collect and record forest resource related data that is accurate, current, consistent and complete;
- Limited institutional capacity to build CFM/REDD networks and disseminate related information.

Pre-project activities focussed on the need to identify a cross-section of appropriate demonstration sites with committed landowners and local CFM partners in place, as well as ensure target communities and local partners participate effectively in project design activities and external knowledge and appropriate technology transfer contributes towards the project design process.

## **3. Project Objectives and Implementation Strategy**

The pre-project contributed towards the following development objective:

- CFM and REDD schemes in PNG are bringing about improved social, economic and environmental outcomes at all levels.

The pre-project aimed to accomplish the following specific objective:

- A model community-based land ownership mapping and forest resource assessment system is developed to support CFM and REDD schemes in PNG.

Table 1 (below) outlines the pre-project's implementing strategy for its three planned activities.

Table 4: Pre-project activities and planned implementation approach

Pre-project Activity	Implementing Strategy
Selection of demonstration sites, identification of landowners and local partners, and formation of project agreements for the Full Project.	<p>A systematic approach will be used to select demonstration sites, landowners and local partners. The Capacity Development Specialist will assist the PNGFA to deploy selection criteria and assessment tables.</p> <p>A capacity building approach will be used prior to the preparation and signing of project agreements. For example, selected landowners and local partners will take part in the collection of baseline data and the selection of full-project strategies.</p>
Collection of baseline data and selection of cost-effective implementation strategies for the Full-Project.	<p>A systematic approach will be used to collect a set of disaggregated data on forest-livelihood interactions with reference to CIFOR's Poverty Environment Network (PEN) methodology and the principles of Free, Prior and Informed Consent (FPIC) and other relevant literature / tools.</p> <p>A participatory approach will be used to enable landowners, partners and PNGFA representatives to identify priorities, set objectives and assess the most promising options, leading to selection of the most cost-effective &amp; low-risk strategies. The Community Development Specialist will develop Participatory Resource Appraisal (PRA) techniques and tools such as community entry protocols, matrix-ranking and scoring, problem/objective tree analysis and strategy charts.</p>
Preparation of technical specifications for the required tools and support services for the Full-Project.	<p>A capacity building approach will be used to assist the PNGFA develop blueprints for the land ownership mapping and forest resource assessment system. The Community Technology Expert will specify the technical and functional components required such as GPS unit hardware, online data management software, and verbal and visual prompts for collecting data on community land tenure and the use, quality and spatial distribution of forest resources.</p>

#### 4. Project Performance

Pre-project activities were implemented as planned and budgeted over a 9 month period from February 1 to October 31 2013. During this period, two technical reports (see Annex 3, page 3) and a framework for the full-project proposal were drafted and circulated amongst project partners and key stakeholders for comments. This was followed by the preparation of the full-project proposal. The establishment of project implementation agreements between the PNG Forest Authority, customary landowners and local CFM partners (Activity 1.3) will be formalised in writing prior to project implementation. Tables 1-3 (below) compare planned performance with realised performance for each output of the pre-project..

Table 2: Planned versus realised performance under Output 1.

Planned Performance		Realised Performance
<b>Output 1</b>	Eight demonstration sites selected with customary landowners and local CFM / REDD partners in place	<p>Six local CFM partners have been selected with target landowner groups and demonstration areas in place.</p> <p>Local CFM partners and sample landowner representatives have participated in the project design process (see Outputs 2 and 3).</p>

**Table 2:** Planned versus realised performance under Output 1 (continued).

Planned Performance		Realised Performance
Activity 1.1:	Select eight demonstration sites and local CFM / REDD partners	<p>The PNG Forest Authority invited twenty-three potential local partners from the government, non-government and private sectors to apply to become a local CFM partner to the project.</p> <p>The project management team then considered each application using the project's organizational assessment form and scoring sheet, together with the PNG Forest Authority's criteria for selection of REDD+ demonstration sites.</p> <p>The project coordinator and consultants next visited each short-listed partner to discuss the identification of demonstration site(s) and landowner groups, leading to the final selection of six local CFM partners spread across the four regions of PNG (i.e. Highlands, Islands, Momase and Southern).</p>
Activity 1.2:	Identify customary landowners of selected sites	<p><u>The Foundation for People and Community Development (FPCD)</u> has selected 17 clans / sub-clans from 2 ethno-linguistic tribes in Eastern Highlands and Gulf/Simbu Provinces. Their combined land area is around 260,000 hectares of land.</p> <p><u>The Research and Conservation Foundation (RCF)</u> has selected six landowner groups (1 clan and 5 sub-clans) in five districts. Their combined land area is around 9,177 ha.</p> <p><u>The Milne Bay Provincial Administration (MBPA)</u> has selected 110 clans located within the Suau and Huhu Local Level Government (LLG) areas of Alotau District. Their combined land area is around 60,000 hectares.</p> <p><u>FORCERT (Forest Management and Certification Service)</u> has selected 5 village communities and their 5 business groups in East New Britain (Pomio District) and West New Britain Provinces (Talasea District). Their combined land area is around 28,156 hectares of land owned by 32 clans</p> <p><u>The Tree Kangaroo Conservation Program (TKCP)</u> has selected two areas within the YUS Conservation Area as pilot sites for the Project. These are the YUS Nambis Zone (32,386 hectares) and the YUS Som Zone (26,162 hectares).</p> <p><u>The Wildlife Conservation Society (WCS)</u> has selected 5 villages (83 clans / sub-clans) to work with the Project from 2 LLGs along the north coast and south coast of Manus Island.</p>
Activity 1.3:	Establish project implementation agreements between PNGFA, customary landowners and local CFM / REDD partners	Each collaborating partner will be sub-contracted to the project with reference to a memorandum of understanding that will be finalised prior to project implementation by the PNG Forest Authority's Policy and Aid Coordination Branch.

**Table 2:** Planned versus realised performance under Output 2

Planned Performance		Realised Performance
<b>Output 2</b>	Local forest resource assessment and land ownership mapping package is designed for customary landowners and CFEs	Project partners and key stakeholders have prepared an agreed framework for the full-project proposal, comprising three cross-cutting strategies and a set of technical specifications and information mobilization processes for local forest resource assessment and land ownership mapping.
Activity 2.1:	Collect baseline social, economic and bio-physical data at model sites with customary landowners and local partners	<p>The project management team selected the Sustainable Livelihoods Framework (DFID, 1999) as a holistic, people-centred structure that would facilitate the design of an intervention that complements the UNFCCC objectives to minimize poverty and enhance livelihoods of rural communities. PRA guidelines were then assembled to assist local partners collect a set of disaggregated data on forest-livelihood interactions at each selected site, with reference to a set of baseline research tools.</p> <p>Technical Report 1 provides an overall assessment of the project's social, economic and environmental baseline data, together with a detailed description of each selected sample area. The findings revealed a diverse project context - with similar strengths and weaknesses at the community level - in which local partners offer target landowners an important link with the outside world; opening up new opportunities for enhancing rural livelihoods. The report recommends the full-project build on shared strengths, address similar weaknesses, and learn from the diverse skills and experiences of local project partners and target communities. Some possible community "entry points" for the full-project proposal are highlighted for consideration during the strategy selection activities ahead.</p>
Activity 2.2:	Identify resource assessment and land ownership mapping objectives, requirements and options	<p>Baseline data collection was followed by:</p> <ul style="list-style-type: none"> <li>• <u>A web- and paper-based questionnaire</u> that gathered more up-to-date information from the project's local CFM partners and other stakeholders regarding existing CFM activities, as well as assessed the technical needs and resources associated with these activities.</li> <li>• <u>Semi-structured interviews</u> that completed the livelihoods profiles for the target landowner groups in consultation with local partners and stakeholders, as well as the assessment of local CFM partner strengths and weaknesses.</li> </ul> <p>Technical Report 2 shows that assets such as technical capacity, land tenure and environmental data, equipment for recording information, software for analyzing data, and internet connectivity are relevant to the objectives of the project. These assets, as well as the processes and strategies for leveraging the local and institutional knowledge have informed the project's technical specifications and procedural strategies. Most project partners and other organizations in PNG indicated their willingness to share data with PNGFA, OCCD and other stakeholders. There is also a wide spread desire to receive data such as satellite imagery, forest ecosystem services information and socio-economic data. All local CFM partners have office internet access.</p>

**Table 2:** Planned versus realised performance under Output 2 (continued).

<p>Activity 2.3:</p>	<p>Select best strategy for supporting local forest resource assessment and land ownership mapping activities with customary landowners and local partners</p>	<p>The PNG Forest Authority hosted a 3-day project planning workshop in Port Moresby to finalize the framework for the full-project. During day two, local CFM partners and key stakeholders discussed the project's implementation strategy with the pre-project findings.</p> <p>Technical Report 2 presents the agreed implementation strategies as they relate to each project partner, as well as three cross-cutting strategies that will shape the technical components of the project, namely:</p> <ul style="list-style-type: none"> <li>• <u>Participatory Geographic Information Systems (P-GIS)</u> will be used to promote community empowerment through involving local people in gathering data as well as determining the variables that are to be measured, mapped and interpreted.</li> <li>• <u>Two-way communication</u> will foster knowledge sharing between target communities, local CFM partners and government agencies during the design, implementation, monitoring and evaluation phases online platform mechanism.</li> <li>• <u>Capacity building</u> will promote sustainability. Participating landowner groups will learn more about the National Land Development Program, CFM and REDD+. They will also improve their skills to effectively engage in these endeavours and become as autonomous as possible in terms of their level of community engagement. Capacity building is also required at provincial and national levels, since the data management platform will be designed to enable landowner groups, local CFM partners and government agencies to achieve shared resource management goals.</li> </ul>
<p>Activity 2.4:</p>	<p>Prepare specifications for local resource assessment and landownership mapping tools and support services</p>	<p>Technical Report 2 describes the proposed technical specifications and information mobilization processes with reference to the available technology, comprising:</p> <ul style="list-style-type: none"> <li>• <u>Data management system</u> which uses a web-based platform to facilitate the dissemination of data, maps and summary documents.</li> <li>• <u>Smart phone and tablet devices</u> with an Android operating system and the capacity to store data. The ideal device would be rugged (e.g. shock and water resistant) with a long battery life, excellent GPS reception (even under forest canopy), and a large screen size with good screen resolution and clarity.</li> <li>• <u>Open source software</u> which is freely available, regularly updated and can be downloaded from the internet. Open Data Kit (ODK) was selected as the best suited data collection software for several reasons. ODK has customizable data collection prompts that support different forms of data capture such as text or number entry, multiple choices questions, GPS coordinates, images, audio and video. ODK also allows for multi-language data collection. Additional benefits include efficient data entry and convenient data export options (online and offline), such as KML (Google Earth compatible) and Excel formats.</li> </ul>

**Table 3:** Planned versus realised performance under Output 3

Planned Performance		Realised Performance
<b>Output 3:</b>	National CFM / REDD platform is designed for acquiring and utilising land ownership and forest resource data at all levels	Project partners and key stakeholders have prepared an agreed framework for the full-project proposal, comprising a data management system and web-based platform with 6 user groups, 5 technical components and 3 data access levels.
Activity 3.1:	Assess existing CFM / REDD networks, activities, resources relevant literature / tools	<p>The web-based organization review identified government and non-governmental institutions as well as multi-institution initiatives that address CFM, PES, REDD+ or other aspects of forest conservation. This contact list has been consolidated with the project's email list to foster an inclusive dialogue for project development, and at a later stage, project expansion.</p> <p>The literature review targeted resources that help contextualize the project amongst broader forest conservation initiatives and resources that could improve project implementation or expose project partners to CFM or REDD components that they may not yet address. Over 150 articles, reports and guides that address CFM and REDD were gathered and documented in two stages. Many of these resources (excluding books) are now available to the project partners and other stakeholders through this project's <i>DropBox</i> folder.</p>
Activity 3.2:	Identify objectives, requirements and options for acquiring and utilising land ownership and forest resource data in PNG	Refer Activity 2.2
Activity 3.3:	Select best strategy for acquiring and utilising land ownership and forest resource data with customary landowners, national partners and international players	Refer Activity 2.3
Activity 3.4:	Prepare specifications for landownership and forest resource data acquisition and utilisation tools and support services	Refer Activity 2.4

## **5. Project Outcome and Target Beneficiaries Involvement**

During day two of the 3-day planning workshop, project partners and key stakeholders assembled problem and objective trees with reference to the findings from Technical Reports 1 and 2; leading to the identification of the following specific objective for the full-project proposal:

- A model community-based land ownership mapping and forest resource assessment system is established that supports CFM schemes (including PES and REDD+) and increases landowner understanding about the goods and services that forests provide.

Project partners and key stakeholders also identified the following outputs for the full-project proposal:

- Participatory data collection technology is improving CFM practices at community, district and provincial levels.
- Clan groups are participating appropriately in the National Land Development Program.
- A data management system is engaging landowners in feasible CFM schemes (including PES and REDD+).
- Policy and planning guidelines for CFM are in place.

The project will be managed by the PNG Forest Authority at the national level; working in collaboration with the project's selected CFM partners at the local level. This arrangement has the potential for ongoing replication through other local partners and their target landowner groups in the future.

## **6. Project Sustainability**

The full-project proposal's exit-strategy takes into account the financial, technical, social, economic, institutional and political aspects of the project, including:

- Using appropriate technology that is easy to access, operate and maintain / replace.
- Integrating the web-based platform with existing national forest management systems and projects.
- Using a phased approach that suits each participating landowner group and builds landowner capacity to become as autonomous as possible over time.
- Encouraging dialogue between all project partners (including registered markets for environmental goods and services) during the design, testing, implementation and monitoring phases.
- Providing training materials and on-site training sessions for local, provincial and international users.
- Encouraging political representatives at local, provincial and national levels to play an active role in the development of PNG's policy and planning guidelines for CFM.

## **7. Assessment and Analysis**

The pre-project's preliminary problem identification findings (see Section 2, page 5) are sound. The full-project planning workshop also identified the need to focus on strategies that enhance landowner awareness of the goods and services that forests provide, as well as technical capacity. Inadequate policies, strategies and plans for promoting and supporting community forest management were also found to be an additional cause of the key problem.

The pre-project's implementing strategy (see table 4, page 6) has helped to secure the long-term commitment and ownership of the project's three target groups, namely: (i) the customary landowners of the selected demonstration sites; (ii) the selected local CFM partners, and (iii) the PNG Forest Authority. The Sustainable Livelihoods Framework has also facilitated the design of a holistic, people-centred intervention that complements the UNFCCC objectives to minimize poverty and enhance livelihoods of rural communities. The Project Management Team also helped to secure the engagement of key personnel from the PNG Forest Authority and the Office for Climate Change and Development, and has therefore been incorporated into the full-project's organisational structure, together with a Technical Committee of key stakeholder representatives.

Overall, the pre-project has been implemented as planned using the available resources (see Annex 1, page 14). The PNG Forest Authority contributed some additional funds for duty travel to and from the different project locations; highlighting the need to outsource field activities to the selected local CFM partners during the full-project implementation phase. Each collaborating partner will be sub-contracted to the full-project project with reference to a memorandum of understanding that will be finalised prior to project implementation.

## **8. Lessons Learned**

The pre-project has confirmed that a CFM framework is needed that engages customary landowners at the local level, as well as enhances the capacity of government institutions at the national level. The full-project incorporates the lessons that were discussed during the pre-project, including:

- Climate change / REDD+ interventions involves complex, cross-sectoral issues which require multi-stakeholder inputs at all levels (from national to local)
- Governance issues should not be overlooked. In PNG, government processes are often fast-tracked and proper technical appraisal side-lined. Independent technical bodies are needed to guide the development of government policies and strategies.
- Policies, strategies, frameworks, programs and projects should (i) be based on a common foundation to ensure cost-effective, successful outcomes, (ii) focus on priority issues & cost-effective actions (to attract donor support), (iii) tackle local level constraints, and involve departments responsible for empowering landowners (e.g. Department of Lands).
- In any REDD+ project, the Free, Prior and Informed Consent (FPIC) process is key. This process will ensure full participation of communities (thus landowners) at all stages of the project cycle. FPIC is an ongoing process that leads to (changing) outcomes all through. This is an actual and true necessity that is central in all activities UN-REDD is undertaking and actively promoted as pre-requisite to any REDD+ project or programme. Hence, there is no question if land owners (and in fact the entire community) need to be central actors in REDD+ design and implementation - they must be.
- Need to compile existing lessons from the implementation of clan-based forest management / natural resource management initiatives in the country in order to facilitate the effective design and implementation of REDD+ policies and activities.

- Resource assessment and mapping systems should complement (not duplicate) one another. Communication strategies (messages, channels and tools) should also be shared.
- Overseas initiatives and activities are useful, but financial support is most needed by local agencies operating at the implementation level (i.e. on the ground).
- Non-government organisations are taking the lead in REDD+ programs and projects. However, they should align their activities with the PNG government's climate change policy, strategies & frameworks, and also keep communicating closely with the relevant government agencies (e.g. OCCD and PNGFA) so that all interventions are moving in same direction (some slower than others).

## 9. Conclusions

The pre-project has enabled the PNG Forest Authority to formulate a full-project proposal that tackles key CFM issues in a cost-effective and sustainable manner. The pre-project implementation strategy has secured the commitment of its four principle beneficiaries, who are expected to receive the following benefits upon completion of the full-project:

- **Selected landowner groups** will participate in the design, testing, implementation and monitoring of data collection tools with support from their local CFM partners, as well as ongoing training and awareness services; leading to: (i) increased understanding about the goods and services their forests provide, (ii) increased capacity to participate in feasible CFM schemes, (iii) improved forest management practices and security over their resources in the long-term, and (iv) formalized landownership arrangements as and when required.
- **Selected local CFM partners** will participate in the design, testing, implementation and monitoring of the CFM data management system with their target landowner groups; leading to: (i) improved forest management practices and long-term resource security in their target areas, and (ii) increased access to CFM tools, services and opportunities.
- **The PNG Forest Authority** will supervise the establishment of the CFM data management system, operate the national web-based platform, and coordinate the development of policy and planning guidelines for CFM; leading to: (i) improved coordination with other government agencies responsible for CFM activities, and (ii) increased information flows from the forest that will support policy implementation, including forest planning processes.
- **Registered private sector markets for environmental goods and services** will participate in the design of the CFM data management system; leading to improved access to information and networks on landownership and forest resources in PNG.

**Annex 1. Project Financial Statement**

**Annex 2. Project Cash Flow Statement**

### **Annex 3. Technical Reports**

Technical Report 1: *Site selection, landownership mapping and baseline data collection.*

Technical Report 2: *Strategy selection findings and technical specifications for the full-project proposal.*

PowerPoint Slides: *Agreed framework for the full-project proposal.*