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PROGRAMME



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# UN-REDD Papua New Guinea National Programme Terminal Evaluation

## Final Report

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UN-REDD Programme

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August 2017

**Acknowledgement**

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# Acronyms

CCDA	Climate Change and Development Authority
COP	Conference of the Parties
CSO	Civil Society Organizations
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FLEGT	Forest Law Enforcement, Governance and Trade (An EU action to combat illegal timber harvest and trade)
GHG	Green House Gas
GoPNG	Government of Papua New Guinea
REL/RL	Reference Emission Level/Reference Level
GIS	Geographic Information System
INDC	Intended nationally Determined Contribution
NDC	National Determined Contribution
IP	Implementing Partner
IPCC	Intergovernmental Panel on Climate Change
JICA	Japan International Cooperation Agency
MRV	Monitoring, Reporting, and Verification
NFI	National Forest Inventory
NFMS	National Forest Monitoring System
NGO	Non-Governmental Organization
NRS	National REDD Strategy
PD	Programme Document
PEB	Programme Executive Board
PMU	Programme Management Unit
PNG	Papua New Guinea
PNGFA	Papua New Guinea Forest Authority
REDD+	Reduction of Emissions from Deforestation and forest Degradation plus conservation, sustainable forest management and enhancement of carbon stocks
REL	Reference Emission Level (also called the REDD+ Baseline or Reference Scenario)
SIS	Safeguards Information System
SLMS	Satellite Land Monitoring System
TWG	Technical Working Group
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations REDD+ initiative
USD	United States Dollar

# Executive Summary

## Background

1. This report presents the findings of the final evaluation of the Papua New Guinea UN-REDD National Programme (NP) which was approved in 2011 and the first funds transferred also in June 2011. The UN-REDD Programme is the United Nations (UN) collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.
2. The NP was among nine pilot countries under the UN-REDD “Quick Start” initiative and was implemented in the context of the UN-REDD Programme 2011-2015 Strategy which focused on six work areas (MRV and monitoring; National REDD+ governance; Stakeholder engagement; Multiple benefits; Transparent, equitable and accountable management, and sector transformation). The NP funding total was USD 6.4 million but the REDD+ readiness process in PNG has been co-funded by other development partners notably the EU, JICA, and the World Bank’s Forest Carbon Partnership Facility (FCPF).

Table 1-1: NP Timeline and budget expenditure

Project Timeline			
Programme Duration	5 years 9 months	No-Cost Extension	Yes
NPD Signature Date	16 <sup>th</sup> June 2011	End Date	31 <sup>st</sup> March 2017
Date of First Fund Transfer <sup>1</sup>	23 <sup>rd</sup> June 2011	Mid-term Review	No
Original End Date <sup>2</sup>	31 <sup>st</sup> December 2013	Mid-term Review Date	N.A.

Financial Summary (USD) <sup>3</sup>			
UN Agency	Approved Budget <sup>4</sup>	Amount Transferred <sup>5</sup>	Cumulative Expenditures up to 31 March 2017 <sup>6</sup>
FAO	4,225,000	4,225,000	4,225,000
UNDP	1,595,920	1,595,920	1,595,920
UNEP	100,000	100,000	99,999
Indirect Support Cost (7%)	414,464	414,464	404,408
Total	6,335,384	6,335,384	6,325,327

1 As reflected on the MPTF Office Gateway <http://mptf.undp.org>.

2 The original end date as stated in the NPD.

3 The financial information reported should include indirect costs, M&E and other associated costs. The information on expenditure is unofficial. Official certified financial information is provided by the HQ of the Participating UN Organizations by 30 April and can be accessed on the MPTF Office GATEWAY (<http://mptf.undp.org/factsheet/fund/CCF00>).

4 The total budget for the entire duration of the Programme as specified in the signed Submission Form and NPD.

5 Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund.

6 The sum of commitments and disbursement

3. The NP was planned to be completed by December 2013, but three no-cost extensions were necessary for eventual completion in March 2017. The then Office of Climate Change and Development (OCCD) (now Climate Change and Development Authority (CCDA) and the PNG Forest Authority (PNGFA) were the implementing partners supported by the three UN Agencies (the Food and Agriculture Organization (FAO), the United Nations Development Programme (UNDP), and the United Nations Environmental Programme (UNEP)). In addition, the NP was co-funded by the European Commission (focusing on the National Forest Inventory).
4. The NP was designed to achieve five outcomes: 1) to establish REDD+ readiness arrangements; 2) develop a National MRV System; 3) support establishment of REL/RL; 4) support monitoring of abatement concepts (GHG mitigation measures broadly covering regulatory policies, measures, and incentives); 5) engage stakeholders in the REDD+ readiness process. These outcomes form a suite of actions necessary for REDD+ Readiness. While NPs will differ from country to country, for PNG, the outcomes appropriately reflect the national circumstances with regards to addressing GHG emissions from the forest sector while aiming to contribute to the country's economic development agenda.
5. PNG's has very low levels of national greenhouse gas (GHG) emissions, equating to less than a 0.1% of global emissions when the agriculture forestry and other land use sectors discounted. But then the country's FRL indicate that emissions from forestry sector could be three times that of those from the energy sector including LNG and natural gas production. Having forest covering 77.8% of the country, there are significant challenges to retain this level of forest cover. Noting that the impact of both economic development, population growth and the identified drivers of deforestation could result in a 7-8% decline in forest cover by 2030, strategic transformational interventions are necessary. The NP, and the co-finance from the EU and now the FCPF additional funding has laid the necessary foundation for the government to move forward with practical REDD+ action plans along with other mitigation measures outlined in the NDC.

### *Achievements*

6. It is important to recognize how REDD+, with its complexity has been significantly instrumental in shaping the global discourse on reducing GHG emissions from the land use and forestry sector. More importantly, there is widespread recognition that reducing emissions requires a multipronged and multi-sector approach underpinned by strong institutional environmental. It is now clear that setting up the essential structure for effective emissions reductions is complex, and certainly takes more than the three-year design of UN-REDD NPs.
7. The NP has been beneficial to the Government of Papua New Guinea (GoPNG) hence its relevance is unquestionable and because of the focused design with a small list but strategic set of outcomes, it has been relatively effective in many areas. It has contributed to the setting up of REDD+ institutional arrangements, design and advancement of the national MRV system, and substantial capacity building. The National Forest Inventory (NFI) and Satellite Land Monitoring system are in place as a result of the contribution of the NP and also the co-funding from the EU and additional support from JICA and FCPF. The data from the NP has formed the basis for the preparation of the country's FRL submitted to the UNFCCC in January 2017. The analytical work on drivers of deforestation and national circumstances has enabled the government to prepare its National REDD+ Strategy.
8. REDD+ is well supported by the government and treated as a goal to be achieved as part of PNG's approach to sustainable and responsible development by creating the enabling conditions for actions by government, civil society and the private sector. More importantly, the objective will be to mainstream the concepts and goals of REDD+ across sectors and developing policies and measures that drive actions at the national, provincial and local level to reduce emissions and enhance PNG's forests. The GoPNG has further outlined its approach to REDD+ and the NP can be credited for stimulating the national debate to come up with action plans.



9. The GoPNG has been on the forefront of global discourse on efforts to reduce deforestation and forest degradation in tropical rainforest countries. The approach that GoPNG has taken to develop its national REDD+ framework through the analytical work supported by the NP has proved to be wise and effective. The GoPNG has been able to prioritize its target actions for REDD+ based on the challenges and risks. The most significant challenge for PNG is to find a middle path for implementing its goals for REDD+ while fulfilling the social and economic needs of its mostly rural population who also hold the customary right to 97% of all land in the country. Enabled by the NP financial support, the GoPNG has prepared a National REDD+ Strategy (NRS) that recognizes the risks, the potential benefits (both social and economic), key actors, and the financial and policy commitments required across sectors.
10. These achievements have been accomplished through a reasonably collaborative approach between the PNG government and the UN agencies. There are significant and demonstrable improvements in coordination and collaboration between government institutions, especially CCDA and PNGFA on matters relating to forestry and climate change with both institutions acknowledging that the NP has enabled better understanding of institutional roles and responsibilities. This has come about as a result of the increased necessity for regular operational and policy dialogue with the wider REDD+ stakeholders. There are still opportunities for refining and improving institutional and sectorial coordination at the policy level and this is one of the goals of the NRS recently endorsed by the government.
11. In terms of aspects where more could have been achieved, it is the view of this evaluation that in the context of the NP, Outcome 4 was perhaps included prematurely. There was an intention to support piloting abatement levers, including implementation in pilot areas. However, this would have required specific engagement with target resource and concession owners for instance. This would have been contrary to the prioritization advocated by the PNG government (i.e. prioritizing understanding the implications and opportunities of REDD+ before engaging with communities). This review takes the view that supporting and monitoring GHG emissions reduction would have only been practical with a complete national REDD+ framework with clear action plans. At the time of this review, the development of REDD+ Actions was still work in progress following the completion of the NRS. Likewise, stakeholder engagement was also work in progress with community level consultation yet to be conducted nationally. However, this review recognizes that Outcome 4 it is an important and relevant component that is expected to be fulfilled under the FCPF supported work.

### *Capacity Building and Sustainability*

12. Both PNGFA and CCDA's capacities for forestry and climate change reporting have been boosted by the development of the NFI and land use and land cover data produced through Collect Earth and TerraPNG. It places PNG in the enviable position of being able to now move forward and formulate REDD+ Actions Plans based on good quality verified data.
13. The NP supported the setting of well-equipped GIS laboratories as well as supporting technical training of staff in remote sensing data processing and interpretation. The NP, along with the co-funding from the EU and FCPF Readiness Grant And additional Funding, has been instrumental in improving the country's capacity and its environmental and forestry sector policies as part of economic transformation and climate change response.
14. The one key issue observed in this evaluation is that the management arrangements are confined to just two government institutions and level of intersectoral participation is still limited. Institutions representing key sectors such as Land, Finance, Agriculture, and Economic Planning have had limited involvement across the 5 Outcomes. As the country moves forward towards participating in results-based payments, sectoral roles and responsibilities beyond CCDA and PNGFA will need to be recognized (financially, administratively, and politically) in order to ensure success of ensuing policies. While the NRS highlights intentions to involve a wide range of departments, it will be necessary to be

explicit about operational and functional capacity needs and how such needs will be addressed under REDD+ implementation.

15. The investment made by the NP, the EU, JICA and other partners to develop all the data perhaps needs to be viewed in the best interest of the whole-of-government. There is currently some reluctance to freely open and reduce the level of bureaucracy in accessing and sharing data between PNGFA and CCDA. This is understandable and it will take additional effort to establish a common understanding on institutional data needs, maintenance, updating and privacy. These aspects seem to have been discussed but the dialogue between PNGFA and CCDA needs to continue and ensure roles and responsibilities, data user rights and restrictions are clear. PNG is a signatory to a number of international conventions including the UNFCCC hence the it is important that there is easier access to environmental data and reporting is consistent. It is the view of this evaluation that keeping the two systems (TerraPNG and Collect Earth) separate is unsustainable.
16. Looking forward, the combined experience of implementing the NP, JICA, FCPF and EU supported programmes has prepared the GoPNG and national institutions for future participation in emission reduction programmes under results-based payments. The NP employed multiple strategies to build capacity – training of trainers, providing access to global knowledge products and attending international forums for knowledge sharing, creating platforms for presentation of progress and results and supporting analytical studies that inform policy. Thus, the capacity of relevant national institutions and some stakeholders is stronger to some extent because of the NP. A significant opportunity now exists for the GoPNG to continue this momentum through further engagement at the local level.
17. The UN agencies capacity development strategy is imbedded in the programme design and based on the assumption that national institutions will take ownership of the process and outputs post-programme implementation. There is clear ownership of the REDD+ readiness process and appreciation of the investment through NP but there are concerns about sustainability. To increase sustainability, capacity building now needs to go beyond individuals and link the leadership and institutions that the individuals concerned are accountable for. Capacity building should now focus on functional capacities to engage with stakeholders, to assess a situation and define a vision and mandate, to formulate policies and strategies, to manage, budget and implement, and to evaluate as is the intention of the National REDD+ Strategy (NRS). For sure the NRS sets the vision and REDD+ strategic objectives, but the GoPNG could accelerate its capacity-building process by continuing to strengthen and upscaling the foundation laid by the NP. Some refinements to institutional functions with regards to ongoing data collection, management, custodianship and reporting would strengthen the future capacity for maintaining the MRV systems and its sub-components (NFI, SLMS, GIS and remote sensing tools).

## **IMPACT**

18. The NP has achieved an important intermediate impact with the recent endorsement of a National REDD+ Strategy that reflects the results of the combined support of the NP and other development partners. The GoPNG is now ready and prepared to engage in meaningful dialogue with its highly diverse rural population to chart a way forward for meeting REDD+ goals while addressing pressing social and economic development issues to reduce poverty. It is likely that the outputs from the NP could have a far more reaching impact if the strategy options could be operationalised along with other climate change adaptation and mitigation efforts.
19. REDD+ interventions will lead to socio-economic changes that may affect peoples' lives, either positively or negatively, but the overall impact may well depend on the economic viability of REDD+ interventions (strategy options). The NP, by its design, is a preparatory phase towards results-based payments and broader climate-smart investment by both the public and private sector. The incentive

schemes are starting to become clearer, therefore it now depends on the commitment of the country governments to position themselves in attracting climate finance.

20. The NP team prepared a summary of REDD+ Readiness on the basis of the Warsaw Framework (2013). This evaluation agrees in general terms with the status of PNG's REDD+ Readiness. The PNG NP has provided some very useful lessons especially in establishing the MRV system. Neighbouring Pacific Island countries could benefit from sharing such lessons.

## Recommendations

### Recommendations Summary

#### *For the UN-REDD agencies with regards to programme design*

**RECOMMENDATION 1: Extend the programme timeframe** - As with evaluations in other REDD+ countries, this evaluation recommends increasing the programme period from say 3 to 3.5 years considering that the 3-year period has so far proved too short for most REDD+ countries. The additional 6 months should be used as an inception phase to allow for design adjustments, and recruitment of relevant staff.

**RECOMMENDATION 2: Improve inter-agency coordination** – the UN agencies have sometimes appeared to work separately which causes some additional administrative burden on national institutions. As much as possible, national institutions seem to prefer to work with one team representing the UN agencies.

**RECOMMENDATION 3: Ensure gender aspects are included in NP design** – while this evaluation has excluded assessing gender issues, gender mainstreaming is an important component of climate change response programmes therefore it is necessary at each stage to consider ways to ensure gender balance in programme implementation – specifically encouraging the participation of women. This will be particularly important at the community level.

#### *For consideration by the Government of the Papua New Guinea*

**RECOMMENDATION 4: Consider merging the GIS/RS laboratories** – considerations need to be made on whether it is economic to maintain two separate labs and datasets at CCDA and PNGFA. It is likely to be costly to maintain the infrastructure and staff. In making these considerations, PNGFA and CCDA are also encouraged to continue dialogue on refining modalities for data sharing, privacy and use policies. It is the view of this evaluation that the more widely the data is used, the more likely the quality will improve as user provide feedback. Likewise, policy-makers will be coherent in decision-making (the notion of evidence-based policy).

**RECOMMENDATION 5: Consider options to retain project staff** - Project staff are currently on terminal contracts only for the duration of the projects/programme. As part of capacity retention, considerations could be made to retain staff on departmental permanent staff roster.

## Summary of Evaluation of Programme Performance<sup>7</sup>


Criterion	Rating	Summary Assessment
<b>Concept and relevance of the NP</b>		
Design	HS	The concept and design is satisfactory and strategic in the context of national circumstances. Design factors that affected implementation of the NP relate mainly to the allocated timeframe. A 3-year timeframe was inadequate. The NP required 3 no-cost extensions to be completed. These extensions reflect the national circumstances that affected the implementation such as political instability and to some degree also reflect the realities that most national REDD+ programmes have faced in different countries. However, the flexibility to allow the extensions reflects the commitment of both the GoPNG and the UN agencies.
Relevance	R	The concept and design is relevant and strategic in the context of national circumstances
<b>Results and contribution to stated objectives</b>		
Delivery of Outputs	S	The overall delivery of outputs is satisfactory and the results are of high quality.
Effectiveness	HS	Despite the delays, the delivery of the NP outputs was highly effective. The GoPNG recognizes the contribution of the NP to the overall climate change response strategy. The NP has contributed to the sustainable natural resource management agenda.
Efficiency	MS	The NP had 3 no-cost extensions but mostly attributable to the 2012 political situation which was beyond the control of NP. However, there was also significant delays in recruiting international staff which further caused delays and affected efficiency in execution of the NP workplans. On the part of UN agencies, delivery by three agencies shows varying degrees of efficiency largely in the decision-making and procurement process
Cross-cutting issues:		
Gender	NA	The NP was designed in the context of other support programmes (FCPF) where gender aspects are well considered. Since the ToRs require this aspect to be evaluated, this evaluation only provides a recommendation to include gender aspects.
Capacity Development	S	The NP supported substantial capacity development through financing of TerraPNG, Collect Earth as well as technical training.
Normative Products	MS	The overall delivery of outputs is satisfactory.
Sustainability	L	The likelihood for sustainability is high but there are risks that need to be addressed with regards to TerraPNG and Collect Earth. Keeping the two systems separate is unsustainable
Up-scaling	L	The NP has established multiple opportunities for up-scaling beyond REDD+. Opportunities that exist include focusing on driving private sector investment in deforestation free supply chains and low emissions land management, through a combination of incubator/accelerators for green enterprises, improved environmental, social and governance standards and green landscapes well in line with the FLEGT support from the EU. The focus could also be on a few selected high biodiversity and high carbon-

<sup>7</sup> **Agency coordination and implementation; outcomes; overall programme results:** Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

**Sustainability:** Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).

**Relevance:** relevant (R) or not relevant (NR).

**Impact:** Significant (S), Minimal (M), Negligible (N).

Criterion	Rating	Summary Assessment
		intensive landscape under pressure from the identified drivers and agents of deforestation and forest degradation to support the Forest Policy and investment plans. It is anticipated that these opportunities will be explored during the development of REDD+ action plans following the completion of the NRS
Likelihood of Impact	S	The concept and design is relevant and strategic in the context of national circumstances. There is a greater likelihood for impact from the NP as it is already demonstrating important lessons.
<b>Factors affecting performance</b>		
Programme management and coordination	MS	Programme management improved as the NP implementation progressed.
Human and financial resources administration	MS	The delayed recruitment and change of the international advisors during implementation may have contributed to the need for no-cost extension. In accordance with the financial information reported and included in this evaluation, all funds were fully utilised.
Technical backstopping and supervision	S	Adequate technical backstopping was provided from UN Regional Offices in Bangkok particularly for all three UN agencies. While FAO and UNDP had technical staff in the country, UNEP is a non-resident agency and works directly with the country's implementing agency. The observation in this evaluation is that the direct supervision and contact between UN agency and national staff improved collaboration and coordination. It is an approach that could benefit all three UN-REDD agencies but of course needs to be reflected in the budget allocation.
Government participation and ownership	HS	The level of government participation in the NP is satisfactory with demonstrable leadership and ownership from both CCDA and PNGFA
Monitoring, reporting and evaluation	S	The monitoring and reporting was carried according to agreed standards. Detailed annual reports were produced while monthly financial reports were also prepared.
<b>Overall Programme Performance</b>	<b>S</b>	

# PART 1. INTRODUCTION

## 1 CONTEXT OF THE NATIONAL PROGRAMME

21. This report is the draft of the evaluation of the Papua New Guinea UN-REDD National Programme (NP).
22. The UN-REDD Programme is the United Nations (UN) collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.
23. The NP was approved in June 2011 but implementation did not start until 2013. The NP was planned to be completed by December 2013, but had three no-cost extensions for completion, ending in March 2017. The then Office of Climate Change and Development (OCCD) (now Climate Change and Development Authority (CCDA) and the PNG Forest Authority (PNGFA) were the implementing partners and three UN Agencies were involved, namely the Food and Agriculture Organization (FAO), the United Nations Development Programme (UNDP), and the United Nations Environmental Programme (UNEP). In addition, the NP was co-funded by the European Commission (focusing on the National Forest Inventory).
24. It can be noted that the NP required three no-cost extensions to be completed. These extensions reflect the national circumstances that affected the implementation and to some degree also reflect the realities that most national REDD+ programmes have faced in different countries.

Table 1-1: PNG UN-REDD National Programme Outline

<b>Programme title:</b>	UN-REDD PNG National Programme		
<b>Programme Objectives:</b>	This National Programme will be one important element of an integrated REDD+ readiness strategy and contribute to preparing PNG for a REDD+ mechanism. The programme's objective is to ensure that PNG has an operational Measurement, Reporting and Verification system that enables the country's participation in international REDD+ systems to protect its environmental resources and contribute to sustainable livelihood practices of rural communities.		
<b>Approval date:</b>	18.03.2010	<b>Fund transfer date:</b>	1 <sup>st</sup> Tranche: April 2012 2 <sup>nd</sup> Tranche: November 2015 3 <sup>rd</sup> Tranche: October 2016
<b>Completion date:</b>	31.03.2017	<b>Non-cost extension date:</b>	1 <sup>st</sup> No-cost extension: 23 Jan 2014 2 <sup>nd</sup> No-cost extension: 6 Nov 2015 3 <sup>rd</sup> No-cost extension: March 2017

25. PNG has played an important role and is credited for introducing the concept of REDD+ into international negotiations. Domestically, the GoPNG set a Vision 2050 prioritizing low-carbon economic development, aiming to increase per capita GDP by a factor of three by 2030, while maintaining an aspirational goal of net carbon neutrality by 2050.
26. The proposal for the NP outlines that the country would incorporate REDD+ activities into national development planning; sectoral policies and initiatives will have to be reviewed to ensure they are climate-compatible and that;

- Further research and analysis will be required in some areas, such as developing a comprehensive greenhouse gas inventory.
  - REDD+ activities will require the development of new capacities in the institutions involved.
  - Pilot programs will be required to enhance the knowledge base, identify the most effective institutional arrangements, test the new policies and build capacity.
  - A large-scale consultation exercise will need to be launched to involve local communities and landowners in critical elements of the strategy, especially arrangements for benefit sharing.
27. In 2008, the GoPNG established the Office of Climate Change and Development (OCCD) to coordinate action against climate change. The OCCD was intended to support the whole-of-government National Climate Change Committee in steering climate change policy. As noted earlier, the OCCD has since become the Climate Change and Development Authority.
28. As with other REDD+ countries, the interventions of the NP were expected to lay the foundation for REDD+ in country focusing on the establishment of Readiness management arrangements, development of a national MRV system, establishment of REL/RL, monitoring of abatement concepts, and engagement of all relevant stakeholders in the REDD+ readiness process. The design of the NP reflects these expectations and it is discussed in detail in Section 3. The next section briefly outlines that evaluation process and approach.



## 2 THE EVALUATION

### 2.1 Purpose of the Evaluation

29. The scope of the evaluation is the Papua New Guinea UN-REDD National Programme (NP) and its outputs. The programme was delivered from the time of inception in June 2011, until the time of closure in March 2017. The evaluation is based on data and information available at the time of evaluation.
30. The purpose of the evaluation is to assess (i) Programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impacts from the programme. The evaluation has the following objectives:
- To provide evidence of results to meet accountability requirements.
  - To assess the status of REDD+ readiness in PNG, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's possible roles in the future REDD+ process in the country.
  - To promote learning, feedback and knowledge sharing through results and lessons learned among the participating UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.
  - Identify key building blocks that have successfully brought about the desired outcomes.
31. The primary audience for the evaluation is the Government of PNG, the three participating UN Organizations of the UN-REDD Programme (i.e. FAO, UNDP and UNEP) and the implementing partners and responsible parties (i.e. CCDA and PNGFA). The secondary audience for the evaluation is the UN-REDD Policy Board and national REDD+ stakeholders such as development partners, co-funding partners such as the EU and JICA and other national and sub-national level stakeholders. The evaluation will also be made available to the public through the UN-REDD Programme website ([www.un-redd.org](http://www.un-redd.org)).

### 2.2 Methodology of the Evaluation

32. The basis for the evaluation framework is a series of tailored questions, judgement criteria and indicators against the Organisation for Economic Co-operation and Development (OECD) Development Assistance Criteria (DAC). These cover the following five thematic areas:
- **Relevance:** the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Strategic Framework 2016-2020<sup>8</sup> (or the UN-REDD Programme Framework Document<sup>9</sup> for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance *vis-à-vis* other REDD+ or REDD+-related programmes

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<sup>8</sup> The UN-REDD Strategic Framework 2016-2020 is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)

<sup>9</sup> The UN-REDD Programme Framework Document is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

- **Effectiveness:** measures the extent to which the National Programme’s intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved.
- **Efficiency:** measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
- **Sustainability:** analyses the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
- **Impact:** measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and impact on people’s lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the Programme intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

33. The evaluation framework constituted the main instrument for data collection. However, the framework is also treated as a guide because it evolved during delivery of the assignment. The Evaluator analysed the project log frame to determine project design appropriateness and link to outcomes.
34. The evaluation consisted of an inception phase followed by a field mission, documentation review, drafting the report and seeking feedback prior to preparing the final report. [Table 2-1](#) outlines the evaluation process.

Table 2-1: Summary of Phases and Timeframe for the Evaluation

<b>Activity</b>	<b>Timing</b>
<i>Inception phase:</i> Draft inception report delivered Call for comments on inception report	<i>25 to 30 April 2017</i>
<i>Evaluation Phase:</i> Desk review Presentation of Inception Report Field Mission Presentation of Preliminary Findings	<i>30 April – 11 May 2017</i>
<i>Reporting phase:</i> Analysis Draft final report delivered Review of draft final report Final report delivered	<i>15 May - 25 June 2017</i>  <i>30 May 2017</i> <i>Up to 2 weeks</i> <i>25 June 2017</i>
<i>Presentation of evaluation results</i>	<i>TBA</i>

35. The Evaluator interviewed staff in the UN agencies, government officials, ministry staff and NGOs. In addition, the ET evaluated key documents e.g. programme documents, annual work plans, and held consultative meetings with the client throughout the process of the review. Annex 4 contains a list of interviewees.

## PART 2. MAIN FINDINGS OF THE EVALUATION

### 3 CONCEPT AND RELEVANCE

#### 3.1 Design

Table 3-1: Ratings for Programme Design

Outcome	Rating
<b>Overall Rating for Design</b>	<b>HS</b>
Outcome 1	S
Outcome 2	HS
Outcome 3	HS
Outcome 4	HS
Outcome 5	S

36. The NP was designed to achieve five outcomes: 1) to establish REDD+ readiness arrangements; 2) develop a National MRV System; 3) support establishment of REL/RL; 4) support monitoring of abatement concepts; 5) and engage stakeholders in the REDD+ readiness process. These outcomes form a suite of actions necessary for REDD+ Readiness. While NPs will differ from country to country, for PNG, the outcomes appropriately reflect the national circumstances with regards to addressing GHG emissions from the forest sector while aiming to contribute to the country's economic development agenda.
37. The GoPNG identified REDD+ as a key opportunity for addressing threats to its forest resources. The NP was designed in the context of very compelling national circumstances and sector specific challenges linked to poverty alleviation and sustainable natural resource management. In the first instance, GoPNG was instrumental in the initiation of REDD+ global discourse. REDD+ was first introduced into the COP by PNG and Costa Rica at COP-11 in 2005, leading to COP-13 decision 2/CP.13 in Bali in December 2007. PNG contributed various ideas for stimulating action in submissions to the UNFCCC's Subsidiary Body for Scientific and Technological Advice (SBSTA) in addition to playing leadership role in the Coalition for Rainforest Nations.
38. Recognizing the data and information deficiencies, the NP placed strong emphasis on enhancing PNG's capacity and technical infrastructure to effectively measure, report and verify changes in net GHG emissions from activities related to REDD+. This is an important design aspect of the NP as it recognized the shortcomings in the ability of the country to effectively reflect the extent, quantity and quality of its natural resource base. Reviews from other REDD+ countries have demonstrated some weakness in NP designs specifically regarding the prioritization of activities. The PNG NP uniquely prioritized supporting the development of the MRV system, institutional arrangements, and stakeholder engagement. This has paid off because the country is now able to engage the stakeholders based on accurate and up-to-date information.
39. It is well documented that PNG retains some of the most significant and intact areas of tropical rainforest in the world. At the time of preparing the NP proposal, the forest authorities estimated that approximately 60 percent of the total area of the country was covered by natural forests, of which 52% was considered *production forests* (for timber and other products), and 48% are for conservation (not for timber extraction due to inaccessibility or ecological constraints). At the time, there were significant concerns and uncertainty about the accuracy of these estimates due to lack of verifiable data. The forest cover figure has since been revised with improved mapping and inventory and now stands at 77.8%. PNG's forests are also highly diverse, including 14 distinct forest types, with carbon-rich low altitude tropical forest constituting over 50% of forest area.

40. The country has a rich and unique cultural and ethnic diversity, with some 830 languages spoken by a population distributed over the mainland and the many islands. The population is forecasted to grow to more than 11 million by 2050. Over 85% of the nation's 7.3 million population is based in rural areas and rely primarily on subsistence agriculture for survival. They have limited access to health centers, education or broader development opportunities. Rural infrastructure is limited, with development and maintenance hampered by the rugged terrain and difficult climatic conditions, with seasonal rains often causing flooding and landslips.
41. While large areas of forest remain, ongoing deforestation and forest degradation has resulted in the country losing nearly half of its area of primary forest since 1990. This deforestation and degradation is from a range of impacts including commercial logging, clearance of land for agricultural commodities, mining and meeting the livelihood needs of the country's largely rural population.
42. At the output level, the UN agencies supported implementation in accordance with the area of expertise of each agency. FAO supported MRV, UNDP supported Stakeholder Engagement and development of the NRS (continued under FCPF), and UNEP was expected to support understanding of safeguards among key stakeholders and preparation of guidelines on social and environmental safeguards. However, the budget allocation across the support areas for each UN agencies reflect the strong emphasis on MRV components. Direct and indirect cost allocation in the NP budget shows that up to 71% was allocated to components supported by FAO, 27% to UNDP, and just over 2% to UNEP. This allocation reflects a rather limited role for UNEP hence it also reflects limited development of the national social and environmental safeguards and assessment of multiple benefits at least at the national level.
43. The NP has achieved results that are important for enabling the country to adequately participate in REDD+ results-based payments while prioritizing the livelihoods of the community but more effort is necessary at the sub-national level. PNG has a high level of customary land ownership (over 97% of the country's land area). This is considered critical to the social and cultural fabric and provides a key economic and social safety net noting PNG's Human Development Index (HDI) is ranked at 149 out of the 179 countries. 40% of the population is under the age of 18.
44. Through Outcome 1, functional institutional framework for national REDD+ implementation has been established under the leadership of CCDA and PNGFA. The NP support enabled broader stakeholder engagement, better awareness and prioritization of actions relevant to improving sectoral response to drivers and agents of deforestation. More importantly, the current discussion and design of ongoing programmes supporting REDD+ readiness are better informed with regards to managing stakeholder expectations, REDD+ challenges and opportunities for improving resource management through community engagement.
45. Through Outcome 2, a national MRV system has been established, enabling PNG to be able to adequately and transparently account for GHG emissions and able to meet international reporting standards for results-based payments under REDD+. The Satellite Land Monitoring System (SLMS) and the National Forest Inventory (NFI) are critical components of a national REDD+ framework and they have enabled the GoPNG draft a well-founded National REDD+ Strategy (NRS) and submit its REL/RL (Outcome 3) to the UNFCCC. UN-REDD NPs in many of the participating countries have included explicit outcomes for the development of the NRS right from the beginning. The PNG-NG design took a different approach placing special emphasis on MRV aspects with about 61% of the NP budget targeted at this component. This is understandable considering that the NP was designed in the context of a significant number of other support programmes including:
  - Papua New Guinea – Australia Forest Carbon Partnership
  - Australia – PNG Kokoda Initiative

- Global Environment Facility (GEF) Support for Sustainable Forest Management
  - ITTO Project Proposal ‘National Training Program to Promote the Adoption of Reduced Impact Logging (RIL) in Papua New Guinea’
  - Government of Japan and Japan International Cooperation Agency (JICA) programmes
  - European Union funding activities aimed at supporting PNGFA in inventory techniques as well as upgrading the forest inventory mapping system
46. The NP has been a catalyst for creating the necessary dialogue on addressing challenges to sustainable natural resource management especially in the forestry sector. The MRV system is a critical component and a multifunctional tool that can support social, economic and environmental policies. Prior to proposing the NP, implementation of the laws and associated codes of conduct were described as particularly difficult because of political ambivalence and governance problems, and an apparent shortage of human and financial resources to effectively ensure enforcement.
47. Logging industry reviews by the GoPNG between 2000 and 2005 supported by the World Bank found that there were major failures in ensuring the administration and practice of the logging industry fulfills the “due legal process” as well as major short comings in sustainable forest management efforts. A 2007 International Tropical Timber Organization (ITTO) “Diagnostic Mission to PNG” reported that PNG has “many solid acts, laws and legislation in place, but implementation is problematic due primarily to administrative and governance constraints and intervention”. PNGFA and DEC human resource and infrastructure was reported as severely inadequate to implement their mandates.
48. While the outcome areas all relevant, the design factors that affected implementation of the NP relate mainly to the allocated timeframe and perhaps the budget allocation. The budget allocation limited the opportunity for UNEP to provide more substantive support on aspects such as identification of investment options for incorporating various ecosystem services and identification and promotion of transformative investment options for a green economy. However, this evaluation understands that more work is planned with additional funding from the FCPF.
49. The table below outlines the objectives and summarizes the implementation timeline of the NP. It can be noted that the NP required 3 no-cost extensions to be completed. These extensions reflect the national circumstances that affected the implementation such as political instability and to some degree also reflect the realities that most national REDD+ programmes have faced in different countries.

Table 3-2: PNG UN-REDD National Programme Outline

<b>Programme title:</b>	UN-REDD PNG National Programme		
<b>Approval date:</b>	18.03.2010	<b>Fund transfer date:</b>	1 <sup>st</sup> Tranche: April 2012 2 <sup>nd</sup> Tranche: November 2015 3 <sup>rd</sup> Tranche: October 2016
<b>Completion date:</b>	31.03.2017	<b>Non-cost extension date:</b>	1 <sup>st</sup> No-cost extension: 23 Jan 2014 2 <sup>nd</sup> No-cost extension: 6 Nov 2015 3 <sup>rd</sup> No-cost extension: March 2017

### 3.2 Relevance

Table 3-3: Summary of Relevance Ratings

Outcome	Rating
Overall Rating for Relevance	R
Outcome 1	R
Outcome 2	R
Outcome 3	R
Outcome 4	R
Outcome 5	R

50. The NP is relevant and reflects the country needs and to a greater extent, the national circumstances. The outcomes of the NP were as follows:

Outcome	Relevance
Outcome 1. Readiness management arrangements in place	As with all REDD+ countries, establishing national management arrangements is necessary therefore this outcome is relevant.
Outcome 2. National MRV system developed	The design appropriately identified the need for a national MRV system to support forestry sector evidence-based policy decision-making.
Outcome 3. Establishment of REL/RL supported	This is well in line with international requirements for countries that wish to participate in REDD+ results-based payments.
Outcome 4. Monitoring of abatement concepts supported	This is relevant and sets the basis and building blocks for the National REDD+ Strategy.
Outcome 5. Stakeholders engaged in PNG's REDD+ readiness process	This is a key component to ensure sustained and informed involvement of all stakeholders.

51. These outcomes are relevant and fit well with the outlined national circumstances presented in the extensive analysis in the Programme Document. The NP was prepared in the context of an existing National Strategy for Climate-Compatible Development which was then expected to be updated with the insights from a provincial consultation process and ongoing international REDD+ negotiations. The GoPNG showed its commitment from the very beginning with the NEC Decision 55/2010 which recognized the principles of climate-compatible development, and signaling the need for a review of all national development policies and plans which impinge upon and are affected by climate change mitigation, adaptation, and low carbon growth, to ensure climate compatibility. There were further signals of commitment with the intentions to make the Medium-Term Development Plan for 2011-15 climate compatible and implementation of the Forestry and Climate Change Framework for Action (FCCFA) as well as a review of the National Agricultural Development Plan including the allocation of forest land for agriculture leases.
52. Many forestry sector policies are recognized in the NP design. The forestry sector context is characterized by a wide range of acts, regulations and policies. Comments from stakeholders suggest that the regulatory regime needed strengthening and monitoring of progress. The GoPNG

has shown commitment to continuously improve environmental regulations but governance and transparency remains a challenge. In addition, the land tenure and ownership creates peculiar challenges for land use regulation. PNG has unique geography, ecology, and human diversity coupled with limited rural infrastructure and high levels of customary land ownership. Over 85% of the nation's 7.3m population are based in rural areas and rely primarily on subsistence agriculture and it is reported that over 97% of the country's land area is under customary ownership. This means the design of climate change mitigation measures must have broad base support from the communities hence significant consultation which can be costly considering the somewhat limited accessibility.

53. The relevance of the NP is also expressed by every stakeholder - first for increasing the general discourse on climate change and secondly for increasing awareness on the challenges of reducing deforestation while retaining focus on the core issues of poverty alleviation and livelihood options for local communities. Thirdly, while most stakeholders readily acknowledge the policy weakness, most find it difficult to articulate how to resolve the policy issue because of the low inter-sectoral coordination and integration. The NP is crosscutting and broad in nature therefore is viewed as an opportunity for identifying cross-sector policy failures, build capacity, governance and the necessary institutional framework. Thus the basis for the NP relevance is multifaceted.
54. The next section looks at the delivery of the programme and the results.

## 4 RESULTS AND CONTRIBUTION TO STATED OBJECTIVES

### 4.1 Delivery of Outputs

55. All five outcomes were implemented resulting in significant achievements that have contributed to the development of a reasonably robust National REDD+ Strategy (NRS) which provides a vision and a suite of objectives for REDD+ implementation. It goes a long way to address policy failures and the much-needed cross-sector integration to ensure policy coherence. The strategy emphasizes the need for strong stakeholder engagement and consensus building on addressing drivers of deforestation and forest degradation.
56. Individual components such as the NFMS are well advanced resulting from the financial and technical contribution to the NP and co-funding from other development partners. There is still further technical and financial injection required to operationalise and fully decentralise these systems but a solid foundation has been laid and there is a high level of national ownership.
57. For delivery, the implementation of activities was based on approved annual work plans and budgets. The delivery of outputs is generally satisfactory and there is general appreciation of the support from the UN agencies and the flexibility to allow adjustments when necessary. The overall impression is that the delivery is very successful, and far more collaborative than observed in other countries. There is no doubt that there were challenges but these are largely mechanical issues such as delays in staffing and slow procurement processes.
58. The NP commenced in June 2011 and the original end date was in December 2013. However limited activities were implemented in 2011 and 2012 due to political instability of the government after the national election in 2012. There were also delays in hiring staff. Components supported by UNDP started in early 2013 after the International Programme Manager arrived in January, and FAO components started at the end of 2013 following the recruitment of the international Technical Advisor in October of the same year. A first no-cost extension of the Programme was requested and for two years (till end of 2015). A second extension was requested and agreed in 2015 but for the FAO component only until the end of 2016. A third and final three-month operational extension was requested and agreed in late 2016, hence the Programme ended on 31 March 2017. [Table 4-1](#) provides a summary of outputs and achievement status. It should be noted that components of Output 4.1 are broadly included in the NRS and the subsequent REDD+ Action Plans that will be developed for which some of the underlying analytical work has already been completed (for example, analysis of drivers of deforestation, gap analysis of existing policies, laws and regulations).

Table 4-1: Output Status

Outcome; output	Outcome/output narrative	Status
<b>Outcome 1:</b>	<b>Readiness Management Arrangements in Place</b>	
Output 1.1	Management arrangements between GoPNG and stakeholders strengthened	Achieved
Output 1.2	National Programme Implementation strengthened	Achieved
<b>Outcome 2</b>	<b>National MRV system developed</b>	
Output 2.1	National REDD+ Information System developed	Achieved
Output 2.2	Satellite monitoring system set up	Achieved
Output 2.3	Multipurpose national forest carbon inventory developed	Achieved
Output 2.4	National GHG Inventory for REDD+ established	Achieved
Output 2.5	Technical advice, capacity building and implementation support provided	Achieved



<b>Outcome 3</b>	<b>Establishment of REL/RL supported</b>	
Output 3.1	Historical drivers of deforestation assessed	Achieved
Output 3.2	National circumstances assessed	Achieved
<b>Outcome 4</b>	<b>Monitoring of abatement concepts supported</b>	
Output 4.1	Capacity for monitoring and implementation of priority abatement levels developed	Not Achieved
<b>Outcome 5</b>	<b>Stakeholders engaged in PNG's REDD+ readiness process</b>	
Output 5.1	Framework for stakeholder engagement processes in place	Achieved

## 4.2 Effectiveness and Efficiency

Table 4-2: Rating for Effectiveness

Outcome	Rating
Overall Rating for Effectiveness	<b>HS</b>
Outcome 1	S
Outcome 2	HS
Outcome 3	HS
Outcome 4	S
Outcome 5	S

59. The effectiveness of the NP stems from the design. The design of the NP prioritized supporting the establishment of the MRV system and PNG now ranks amongst countries with the most advanced MRV system in terms of completeness. The key ingredient of the NP success was that the contextual analysis identified the complexity of the stakeholders as well as the probable implications of the land tenure on the ability of such a program to be transformative in a short space of time with the relevant information to support policy. To engage in meaningful dialogue with national and international stakeholders, consistent data on both the extent of forest cover and rate of land use and land cover change is essential – this information was incomplete and sporadic before the NP.
60. Discussions with government officials revealed caution and need to avoid prematurely engaging in dialogue with rural communities which could have created expectations. There is emphasis on building the capacity of both state and no-state actors in engaging in REDD+ dialogue. Discussions with all stakeholders during the evaluation mission suggests general agreement that the social and cultural complexity coupled with the unique land ownership (97% customary land ownership) required careful planning and relevant data and clear understanding of community priorities before any dialogue about REDD+ benefits. The detailed assessment of the national circumstances has enable clearer understanding of direct and indirect drivers of deforestation and forest degradation while providing essential guidance for stakeholder engagement and preparation of the NRS.
61. Across all REDD+ countries, the issue of benefit sharing captures considerable attention among policymakers and local communities. There is a tendency for dialogue to gravitate towards financial benefits which tends to create expectations among communities. Noting that the fundamental premise of REDD+ programs is to offer result-based payments to participating countries and communities, it is important to ensure dialogue on benefits is timely and contextualized in a manner that shows results-based payments will accrue in the future. It is

critical to establish a basis for dialogue with stakeholders to create understanding of roles and responsibilities, the upfront costs, risks, and the downstream financial and non-financial aspects or carbon and non-carbon benefits under REDD+. To this effect, the Evaluator views the PNG approach to be effective as it is now well positioned to have informed national dialogue on the role of REDD+ along with other mitigation measures outlined in the Nationally Determined Contribution (NDC).

62. Most recently, the Warsaw Framework (2013) requires countries seeking to implement national REDD+ programs under the UNFCCC to meet three safeguard-related requirements to access results-based finance: 1) ensure REDD+ activities are implemented in a manner consistent with the Cancun safeguards; 2) develop a system for providing information on how the Cancun safeguards are being addressed and respected; and 3) provide a summary of information on how all the safeguards are being addressed and respected throughout the implementation of REDD+. These elements have become important determinants for REDD+ countries' ability to access finance.
63. To ensure further understanding and strategic planning for REDD+ actions, a national circumstances analysis was undertaken highlighting the specific spatial and environmental characteristics of PNG; its policies, laws and regulations (PLRs; already identified under the Social and Environmental Safeguards study); land use, land tenure and land reform; demographic trends and projections; and PNG's economic development trends and projections. The assessment of national circumstances feeds into the development of appropriate PAMs for REDD+ implementation now set out in the National REDD+ Strategy finalized with FCPF Readiness grant support. This output has become an important source of information now used for policy discussions. The combined support of the NP, FCPF, EU and JICA support have made the implementation of REDD+ in PNG relatively effective but with the acknowledgment that achievement readiness for participating in results-based payments requires a greater degree of expedience and efficiency.

#### 4.2.1 Outcome 1 Achievements: Readiness Management Arrangements

64. For the NP, a Programme Executive Board (PEB) was established and effectively served as the coordinating body for REDD+ in PNG supported by thematic TWGs. The CCDA and PNGFA demonstrated essential leadership across the elements of the programme within their respective jurisdiction. A key achievement was the ability of the institutions to bring together all relevant stakeholders at national and sub-national level across government, academia, NGOs and the private sector. As of necessity, the modality for engaging with stakeholders involved meetings, workshops and provision of reports and other outputs from technical experts contracted to support the programme.
65. A Programme Management Unit (PMU) was also established in CCDA to provide day-to-day support to government counterparts on REDD+ readiness, including coordinating the multiple programmes running in parallel to the NP (FCPF readiness grant activities and EU support). The PMU provided work and budget planning support for review by the PEB, prepared and submitted annual and semi-annual progress reports as well as organizing various meetings and workshops. The key benefit for the institutional setup is that there is now leadership to oversee and coordinate the development and disseminating important thematic components information for National Forest Monitoring System (NFMS), Safeguards, and managing the dialogue on REDD+ benefits and opportunities. The NP also supported initial work on a National REDD+ Communication Strategy which has now been published.
66. A significant observation on this outcome is that the management arrangements are confined to just two government institutions and the level of intersectoral participation is still limited. Institutions representing key sectors such as Land, Finance, Agriculture, and Economic Planning

have had limited or no involvement across the 5 Outcomes. As the country moves forward towards participating in results-based payments, sectoral roles and responsibilities beyond CCDA and PNGFA will need to be recognized (financially, administratively, and politically) to ensure success of ensuing policies. While the NRS highlights intentions to involve a wide range of departments, it will be necessary to be explicit about operational and functional capacity needs and how such needs will be addressed under REDD+ implementation.

67. On the issue of efficiency – the institutional and management arrangements were established and should be treated as a no regrets investment. While the value for money cannot be readily determined, the intrinsic value and benefit of having programme arrangements in place has enabled the achievements of some very good results from the NP.

#### *4.2.2 Outcome 2 & 3: Achievements: National MRV System including REL/RL*

68. The GoPNG should be commended for creating an enabling environment for national institutions and international support agencies to work together to produce the national MRV systems. Activity data can now be extracted through the Satellite Land Monitoring System (SLMS) consisting of Terra PNG (wall to wall mapping) operated by CCDA, and Collect Earth (point sampling) operated by PNGFA both underpinned by well-structured IT infrastructure. The methodological approaches applied to generate these datasets are consistent with IPCC GPG, verifiable and well documented. While not all the funding came from the NP, there was concerted effort between FAO, JICA and the EU mission to achieve a joint strategic objective of establishing the national MRV system.
69. The NP supported the designing of the first NFI which was also co-funded by the EU. With 97% of land being communally owned, there was feedback that seeking permission to access community land can be a lengthy process and this was one of the challenges during the NFI development. Nonetheless, the project teams succeeded, through consultation, to reach agreement with land owners to conduct measurements. The PNG NFI is comprehensive, comprising extensive botanical, soil, as well as zoological data (birds, moths, fruit flies and ants). FAO was also instrumental in providing technical support and all documentation. At the time of preparing this report, rolling out of NFI fields sampling was about to start.
70. The resulting information is now publicly available and PNG has been able to develop country specific emission factors from the NFI as well as spatially determined land use and land cover change. More importantly, the implementation effectively delivered essential capacity building for both CCDA and PNGFA. The first REDD+ related GHG inventory was completed based on PNG's MRV system. These results have enabled PNG to prepare its FRL which was submitted to UNFCCC in January 2017.
71. A further important and key achievement is that draft National Guidelines on Social and Environmental Safeguards were prepared and field-tested in Milne Bay province at the end of 2014. A PNG REDD+ website to provide PNG REDD+ and safeguard information other than spatial information is currently under construction as part of FCPF support, the contents of which are largely the product of UN-REDD NP outputs.
72. In addition, a customized web-portal (<http://png-nfms.org/portal/>) was launched by the Prime Minister in March 2016. This portal is populated with numerous spatial information including land use maps, logging concession, protected areas, REDD+ project sites, and tree cover loss/gain data and was showcased at the Asia Pacific Forestry Week held in Philippines in February 2016. For this portal, data storage and management is based on FAO's Open Foris - a set of free and open-source software tools which facilitate flexible and efficient data collection, analysis and reporting. Two CCDA officers and other national consultants (GIS and IT specialists) were trained to manage the web-portal.

#### 4.2.3 Outcome 4 Achievements: Monitoring of Abatement Concepts

73. Outcome 4 achievements are limited but mostly because they relate to REDD+ Actions plans to be prepared in response to the outcome of the NRS. The key abatement levers (GHG mitigation measures broadly covering regulatory policies and measures, incentives), have not been fully identified yet, but the MRV system has enhanced the government's capacity to monitor REDD+ activities implemented in the country. The REDD+ strategy was endorsed by the government in May 2017, however, the specific policies and measures for the national REDD+ strategy, detailing the actions to be taken to reduce emissions from the LULUCF sector, have not yet been determined. It is reported that once these policies and measures have been determined, appropriate monitoring methodologies will be determined.
74. The work under Outcome 4 will need to be followed up to build the desired capacity for monitoring of any policies and measures, because a shortlist and final selection was not carried out. The additional funding that has been provided under the FCPF Readiness grant would ideally support this component.
75. It is therefore the view of this evaluation that in the context of the NP, Outcome 4 was perhaps included prematurely. There was an intention to support piloting abatement levers, which this evaluation has interpreted as GHG mitigation measures broadly covering regulatory policies and measures, incentives, addressing poverty and livelihoods. There was a further intention to build capacity for monitoring progress in the implementation of such interventions and mitigation measures. While this is necessary, it would have been more pragmatic to synchronize and coordinate with the development of the NRS.
76. Developing mitigation measures, incentives, and all necessary regulatory reforms requires engaging with target communities and resource owners and managers or custodians. This would have been contrary to the prioritization advocated by the PNG government (i.e. prioritizing understanding the implications and opportunities of REDD+ before engaging with communities). This evaluation takes the view that supporting and monitoring GHG emissions reduction would have only been practical with a complete national REDD+ framework with clear action plans. At the time of this evaluation, the development of REDD+ Actions was still work in progress following the completion of the NRS. Likewise, stakeholder engagement was also work in progress with community level consultation yet to be conducted nationally. However, this evaluation recognizes that Outcome 4 is an important and relevant component that is expected to be fulfilled under the FCPF supported work.

#### 4.2.4 Outcome 5 Achievements: Stakeholder Engagement

77. For this Outcome, the NP intended to support the preparation of a consultation plan and stakeholder engagement guidelines. This is a key component for implementation of REDD+ in PNG considering the level of ethnic diversity and geographic spread. The NP supported the preparation of FPIC guidelines, REDD+ awareness and capacity building workshops.
78. There is evidence of increased awareness on REDD+ particularly at national level. An important observation is that there has been a deliberate and cautious approach to engaging with local communities so far and this has enabled the GoPNG to manage expectations. The stakeholder engagement and the Communication Strategy are key for ensuing dialogue with local communities. It is also commendable that the project teams took time to test FPIC Guidelines at the national level, and at the provincial levels, through provincial authorities, line agencies and civil society. The combination of these guidelines and the analytical work on gaps in existing policies, laws and regulations, as well as social and environmental safeguards will enable better and informed dialogue at sub-national level prior to development of relevant REDD+ action plans following the endorsement of the NRS.

79. The NP has been effective in laying the foundation for the implementation of REDD+ actions.

### 4.3 Cross Cutting Issues: Gender, Capacity Development, Normative Products

Table 4-3: Summary Ratings for Cross-cutting issues

Cross cutting issues	Rating
Overall rating for Cross-cutting issues	<b>MS</b>
Gender	MS
Capacity development	S
Normative Products	S

#### 4.3.1 Gender

80. The UNFCCC Cancun Agreements request developing country Parties to integrate gender considerations in the design and implementation of REDD+ national strategies and programmes. The view is that gender mainstreaming can help improve the efficiency, efficacy and long-term sustainability of the REDD+.
81. With regards to the NP design, gender aspects are not explicit per se (there are no gender specific indicators) but the awareness and capacity building undertaken indicates relative involvement of both women and men. No gender perspective was detailed in the project document. However, capacity building occurred across a wide spectrum of stakeholders, including government staff, NGOs and some decision-makers from sub-national levels. It was anticipated that through the REDD+ Actions plans yet to be prepared, benefits will be gained by local communities such as improvement of human welfare, gender equality and protection of valuable ecosystems.

#### 4.3.2 Capacity Development

82. The NP has been instrumental in capacity building both directly through funding technical training and procurement of technology infrastructure and indirectly by creating awareness on the capacity needs for running key systems such as NFMS, NFI and the overall MRV. PNGFA now has a fully equipped GIS/Remote sensing laboratory with well-trained staff. The government has further benefited from the co-funding from the EU and FCPF finance resulting in significant gains in capacity particularly within PNGFA and CCDA. With the well advanced MRV systems components, PNG now has enhanced capacity and robust data to fulfil international reporting obligations specifically under the UNFCCC for REDD+ and GHG inventory reporting.
83. The establishment of Terra PNG and Collect Earth, has laid a solid foundation for ongoing data collection. This data will be valuable for the necessary analytical work to develop REDD+ action plans and any elected policy reforms or formulation based on already identified gaps. An important aspect to observe is that these systems are based on open source technology which is of relatively lower cost compared to some of the proprietary remote sensing and GIS applications available on the market. This approach is likely to enhance the longer-term sustainability if the technical expertise is maintained with the institutions.
84. The NP supported substantive capacity building and enhancement through investment in IT infrastructure in both CCDA and PNGFA necessary for running the Collect Earth system and TerraPNG. Generally, the key components that constitute REDD+ capacity have been achieved and gaps have been identified. Additional support required includes:
- a. Technical knowledge and understanding of the constituent components of REDD+ and how they fit into the national agenda at national and sub-national levels. Generally, the interviews, consultation and evaluation validation with stakeholders suggests there is

increased general understanding of REDD+ as a direct result of the NP and other development partners but more capacity building is required.

- b. Increasing the understanding of benefits and risks associated with REDD+ at national and sub-national levels to ensure coherent implementation in future. The understanding is variable with lesser understanding and awareness at sub-national level.
  - c. Staff with relevant technical knowledge and skills on REDD+, especially in key institutions responsible for REDD+ implementation in addition to CCDA and PNGFA. A key gap is to create similar understanding in institutions that will have key roles in the implementation phase.
  - d. Infrastructure, coordination and financial resources to establish national and sub-national systems for land monitoring, forest inventory, GHG accounting, and establishing REL/RL within the context of clear definition of agents and drivers of deforestation.
  - e. Public awareness and engagement in monitoring requirements and the role of different stakeholders. As the coordinating lead agency, CCDA acknowledged the need for significant capacity building at sub-national levels to enable activity and informed participation in REDD+ decision making including the prioritization of intervention measures.
  - f. Political and community champions to drive and motivate the constituency. The web-portal (together with NFI) was launched in March 2017 by the Prime Minister Hon. Peter O’Neil on – this is an important signal of the level of political support.
85. Addressing the capacity needs listed above will require both short and long-term technical and financial commitment from the GoPNG and development partners. The NP implementation team prepared a report outlining the progress against the Warsaw Framework (Annex 5). This evaluation uses it to assess the effectiveness and intermediate impact as part of the review of Outcomes it affects and offer a measure of progress towards REDD+ Readiness. PNG has made considerable progress towards REDD+ readiness.
86. At the programme implementation level, the NP team was composed mostly of national staff and a handful of international staff and short-term consultants. The national staff were well qualified and knowledgeable in REDD+, forestry, and climate change in general. Feedback from government staff is that there is a work overload and that REDD+ is very demanding on resources.
87. For technical training, a combination of methods was used including workshop-based training and knowledge sharing by international experts and participation in UNFCCC COP side events to learn more about how other countries are implementing REDD+. There was feedback that some of the capacity building could have been done differently such as focusing on Training of Trainers
88. The UN agencies provided senior advisors to support both PNGFA and CCDA on a day-to day basis. As with any development programme, there is always an assumption that national institutions will take ownership of the process and outputs during and post-programme implementation. In this programme, there was strong ownership and the feedback is that there is need for further technical support to operationalise the NRS.

#### 4.3.3 Normative Products

89. The UN agencies can be credited for bringing global issues to a national level and supporting the GoPNG take transformative measures to mainstream climate change into national development. The PNGFA and CCDA both have at their disposal, a suite of guidance products from FAO and UNDP on MRV, FRELs, NFMS and national forest inventory. Most of this guidance was well-applied in the implementation of the NP and continues to be available through additional support. FAO’s in-country presence through a Technical Advisor (who also doubles up as the CTA for the EU NFI

funding support) also enable a supportive day-by-day implementation and continuous knowledge transfer.

90. UNDP provided a Technical Advisor and provided strong support for the institutional set up and stakeholder engagement. UNDP has since continued with providing support for the overall development of the NRS and stakeholder engagement through FCPF readiness finance and recently approved additional funding of \$5 million.

#### 4.4 Sustainability and Up-scaling

Table 4-4: Ratings for Sustainability

Sustainability and Up-scaling	Rating
Overall rating for sustainability and up-scaling	L
Financial sustainability	ML
Institutional sustainability	L
Operational sustainability	ML
Up-scaling	L

##### 4.4.1 *Financial Sustainability*

91. Programmes of this nature have a terminal life irrespective of the period of commitment by development partners. The basis for measuring the financial sustainability for the NP is perhaps the ability of the institutions such as PNGFA and CCDA to sustain the financial and operational requirements of the MRV system in the absence of donor funding. When this question was put to senior government officials, the majority pointed to the fact that under national fiscal allocation, it is simply not possible. This is a problem that every REDD+ country faces in the long term. The government is not able to allocate sufficient funds to the institutions to maintain a core of permanent public-sector staff, which places a huge risk on the continuity of programmes initiated with donor funding.
92. In the short-term, PNG is likely to benefit from continuing support from the EU, FCPF and JICA to sustain the REDD+ momentum. The EU office has already indicated willingness to continue support to the NFI programme along with supporting policy reforms to reduce illegal logging by strengthening the sustainability and legality of forest management, improving forest governance and promoting trade in legally produced timber through the Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan. The EU FLEGT Action Plan outlines measures to prevent the importation of illegal timber into the EU and is outlined at <http://www.flegt.org/about-flegt>.
93. The progression from REDD+ readiness under the FCPF to results-based payment could see PNG develop emissions reduction programmes and be able to get grants or low interest finance to fund REDD+ action plans, NDC, mitigation and adaptation measures. But these opportunities are largely dependent on global climate finance agreements under the UNFCCC, bilateral and multilateral options – there is no guarantee. Changing domestic economic situations and priorities in some of the developed countries expected to contribute to climate investment funds cast uncertainties. As such the NP was probably in no position to create long-term financial sustainability but rather enhance the opportunities for broader and strategic interventions.
94. The NRS development process indicates strong government ownership and leadership, deliberate stakeholder participation and detailed analytical work. However, in the endorsed NRS, the GoPNG acknowledges that despite having a significant set of environmental management legislation with guidance on environmental protection and management, significant challenges, exist in the implementation of these acts including gaps within the regulations as well as capacity for enforcement. The sustainability of the outputs from the NP will largely depend on the adoption,

operationalisation and impact of the outputs at the institutional and community level. It will also depend on the ability of the country to follow through with the necessary policy reforms or improvements in law enforcement and mainstreaming of REDD+ across relevant sectors (forestry, agriculture, transport, energy) and mobilization of resources.

#### *4.4.2 Institutional Sustainability*

95. As of necessity, CCDA and PNGFA are permanent government institutions with specific mandates. PNGFA will inherit and become the custodian of the NFI and Collect Earth data which form the bulk of the MRV system. CCDA on the other hand is a policy institution mandated under the Climate Change Management Act responsible for coordination, monitoring, and reporting on all aspects of climate change response. Thus, the institutional setup necessary for effective implementation of REDD+ in PNG is in place but local level groundwork for subsequent participation in results-based payments systems under REDD+ still needs further work.
96. Institutions set up under REDD+ readiness programmes will evolve over time with some remaining permanent while others may be dissolved. The TWGs, PMU, and PMB can serve multiple purposes. The most practical measure of sustainability of institutions therefore lies in their ability to multifunction.
97. As already highlighted in earlier sections, being REDD+ ready requires commitment on many fronts. For instance, implementing institutions need regular and predictable financial support from central government to be able to retain REDD+ programme support staff and sustain outputs from the PG-NP, and any other programmes. The evaluation perspective is that to increase sustainability, capacity building now needs to go beyond individuals and link the leadership and systems that the individuals concerned are accountable for. But this should be the role of the government through investing in national human resources. A key concern regarding the implementation in both CCDA and PNGFA is that all technical staff are employed on contractual basis just for the duration of the programmes.
98. Both PNGFA and CCDA were supported to establish a GIS and remote sensing laboratory. It was asked during the evaluation mission whether it is financially and operationally sustainable to maintain these two units. It appears that there is still need for more dialogue between PNGFA and CCDA to clarify the functions of the two systems, as well as consider data custodianship, operational requirements, and ongoing maintenance. The two systems require significant financial resources and it is unlikely that they can be sustained in the long-term.
99. The investment made by the NP, the EU, JICA and other partners to develop all the data perhaps needs to be viewed in the best interest of the whole-of-government. Between PNGFA and CCDA, there is some reluctance to freely open and reduce the level of bureaucracy in accessing and sharing data. There have been formal discussions between PNGFA and CCDA on REDD+ roles and responsibilities, data user rights and restrictions, but as more data is generated under REDD+, demand for access and use will increase across sectors and other government institutions. PNG is a signatory to a number of international conventions including the UNFCCC hence it is important that there is easier access to environmental data to enable consistent reporting. It is the view of this evaluation that keeping the two systems (TerraPNG and Collect Earth) separate is unsustainable.

#### *4.4.3 Opportunities for Up-scaling*

100. The NP Outcomes are limited to mainly national level strategic outputs and limited operational activities at sub-national level. However, the issue is more likely to be about mainstreaming REDD+ at sub-national levels and completing development and operationalization of social and environmental safeguards, as well as establishment of multi-purpose sub-national level monitoring systems.



101. The outputs from the NP and overall REDD+ progress places PNG on a platform to be able to make informed policy decisions, evidence-based GHG mitigation measures. CCDA is now in a much better position to engage in meaningful dialogue with all stakeholders without second-guessing the implications. PNG is also now better placed for embarking on landscape approaches to GHG mitigation measures as opposed to traditional small-scale projects.
102. Depending on circumstances, the opportunities for up-scaling could focus first on sustaining existing programmes beyond donor support for a start and then focus on driving private sector investment in deforestation free supply chains and low emissions land management, through a combination of say incubator/accelerators for green enterprises, improved environmental, social and governance standards and green landscapes. The focus could also be on a few selected high biodiversity and high carbon-intensive landscape under pressure from the identified drivers and agents of deforestation and forest degradation to support the Forest Policy and investment plans.

#### 4.5 Likelihood of Impact

103. The impact of the NP is likely to be at two levels – global and national. Anecdotally, REDD+ advocates have been criticized for not taking full initiatives to adequately understand national circumstances and often taking a one size-fits-all approach in designing REDD+ projects and programmes. Understanding that a large proportion of the PNG rural population, and to a lesser extent, the urban population relies for their livelihoods on forest exploitation, fishing, hunting, and subsistence agriculture, it means any dialogue about changes to resource access is sensitive. With 97% of the land in communal ownership, coupled with cultural diversity and irregular geography, PNG requires good data and information to fully understand the deforestation and forest degradation dynamics.
104. The feedback from CCDA is that the programme emphasis on establishing the MRV system has created much better understanding of the spatial relationship between the forest resources, land use and land tenure. Without this information, it is difficult to engage in any meaningful dialogue with the community – dialogue which should focus on poverty reduction, community welfare, and needs before discussing REDD+.
105. The NP laid the foundation for REDD+ readiness programmes and other support partners are leveraging on the outputs. More importantly, it has enabled open national dialogue about the critical importance of sustainable forest resource management including the role of forests in poverty reduction and community livelihoods.
106. With the relevant data in place, the challenging issues and allegation of illegalities in the forestry sector can now be assessed and monitored more objectively and as frequent as may be necessary. The EU has been supporting PNGFA for establishment of Timber Legality System through the National Forest Inventory Project. The completion of REDD+ readiness activities under both the NP and FCPF grant enables the disaggregation and prioritization of intervention options to address forestry sector productivity and sustainable management.

## 5 FACTORS AFFECTING PERFORMANCE

Table 5-1: Ratings for Programme Management and Coordination

Programme Management and Coordination	Rating
Overall Quality of Project implementation	S
Agency coordination	S
Project Supervision	S

### 5.1 Programme Management and Coordination

107. The NP was signed in March 2011 but activity implementation did not start until early 2013. PNG experienced political instability in 2012 – a situation beyond the control of the UN agencies and national implementing partners. However, there were also significant delays in the hiring of staff which also added to the delayed start of activity implementation. More specifically, the recruitment of the FAO Technical Advisor seems to have taken long to complete.
108. There are sentiments among the government institutions that the implementation approach by the UN agencies could be better coordinated and reduce administrative burden on national institutions by working as one institution at the operational level. This issue has been raised in several other REDD+ country. However, despite these sentiments, the working relationship between the UN agencies and the GoPNG has been collaborative with shared goals. FAO has continued to support the PNGFA while UNDP has taken a role to support the implementation of the further REDD+ readiness work under the FCPF funding support. The management challenges faced during implementation were more mechanical than fundamental. For instance, at first it was difficult to find suitable international technical advisors due to the perceived hardships of working in PNG. Feedback from national institutions emphasizes the need for international consultants to be inclusive and work collaborative with national counterparts.
109. On the part of the government, PNGFA and CCDA seem to have worked well and both have taken full responsibility for their respective components. There were initial challenges in coordination but these seem to have been ironed relatively quickly with the setting up of TWGs representing a broad range of national stakeholders. CCDA and WCS co-chaired the Safeguards TWG, which comprised members from the forest and oil palm industries. This TWG provided significant guidance in the development of the National Guidelines on FPIC for REDD+, as well as the National Guidelines of Social and Environmental Safeguards.
110. The implementation issues outlined in this report are largely a result of institutional modalities that have been faced by many REDD+ countries. Implementation of National Programmes continues to be a learning process for UN-REDD due to varying country circumstances. However, at some point, the existing normative approaches will have to take an adaptive approach, considering lessons from these NP evaluations.

### 5.2 Technical Backstopping and Supervision

Table 5-2: Ratings for Technical Backstopping

	Rating
Overall Quality Technical Backstopping	S

111. Both UNDP and FAO provided technical backstopping through the regional offices in Bangkok. FAO provided technical back stopping from its headquarters in Rome. The backstopping was adequate and notes the continued efforts by UN agencies to increase country level support.

### 5.3 Government Participation and Ownership

Table 5-3: Summary of Ratings of Government Participation

Government Participation and Ownership	Rating
Overall rating for government participation and ownership	<b>S</b>
Government participation	HS
Ownership	S

112. The GoPNG demonstrated commitment to REDD+ from the beginning and has continued to be a global leader in advocacy for developing countries in reducing deforestation and forest degradation. Most of the work was carried out by national staff.
113. The assessment of ownership considers the government’s own contribution in cash or kind, the adoption of the outputs and incorporation into national policies and ensuring sustainability of institutions necessary for ongoing implementation beyond donor support. The GoPNG has taken strong ownership of the outputs of the entire REDD+ readiness process by ensuring investments such as the MRV and all the processes are imbedded within existing institutional structures. The NRS is a product of extensive consultation and reflects the policy interest and development goals of the government – again this is an important reflection of the level of ownership and commitment.
114. On the other hand, this evaluation has highlighted that sustainability and retention of staff is compromised to some degree because most project staff are on terminal contracts in line with the life of the project. It further compromises the operational capacity when project staff contracts are terminated at the end of the project. As such, while there is strong reflection of ownership, there are risks that require some reflection including addressing the issues of limited government budget allocation to cover running costs over and above project funds.

### 5.4 Monitoring, Reporting and Evaluation

Table 5-4: Ratings for Monitoring, Reporting and Evaluation

Quality Monitoring, Reporting and Evaluation	Rating
Overall Quality Monitoring, Reporting and Evaluation	<b>S</b>
Monitoring	S
Reporting	S
Evaluation	S

115. The NP progress monitoring was based on the indicators specified in the results framework through monthly financial reporting and annual progress reports corresponding to annual work plans. Funds used by the participating UN agencies are subject to internal and external audits as articulated in their applicable Financial Regulations and Rules. In addition, the Technical Secretariat will consult with the participating UN agencies on any additional specific audits or reviews that may be required, subject to the respective Financial Regulations and Rules of the Participating UN Organizations.
116. The UN agencies provide a summary of their internal audit key findings and recommendations for consolidation by the MPTF Office (Multi-Partner Trust Fund Office) Office and submission to the Policy Board and government. The use of funds allocated to Implementing Partners is reported back to the relevant UN agency charged with responsibilities for those funds using relevant reporting mechanisms. The Participating UN Organizations are required to provide narrative

reports on results achieved, lessons learned and the contributions made to the programme. All narrative reports for the NP were provided for this evaluation.

117. The execution of activities was in line with agreed protocols and it is noted that due process was followed to procure required services. Procurement used an open tendering process in which both parties agreed on the outcome as stated in the Annual Reports under Achievement of the Annual Targets.
118. The GoPNG, and the UN agencies, jointly conducted scheduling and annual planning, and held review meetings for all activities covered in the results framework, monitoring and evaluation plan and work plans covered by the NP. This included an assessment of the risks and assumptions to determine whether they are still valid.

## PART 3. CONCLUSIONS

### 6 CONCLUSIONS

119. The NP, and the co-finance from the EU and now the FCPF additional funding has laid the necessary foundation for the government to move forward with practical REDD+ action plans along with other mitigation measures outlined in the NDC. The design of the NP is relevant and has been a catalyst for creating the necessary dialogue on addressing challenges to sustainable natural resource management especially in the forestry sector in PNG.
120. It has become clear that tropical rain forest countries are facing unprecedented pressure to preserve remaining forests but they also face a challenge to balance conservation and economic development. The NP adopted a pragmatic design that emphasized the need for establishing the MRV system and understanding and options for greenhouse gas mitigation while prioritizing community livelihoods challenges. By taking such an approach, the GoPNG is likely to engage in much more constructive and easier dialogue with the local communities through demonstrating the actual value of the forest resources and potential threats as well as opportunities. A measured approach is going to be necessary considering that 97% of the land is under customary ownership and for any policies or measures to be accepted and effective, the rural communities have a big stake.
121. PNG's has very low levels of national greenhouse gas (GHG) emissions, equating to less than a 0.1% of global emissions when the agriculture forestry and other land use sectors discounted. But then the country's FRL indicate that emissions from forestry sector could be three times that of those from the energy sector including LNG and natural gas production. Having an area of forest covering 77.8% of the country, there are significant challenges to retain this level of forest cover. Noting that the impact of both economic development, population growth and the identified drivers of deforestation could result in a cumulative 7-8% decline in forest cover by 2030, strategic transformational interventions are necessary.
122. The GoPNG is very clear and has a long-term vision with REDD+ being treated as a goal to be achieved as part of PNG's approach to sustainable and responsible development by creating the enabling conditions for actions by government, civil society and the private sector. More importantly, the objective will be to mainstream the concepts and goals of REDD+ into the work of sectors and developing policies and measures that drive actions at the national provincial and local level to reduce emissions and enhance PNG's forests. The GoPNG has further outlined its approaches to REDD+ and the NP can be credited for stimulating the national debate.
123. As with any project implementation, there are challenges that arise. The NP was delayed due to the uncertain political situation in 2012. However, the 3-year timeframe allocated to UN-REDD national programmes has proved to be too short hence it resulted in 3-no cost extensions. These no cost extensions reflect the complexity of REDD+ implementation. However, both the GoPNG and the UN agencies showed willingness to be flexible and adjust delivery timelines as necessary.

## 7 RECOMMENDATIONS

### Summary Recommendations

#### *For the UN-REDD agencies with regards to programme design*

**RECOMMENDATION 1: Extend the programme timeframe** - As with evaluations in other REDD+ countries, this evaluation recommends increasing the programme period from say 3 to 3.5 years considering that the 3-year period has so far proved too short for most REDD+ countries. The additional 6 months should be used as an inception phase to allow for design adjustments, and recruitment of relevant staff. This recommendation may also be relevant for the World Banks FCPF Readiness support

**RECOMMENDATION 2: Improve inter-agency coordination** – the UN agencies have sometimes appeared to work separately which causes some additional administrative burden on national institutions. As much as possible, national institutions seem to prefer to work with one team representing the UN agencies.

#### *For consideration by the Government of Papua New Guinea*

**RECOMMENDATION 3: Consider merging the GIS/RS laboratories** – considerations need to be made on whether it is economic to maintain two separate labs and datasets at CCDA and PNGFA. It is likely to be costly to maintain the infrastructure and staff. In making these considerations, PNGFA and CCDA are also encouraged to continue dialogue on refining modalities for data sharing, privacy and use policies. It is the view of this evaluation that the more widely the data is used, the more likely the quality will improve as user provide feedback. Likewise, policy-makers will be coherent in decision-making (the notion of evidence-based policy).

**RECOMMENDATION 4: Consider options to retain project staff** - Project staff are currently on terminal contracts only for the duration of the projects/programme. As part of capacity retention, considerations could be made to retain staff on departmental permanent staff roster.

## 8 KEY LESSONS LEARNED

124. The NP report has highlighted several lessons learnt and this evaluation reiterates some of the key lessons as follows;

### *Clarity of roles and responsibility*

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125. This evaluation received feedback that with the cross-sectoral nature of REDD+, greater awareness, institutional roles and responsibilities need to be established as an integral part of the national framework to avoid sector policy conflicts and manage jurisdictional overlaps. Both PNGFA and CCDA have identified some potential jurisdictional challenges arising from the implementation of the NP and the national REDD+ framework in general. The clarity of roles and responsibilities also arises from greater awareness and there is feedback among government officials that the level of awareness at subnational level is still missing. However, awareness raising needs to be crafted along with clear policies and strategies for stakeholder engagement to be effective.

### *REDD+ Coordination*

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126. There is clear feedback that REDD+ coordination needs to be broader and engage all sectors. So far REDD+ readiness activities have been limited to CCDA and PNGFA. Broader engagement and cross-sector engagement could strengthen REDD+ implementation and policy formulation and expert TWG could be important for supporting thematic policy issues. There is a view that the TWGs were somewhat under-utilized during the NP implementation presumably due to lack of specific terms of reference and thematic expert representation.
127. There is also recognition of the need for institutional REDD+ focal points (specific people) perhaps not just in CCDA and PNGFA, but in other relevant government departments such as Agriculture and Livestock (DAL), Lands and Physical Planning, National Planning, Finance and Treasury).

### *Understanding National circumstances*

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128. The design of the NP reflects an important decision which NPs in other countries struggled with. The PNG NP focused and prioritized the establishment of the MRV system and this has resulted in substantive capacity to subsequently engage local communities. In most REDD+ countries there has been a tendency to engage local communities resulting in expectation which are often not fulfilled. REDD+ initiatives have been criticized at times for over-emphasizing benefits when in fact there is need to balance focus on both costs and benefits. In fact, some advocates believe that focusing on community livelihoods has a much longer term and sustainable impact on reducing deforestation and forest degradation when communities are given alternative sources of income and poverty reduction. The GoPNG is now well-positioned to engage local communities and start preparing REDD+ action plans following the endorsement of the National REDD+ Strategy.

### *Upfront investment in infrastructure and technical capacity is essential*

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129. Effective emission reduction programmes require upfront investment in information systems (Collect Earth and TerraPNG), technical capacity and infrastructure. There is greater confidence within PNGFA and CCDA with regards to the level of technical capacity and data for supporting climate change policy formulation. However, it is also important that such upfront investments

are safeguarded with predictable and sustainable financial support. There is a view that a shift from donor-driven to government-driven REDD+ implementation, with stronger ownership and continued high-level commitment of the leading government agencies and ministries is needed.

### *Participation and inclusion*

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130. The feedback that the process to develop the National Guidelines on FPIC for REDD+ was widely lauded by government agencies and civil society as inclusive and transparent is encouraging and should be followed during the development national REDD+ strategy action plans and policies and measures. The participation of all stakeholder is a key ingredient for ownership, especially at the community level once the discussions on REDD+ opportunities start.



9 ANNEXES TO THE EVALUATION REPORT

*Annex 1: Evaluation consultancies Terms of Reference*

**UN-REDD**  
PROGRAMME



# UN-REDD Papua New Guinea National Programme Final Evaluation Terms of Reference

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UN-REDD Programme

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November 2016



## 1. Background and Context

The UN-REDD Programme is the United Nations Joint collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), referred to as the participating UN organizations. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

The UN-REDD Programme supports national REDD+ readiness efforts in two ways: (i) direct support to the design and implementation of UN-REDD National Programmes; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices developed through the UN-REDD Global Programme.

### 1.1 UN-REDD Programme – Papua New Guinea

**Table 1: Programme information**

<b>Programme title:</b>	UN-REDD PNG National Programme		
<b>Programme Objectives:</b>	This National Programme will be one important element of an integrated REDD+ readiness strategy and contribute to preparing PNG for a REDD+ mechanism. The programme's objective is to ensure that PNG has an operational Measurement, Reporting and Verification system that enables the country's participation in international REDD+ systems to protect its environmental resources and contribute to sustainable livelihood practices of rural communities.		
<b>Approval date:</b>	18.03.2010	<b>Fund transfer date:</b>	1 <sup>st</sup> tranche: April 2012 2 <sup>nd</sup> Tranche: November 2015 3 <sup>rd</sup> Tranche: October 2016
<b>Completion date:</b>	31.03.2017	<b>Non cost extension date:</b>	1 <sup>st</sup> no-cost extension: 23 Jan 2014 2 <sup>nd</sup> no-cost extension: 6 Nov 2015 3 <sup>rd</sup> no-cost extension: Dec 2016

#### 1.1.1 Objective, Expected Outcomes and Outputs

This NP will be one important element of an integrated REDD+ readiness strategy and contribute to preparing PNG for a REDD+ mechanism. The programme's objective is to ensure that by 2013, PNG has an operational Measurement, Reporting and Verification system that enables the country's participation in international REDD+ systems to protect its environmental resources and contribute to sustainable livelihood practices of rural communities. This objective will be achieved through the following outcomes:

#### **Outcome 1 – Readiness Management Arrangements in Place**

- Management arrangements between GoPNG and stakeholders are strengthened
- National Programme implementation is strengthened

**Outcome 2 – National MRV system developed**

- National REDD+ Information system developed
- Satellite Forest Land Monitoring system set up
- Multipurpose national forest carbon inventory developed
- National GHG Inventory for REDD+ established
- Technical advice, capacity building and implementation support provided

**Outcome 3 – Establishment of Reference Emission Levels (REL) and Reference Levels (RL) supported**

- Historical drivers of deforestation assessed
- National circumstances assessed

**Outcome 4 – Monitoring of abatement concepts supported**

- Capacity for monitoring and implementation of priority abatement levers developed

**Outcome 5 – Stakeholders engaged in PNG’s REDD readiness process**

- Framework for stakeholder engagement processes in place

**1.1.2 Executing Arrangements**

This UN-REDD NP and associated Annual Work Plan (AWP) are an integral part of the overall UN Country Programme (UNCP) Action Plan. The UNCP Action Plan provides the overall legal framework and the relevant management arrangements, which will apply to this AWP. The Implementing Partner (referred hereunder as the —Designated Institution) of this Programme will be the CCDA. The CCDA Executive Director will direct the programme and carry overall accountability for the programme to the Government of PNG and to the UN agencies as National Programme Director (NPD). The overall programme and each specific activity will be implemented under the leadership of the Government of PNG, represented by the NPD. It is envisaged that the NPD is then represented by the National Programme Manager in the UN’s Environment and Sustainable Livelihoods Task Team.

The Programme will be managed in accordance with the 2003 UNDG Guidance Note on Joint Programming. It will be executed by several —National Implementing Agencies, including the OCCD, the PNGFA, Provincial and District agencies, through the participating UN organizations UNEP, FAO, and UNDP. Each of those Implementing Agencies is accountable to the participating UN organization relating to the funds released for the delivery of a specific set of outputs and for management of inputs. Specialized service delivery costs for programme and project implementation may be charged directly to the National Programme, in accordance with the respective Participating UN Organizations’ policies, but such costs will amount to no more than 6 percent of the Participating UN Agency’s budget allocation will be through joint GoPNG Development Partners’ Climate Change Forum.

**1.1.3 Cost and Financing**

The total amount transferred to FAO under its component of the UN-REDD National Programme for Papua New Guinea is US\$ 6.27 million as shown in Table 2.

**Table 2: Programme Financing (US\$)**

UN Agency	Approved Programme Budget <sup>10</sup>	Amount Transferred <sup>11</sup>
FAO	4,520,750	4,520,750
UNDP	1,595,920	1,595,920
UNEP	150,000	150,000

#### 1.1.4 Programme Implementation Status

The proposed National Programme builds on the Interim NP draft developed in 2009 and has been updated to reflect progress on PNG's REDD+ readiness efforts over the past 12 months. It will support the relevant institutions, notably the OCCD, PNGFA and others, in furthering PNG's preparatory for REDD+ and help develop the capacity to sustainably implement and sustain a REDD+ framework in PNG. The NP will place strong emphasis on enhancing PNG's capacity and technical infrastructure to effectively measure, report and verify changes in net GHG emissions from activities related to REDD+ and will thereby contribute in a coordinated manner to some elements of PNG's larger integrated REDD+ readiness approach.

Over the past few years, PNG has made significant progress in building the institutional framework and developing the capabilities to effectively prepare for and manage REDD+ activities in the country. All activities proposed under the NP will be embedded in this framework and are concentrating on 47 the priorities emphasized in PNG's draft CCDS and Interim Action Plan. It is therefore ensured that the NP contributes to the longer-term strategy, framework and priorities that GoPNG is committed to pursue.

In addition, by anchoring the institutional responsibility for the success of the NP in existing institutions and committees, notably the CCDA and the REDD+ Technical Working Group for Programme Management, and the National Climate Change Committee for the Programme Executive Board, the NP actively contributes to embedding the results in a broader framework that will last beyond the NP's implementation period. This is further strengthened by helping to build additional capacities in the areas of REDD+ readiness and MRV to achieve this goal.

### 1. Capacity building

In 2010, PNG has laid the ground to create the institutional and governance structure to effectively deal with climate change and REDD+, as described in section 2.3 of this document. The next 18 months will see a strong emphasis on strengthening this institutional structure and enhancing the capacity among key institutions and stakeholders to efficiently and effectively fulfil their roles. To ensure that capacity building will be carried out in a targeted and focused manner, it will be important to clearly identify the needs of each stakeholder group in the capacity building efforts for REDD+ readiness. A capacity gap assessment for REDD+ readiness will be carried out to clearly identify what capacity development is needed for the different aspects of readiness, and where. This capacity gap assessment will inform the capacity building and training programs to address the needs of GoPNG, non-government

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<sup>10</sup> The total budget for the entire duration of the Programme as specified in the signed Submission Form and NPD.

<sup>11</sup> Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund.

institutions, and local communities. Full engagement of all involved GoPNG agencies, civil society organizations, provincial authorities, and – at the appropriate times – local communities will be critical to developing a robust and inclusive capacity building strategy. Accordingly, capacity building will cover a broad range of topics with a different focus for different stakeholders depending on their specific role in REDD+ readiness efforts and the envisaged REDD+ mechanism.

## **2. Strategy and policy development**

An updated version of the National Strategy for Climate-Compatible Development will be completed with the insights from a provincial consultation process and the ongoing international REDD+ negotiations. NEC Decision 55/2010, accepting the principles of climate-compatible development, mandates that, —A review is necessary of all national development policies and plans which impinge upon and are affected by climate change mitigation, adaptation, and low carbon growth, to ensure climate compatibility.|| In light of this direction, the Government is taking steps to ensure that:

- The Medium Term Development Plan for 2011-15, currently under development by the Department of National Planning, will be climate compatible.
- The Forestry and Climate Change Framework for Action (FCCFA) is implemented.
- A review is conducted of the National Agricultural Development Plan including the allocation of forest land for agriculture leases.
- Strict design principles and criteria are developed for all REDD+ projects, taking strong action against any unauthorized voluntary trading schemes.

Many of these activities have already been commenced by GoPNG and will be continued with the support of a broad range of stakeholders, such as civil society organizations, the private sector and development partners. The FCCFA has already been approved and PNGFA is initiating the steps to implement it. A review of forest carbon rights is foreseen for 2011. REDD+ project guidelines and safeguard criteria have been developed by the REDD+ Technical Working Group and are currently being finalized based on stakeholder comments (see Annex 6). They include social, environmental and fiduciary safeguards to ensure REDD+ falls into the broader development objectives of PNG and takes into account social and environmental benefits beyond GHG abatement, and particularly addressing the rights of resource owners.

## **3. Measurement, Reporting and Verification**

MRV features as one of the immediate priorities in the CCDS and Interim Action Plan, and it is a critical enabler for PNG's participation in international REDD+ systems. PNG's national MRV system will be a multifunctional instrument, serving as a guide for social, economic and environmental policies and providing information about forestry-related fields, such as biodiversity, and supporting the monitoring of the REDD+ safeguards<sup>25</sup>. The activities under the proposed National Programme will be closely tied into the broader REDD+ readiness efforts that GoPNG supports with its own resources, and with the help of other development partners.

PNG will develop its national MRV system according to Decision 4/CP.15 (Methodological Guidance relating to REDD+) and the Decision on the Outcome of the work of the AWG/LCA of COP16. The national MRV system will be developed in phases and aims to establish a framework which will support a fully operational performance-based REDD+ mechanism within a time-frame of three years. An interim phase will be the establishment of a National

REDD+ Information System (NRIS) to ensure that the implementation of REDD+ policies and measures are results-based.

Efforts are being made, particularly by PNGFA and UPNG, to increase the capacity for remote sensing and MRV in PNG. These are supported by development partners, most notably the Government of Japan/JICA with its comprehensive support to PNGFA for hardware and software for remote sensing. The UN-REDD NP provides a unique opportunity to complement these activities to develop a comprehensive MRV system for PNG and build the local capacity to operate it. The proposed NP therefore has a strong focus on this component which is outlined in more detail below. In order to ensure alignment of the different activities and stakeholders in progressing with an MRV roadmap for PNG, the OCCD organized an MRV workshop in February 2011 with the purpose of building collective awareness of on-going activities, highlighting potential for complementary and collaborative efforts, and, where possible, coordinating work plans and activities for more effective progress toward an MRV system for PNG.

#### **4. Models for payment processing, benefit sharing and dispute resolution**

Two critical decisions need to be made for the distribution of international REDD+ funds at the local level. First, how will funds be handled on a national level? Second, how will funds be used and distributed to pay for the costs of REDD+ activities and to compensate and incentivise local communities for potential livelihood changes?

The REDD+ Technical Working Group has finalised the Terms of Reference for a review and design study aimed at (i) reviewing the benefit sharing models and their implementation in existing sectors (e.g., mining and forestry) domestically and internationally, and (ii) designing the principles and framework for a model specific to REDD+ in PNG as a first step towards a REDD+ benefit sharing mechanism. It is envisaged that this study will be initiated in early 2011 with the support from development partners. The OCCD has approached AusAID to assess opportunities for co-funding through the PNG-Australia Forest Carbon Partnership.

In addition to the above-mentioned, The roadmap for developing a MRV system in PNG would at all stages accompany and support REDD+ readiness efforts, as outlined in the CCDS and the Interim Action Plan. The REDD+ process would follow through 3 broad stages:

- Phase 1 - Readiness: Capacity development for the establishment and testing of the national MRV system. In this phase, PNG will assess its historical forest area and carbon stock changes;
- Phase 2 - Implementation supported by transitional funding: Operational National REDD+ Information System with intermediate operational functionality of the Satellite Land Monitoring System and National Forest Inventory (pre-sampling data for conservative estimates of EF);
- Phase 3 - Payments for verified performance: Fully operational national MRV system. Integration of REDD+ activities with other mitigation mechanisms under UNFCCC.

The MRV system will enable identification and tracking of actions and processes that are related to the five activities identified under REDD+ and implementation of the most recently adopted or encouraged IPCC methodological approaches. The MRV system will also be the tool that will support the Forest National Information System that PNG will establish in order to provide and share information on the REDD+ safeguards (Annex I of Decision LCA/CP16)

### ***The National REDD+ Information System***

A National REDD+ Information System will be set up to provide information (domestically and internationally) on how the safeguards referred to in annex I of the Cancun decision on Outcome of AWK/LCA are being addressed and respected throughout the implementation of all the REDD+ 39 activities and all the forest-related issues. This information system will be PNG's central access point for information related to forests and REDD+. It will also be the key element to allow the participation of all relevant stakeholders and to ensure that the implementation of national REDD+ policies and measures, including safeguards, are results-based. To ensure that the system operates in a transparent way and that the type of information shared through the system is clearly defined, a legal act to empower the REDD+ Information System to collect and publish data should be considered, including aspects such as freedom of information and other supporting mechanisms.

The information on some REDD+ safeguards (e.g., transparent and effective national forest governance structures; respect for the knowledge and rights of indigenous peoples and forest resource owners; and actions that complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements) will be provided through an effective and transparent access to government acts and decisions, as well as through independent reports and analyses realized by NGOs and independent organization. It will also include PNG's REDD+ project guidelines that provide environmental, social and fiduciary safeguards (see Annex 6) and information on how those are applied in the evaluation of demonstration activities.

The REDD+ Information system will also be integrated with some component of the National MRV System as some of the REDD+ safeguards (e.g., actions to address the risks of reversals; actions to reduce displacement of emissions, and the conservation of the natural forest) will require monitoring activities in order to be able to provide information on their implementation, while at the same time protecting the rights of affected stakeholders, including logging operators. The emphasis on participatory approaches for forest management will greatly contribute to this effort. In that respect the REDD+ information system will publish reports of forest assessments by local communities and on the integration of their plans with the national REDD+ policies and measures.

## **2. Evaluation Objective and Scope**

The scope of the evaluation is the PNG UN-REDD National Programme. The evaluation will be based on data available at the time of evaluation and discuss outputs delivered by the programme from the time of inception, March 2012, until the time of closure, 31 March 2017. It will also assess the likelihood of future outcomes and impact that may not have been achieved yet by the end of June 2016.



The evaluation of the UN-REDD National Programme is undertaken to assess (i) programme performance in terms of relevance, effectiveness (outputs and outcomes) and efficiency, (ii) sustainability and up-scaling of results, and (iii) actual and potential impact stemming from the programme. The evaluation has the following objectives:

- To provide evidence of results to meet accountability requirements.
- To assess the status of REDD+ readiness in PNG, gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD Programme's future role in the REDD+ process in the country.
- To propose recommendations on how existing and potential financing and investment opportunities can be leveraged and better coordinated for the implementation of the national REDD+ strategy.
- To review the proposed institutional arrangements for REDD+ in the national REDD+ strategy and make recommendations on how to better implement REDD+ within these institutional arrangements.
- To promote learning, feedback and knowledge sharing through results and lessons learned among the participating partners and stakeholders including the Government and UN Organizations and other partners. The evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation in the country, especially future UN-REDD Programmes, and/or for the UN-REDD Programme as a whole.

The primary audience for the evaluation will be the Government of PNG, the three participating UN Organizations of the UN-REDD Programme and the programme resource partners. The secondary audience for the evaluation will be the national REDD+ stakeholders and the UN-REDD Policy Board. The evaluation will also be made available to the public through the UN-REDD Programme website ([www.un-redd.org](http://www.un-redd.org)).

## **2.1 Evaluation Criteria**

To focus the evaluation objectives, by defining the standards against which the initiative will be assessed, the following five evaluation criteria will be applied:

- i) **Relevance**, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategy 2011-2015<sup>12</sup> (or the UN-REDD Programme Framework Document<sup>13</sup> for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+-related programmes implemented in the country should

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<sup>12</sup> The UN-REDD Programme Strategy 2011-2015 is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)

<sup>13</sup> The UN-REDD Programme Framework Document is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

- also be examined, in terms of synergies, complementarities and absence of duplication of efforts.
- ii) **Effectiveness**, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved. To explain why certain outputs and outcomes have been achieved better or more than others, the evaluation will review:
    - a) **Processes that affected the attainment of project results** – which looks at examination of preparation and readiness of the project, country ownership, stakeholder involvement, financial planning, performance of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant donors projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.
    - b) **Implementation approach** - including an analysis of the project's result framework, performance indicators, adaptive management to changing conditions, overall project management and mechanisms applied in project management in delivering project outcomes and outputs.
  - iii) **Efficiency**, measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
  - iv) **Sustainability**, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
  - v) **Impact**, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy (Theory of Change) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

## 2.2 Evaluation Questions

The following list includes standard questions and issues that the UN-REDD National Programme evaluation should address. It is based on the internationally accepted evaluation criteria mentioned above, i.e. relevance, efficiency, effectiveness, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. The evaluation will assess the PNG UN-REDD National Programme as follows:

- i) **Relevance**
  - a) The National Programme's relevance to:
    - Country needs;
    - National development priorities as expressed in national policies and plans as well as in sector development frameworks;
    - UN Country Programme or other donor assistance framework approved by the government;
    - The UNDAF and the UN Joint Programme on Climate Change;

- The UN-REDD Programme Framework Document<sup>14</sup>;
  - Other REDD+ related programmes in the country, in particular the National REDD+ Strategy;
  - b) Robustness and realism of the theory of change underpinning the National Programme, including logic of causal relationship between inputs, activities, expected outputs, outcomes and impacts against the specific and development objectives and validity of indicators, assumptions and risks.
  - c) Quality and realism of the National Programme design, including:
    - Duration;
    - Stakeholder and beneficiary identification;
    - Institutional set-up and management arrangements;
    - Overall programme results' framework
    - Approach and methodology.
  - d) Evolution of National Programme objectives since programme formulation.
- ii) Effectiveness**
- e) Extent to which the expected outputs have been produced, their quality and timeliness.
  - f) Extent to which the expected outcomes have been achieved.
  - g) Assessment of gender mainstreaming in the National Programme. This will cover:
    - Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
    - Analysis of how gender relations and equality are likely to be affected by the initiative;
    - Extent to which gender issues were taken into account in Programme management.
    - Assessment of likely distribution of benefits and costs between stakeholders.
  - h) Use made by the National Programme of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC), and the UN-REDD / FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness, and the extent of which they have contributed towards national safeguards<sup>15</sup>.
  - i) Actual and potential contribution of the National Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the "Delivering as One" initiative and lessons learned incorporated into broader organizational strategies.
- iii) Efficiency**
- j) Cost and timeliness of key outputs delivered compared to national and regional benchmarks
  - k) Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs
  - l) Any time and cost-saving measures taken by the programme
  - m) Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken
- iv) Sustainability**
- n) Major factors influencing the achievement or non-achievement of sustainability of the programme.

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<sup>14</sup> The UN-REDD Programme Framework Document is available on: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

<sup>15</sup> None of the guidelines referred to were available during most of the period of programme implementation.

- o) The prospects for sustaining and up-scaling the National Programme's results by the beneficiaries after the termination of the initiative. The assessment of sustainability will include, as appropriate:
  - Institutional, technical, economic and social sustainability of proposed technologies, innovations and/or processes;
  - Perspectives for institutional uptake, support and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the National Programme.
- v) Impact**
  - p) Extent to which the initiative has attained, or is expected to attain, its social and environmental objectives; this will also include the identification of actual and potential positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended
  - q) Presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.
- vi) Factors affecting performance**
  - r) The evaluation will assess factors and processes that affected project results with particular attention to preparation and readiness of the project, country ownership, and stakeholder involvement, effectiveness of national and local implementing agencies, financial planning and management and coordination mechanisms.
  - s) Management and implementation of the National Programme, including:
    - Quality and realism of work plans;
    - Quality of operational management;
    - Performance of coordination and steering bodies;
    - Quality and quantity of administrative and technical support by the three participating UN Organizations; and
    - Timeliness, quality and quantity of inputs and support by the Government and partners.
  - t) Financial resources management of the National Programme, including:
    - Adequacy of budget allocations to achieve outputs;
    - Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
    - Rate of delivery and budget balance at the time of the evaluation.
    - Efficiency of fund-management arrangements.
  - u) Assessment of coordination mechanisms :
    - Between the three participating UN organizations to ensure joint delivery.
    - Between the Government and the three participating UN organizations to ensure programme outcomes are achieved.
    - Within and between Government ministries in order to ensure programme outcomes is achieved.
    - Between the National Programme and other bilateral and multilateral REDD+ initiatives.

In addition, the evaluation will review the following crucial questions:

- What is the status of REDD+ readiness in the country, looking at the typical REDD+ readiness components, and to which extent the programme contributed to each.

- What are the prospects for follow-up and scaling-up REDD+ in PNG, providing suggestions for potential UN-REDD engagement (if pertinent).

### **3. Evaluation Methodology**

The UN-REDD National Programme final evaluation will adhere to the UNEG Norms & Standards<sup>16</sup>. It will be conducted by two independent consultants under the overall responsibility and management of the three participating UN Organizations' Evaluation Departments through their participation in the Evaluation Management Group, in consultation with relevant headquarter, regional and country staff of the participating UN Organizations.

Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned<sup>17</sup>. Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.

The evaluation will assess the programme with respect to a minimum set of evaluation criteria using the table for rating performance in Annex 6.

In attempting to attribute any outcomes and impacts to the programme, the evaluators should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

As this is a final evaluation, particular attention should be given to learning from the experience. Therefore, the "why?" question should be at the front of the consultants' minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of "what" the programme performance was, and make a serious effort to provide a deeper understanding of "why" the performance turned out the way it did, i.e. of processes affecting attainment of programme results. This should provide the basis for the lessons that can be drawn from the programme. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain "why things happened" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of "where things stand" today. The consultant could also provide recommendations for the way forward.

### **4.2 Tools**

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<sup>16</sup>UNEG Norms & Standards: <http://uneval.org/normsandstandards>

<sup>17</sup> Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

The PNG UN-REDD National Programme final evaluation will make use of the following tools:

- a) A desk review of project documents including, but not limited to:
  - Relevant background documentation, including the UN-REDD Programme Framework Document<sup>18</sup>;
  - Relevant reports, such as National Programme Annual, Semi-Annual and quarterly Reports, publications, external evaluations by donors, partners etc.;
  - Project design documents, such as the National Programme Document, annual work plans and budgets, revisions to the logical framework and project financing;
  - Documentation related to National Programme outputs and relevant materials published on the Programme website, reports from workshops or consultations etc.;
  - The final report of the Strategic Review of the PNG UN-REDD National Programme;
  - Other relevant documents, such as possible new national policy documents, sector plans and available evaluations bearing relevance for UN-REDD.
- b) Semi-structured interviews<sup>19</sup> with key informants, stakeholders and participants, including:
  - Government counterparts;
  - Government stakeholders including all ministries participating from coordinating bodies or steering committees;
  - Civil Society Organizations;
  - Country , regional and headquarter personnel from the three UN-Agencies involved in the National Programme, e.g. the Programme Management Unit, Resident Coordination and Regional Technical Advisers;
  - Representatives from other bi-lateral or multi-lateral initiatives co-financing the NP if applicable.
- c) The Theory of Change and subsequent application of ROTl approach on progress towards impact<sup>20</sup>.

A list of key stakeholders and other individuals to be consulted would be included in Annex 5.

## **5 Consultation process**

While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will maintain close liaison with: the Evaluation Management Group (Consisting of representatives of the evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat), the REDD+ Coordination Unit, UN headquarters, regional, sub-regional and country level staff members, and other key stakeholders. Although the team is free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitments on behalf of the Government, the donor or the participating UN Organizations.

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<sup>18</sup> The UN-REDD Programme Framework Document is available on: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

<sup>19</sup> Face-to-face or through any other appropriate means of communications

<sup>20</sup> GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTl Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

The draft evaluation report will be circulated among the three participating UN Organizations, including the Evaluation Management Group, REDD+ Coordination Unit and other key stakeholders, including civil society, for comment before finalisation; suggestions will be incorporated as deemed appropriate by the evaluation team.

## **6 The Evaluation Team**

The Evaluation Team should consist of two evaluators, including one team leader. The evaluation team should comprise the best available mix of skills that are required to assess the PNG UN-REDD National Programme. Knowledge of the country in question, good technical understanding of the REDD+ field, as well as competence and skills in evaluation will be required. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The Evaluation Team members will have had no previous involvement in the formulation, implementation or backstopping of the initiative, and have no future engagement with the UN-REDD programme or the operational units, in PNG or within the participating UN agencies, involved in UN-REDD. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct<sup>21</sup> Agreement Form (Annex 3).

The Evaluation Team is responsible for conducting the evaluation as set out in these TORs and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs.

## **7 Evaluation Team Deliverables**

### **7.2 Inception Report**

Before going into data collection the Evaluation Team shall prepare an *inception report* containing a thorough review of the project design quality and the evaluation framework. The *inception report* should detail the evaluators' understanding of what is being evaluated and why, showing how the evaluation questions can be answered by way of: proposed methods and sources of data, as well as data collection procedures. The *inception report* will also present a draft, desk review-based Theory of Change of the National Programme, identifying outcomes, intermediate states towards impact, drivers and assumptions for evaluation. The *inception report* should also include a proposed schedule of tasks, activities and deliverables, as well as a desk based Theory of Change of the programme<sup>22</sup>. The evaluation framework should summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. This will allow the three participating UN Organizations to verify that there is a shared understanding about the evaluation and clarify any misunderstandings at the outset. A list of important documents and web pages that the evaluators should read at the outset

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<sup>21</sup> UNEG Code of Conduct for Evaluation in the UN system: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)

<sup>22</sup> GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

of the evaluation and before finalizing the evaluation design and the inception report is included in Annex 4. The Inception Report will be shared with the three participating UN Organizations and other relevant stakeholders and reviewed by the Evaluation Management Group.

### **7.3 Evaluation Reporting**

At the end of the field mission, the consultants will prepare a *preliminary findings report* (mission Aide memoire) and present their first findings to stakeholders in Lusaka at a debriefing session. The *preliminary findings report* should be shared with stakeholders invited to the debriefing session in advance of the meeting.

The reviewers shall prepare a *draft evaluation report* within three weeks after the field mission. The Team Leader bears responsibility for submitting the draft report to the UN-REDD Secretariat within three weeks from the conclusion of the mission, and the Secretariat will immediately transmit the draft report to the evaluation departments of the three participating UN Organizations. The evaluation departments will verify that the draft report meets their evaluation quality standards and may request a revision of the draft report by the consultants before it is shared with a wider audience. The draft evaluation report will then be circulated among the three participating UN Organizations, including the Evaluation Management Group, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the Evaluation Team. The consultants will prepare a *response to comments* in the form of a table listing all comments partially or entirely rejected by the evaluation team with an explanation why, which will be shared with stakeholders to ensure transparency. Confidential comments on the report will not be shared.

The *final evaluation report* will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the Terms of Reference. The length of the final evaluation report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable. Lessons learned will be based on programme experience and will specify the scope of their applicability beyond the programme.

The Evaluation Team shall propose the outline of the report in the inception report, based on the template provided in Annex 2 of this Terms of Reference. The report shall be prepared in English, and translated into French and Spanish.

Annexes to the evaluation report will include, though not limited to, the following as relevant:

- Terms of reference for the evaluation;
- Additional methodology-related documentation;
- Profile of team members;
- List of documents reviewed;
- List of institutions and stakeholders interviewed by the evaluation team;
- List of programme outputs/Programme results framework;
- Evaluation tools.

The Evaluation Team is fully responsible for its independent report which may not necessarily reflect the views of the Government or the three participating UN Organizations. An evaluation report is not subject to technical clearance by the evaluation departments of the three participating UN



Organizations, but has to meet the quality standards for evaluation of the three Organizations. The final report will be published on the UN-REDD Programme web site ([www.un-redd.org](http://www.un-redd.org)).

The Evaluation Team will be invited to present the findings, recommendations and lessons learned from the evaluation to a relevant event bringing (UN-)REDD stakeholders together in PNG, to promote the dissemination and ownership of evaluation results. The inception report should suggest at which appropriate event(s) this could be done. The Team may, after completion of the evaluation process, also be invited by one or more participating UN agencies to present the evaluation at regional office or headquarters level.

#### **8. Evaluation timetable and budget**

Table 3 outlines the tentative timetable and responsibility of the evaluation process. The timetable will be adjusted according to the availability of the selected consultant.

**Table 3: UN-REDD National Programme Evaluation Timeline**

Date:	Activity	Responsibility
October 2016	Draft National Programme Final Evaluation Terms of Reference (draft to be based on the "National Programme Final Evaluation Template")	FAO prepares the first draft of the TORs. The National Programme staff ensures the draft Terms of Reference is shared with the Government counterpart and other relevant key stakeholders, including civil society, for information and their comments.
November 2016	Review National Programme Final Evaluation Terms of Reference	Evaluation Management Group (Evaluation Departments of the two participating UN Organizations (in PNG it is FAO as lead in coordination with UNDP) and the UN-REDD Secretariat)
December 2016	Recruit consultants	National Programme Evaluation budget holder in consultation with the Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat)
January 2016	Preparation of Inception Report	Evaluation Team (consultants) Logistical support provided by the participating UN Organizations National Programme staff
January 2016	Review inception report	The two participating UN Organizations and the Evaluation Management Group (Evaluation departments of the three participating UN Organizations and the UN-REDD Secretariat)
January-February 2017	Evaluation Mission, including preparation of <i>preliminary findings report</i>	Evaluation Team (Lead Consultant) Logistical support provided by the participating UN Organizations' National Programme staff. Also, a one day debriefing meeting with stakeholders will be held at the end of the Evaluation Mission. At this meeting the <i>preliminary findings report</i> will be presented.
February 2017	Preparation of draft evaluation report and submission to UNREDD Secretariat.	The draft evaluation report will be submitted to the UN-REDD Secretariat at the latest 3 weeks after the mission has been completed.
March 2017	Review Draft Evaluation Report by the evaluation departments of the participating UN Organizations	The Evaluation Management Group (Evaluation departments of the two participating UN Organizations and the UN-REDD Secretariat) reviews the draft from the point of view of its evaluation quality and make comments to the Evaluation Team in that respect. If need be, the evaluation team will revise the draft report. The latter will be then circulated to other stakeholders for comment.
March 2017	Review Draft Evaluation Report by the participating UN Organisations, Government Counterpart, UN Country Offices and other stakeholders	The National Programme staff should ensure the Draft Evaluation Report is shared with the Government Counterpart and other relevant key stakeholders, including civil society, for information and their comments.
April 2017	Final Report	Evaluation Team Leader

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		Logistical support provided by the participating UN Organizations National Programme staff
April 2017	Presentation of evaluation results in PNG	Evaluation Team Leader
April 2017	Management response from the Participating UN Organizations	Participating UN Organizations
May 2017	Management response from the Government Counterpart	Government Counterpart
(TBC)	Dissemination of the report	The UN country offices on the national level and the UN-REDD Programme Secretariat on the global level (e.g. PB).

## **Annex 1: Evaluation consultancies Terms of Reference**

The Evaluation Team should consist of two evaluators, including one team leader. The Team Leader must have sound evaluation experience. The Team Leader will lead, organize, and supervise the work of the evaluation team, ensuring a division of labour that is commensurate with the skills profiles of the individual team members. He or she will have overall responsibility for the production of deliverables, in particular the evaluation report, and is ultimately accountable for its quality. The evaluation team should comprise the best available mix of skills that are required to assess the PNG UN-REDD National Programme, and ideally include in-depth knowledge of the National Programme country, good technical understanding of REDD+, as well as competence and skills in evaluation. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The Evaluation Team members shall have had no previous direct involvement in the formulation, implementation or backstopping of the National Programme, and have no future engagement with the UN-REDD programme or the operational units, in PNG or within the participating UN agencies, involved in UN-REDD. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct<sup>23</sup> Agreement Form (Annex 3).

The Evaluation Team is responsible for conducting the evaluation as described in the overall TORs of the evaluation, and applying the approach and methods they will propose in the inception report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs and oral presentations. The Evaluation Team shall collaborate on a single document for each of the three main deliverables (inception report, preliminary findings report and main report), while the Team Leader is responsible for coordinating the inputs and ensuring all deadlines are met.

### Competencies:

- Independent from the UN-REDD Programme and the participating UN Organizations, FAO, UNDP and UNEP.
- The evaluation team should comprise the best available mix of skills that are required to assess the National Programme, including:
  - Broad knowledge of REDD+ and its role in climate change policies and approaches, with 5-10 years' experience in the implementation of forestry and /or climate change projects and programmes in developing countries;
  - Good technical understanding of REDD+; Preferably in-depth knowledge of PNG and how REDD+ fits in with that;
  -
- Demonstrate experience from evaluations of similar types of programmes, using a Theory of Change approach to evaluation or demonstrated strong knowledge of Monitoring and Review methods for development projects.
- Excellent writing and editing skills.

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<sup>23</sup> UNEG Code of Conduct for Evaluation in the UN system: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)

- Attention to detail and respect for timelines.

Qualification requirements for both consultants:

- Advanced university degree in social science, development studies, forestry, environment and natural resources or relevant field.
- Minimum 12 (team leader)/7 (team member) years of professional experience is required, longer professional experience is an advantage, including proven experience from developing countries.
- Fluency in English language, both written and spoken is a requirement. Knowledge of local language would be a distinctive advantage. Familiarity with project implementation in complex multi donor-funded projects.

Deliverables:

- An inception report prepared;
- A preliminary findings report prepared and presented it at the end of the mission to programme stakeholders;
- A consolidated draft report that meets the quality requirements of the evaluation departments of the three participating UN agencies produced. The team leader is responsible for consolidating the report;
- A response to comments received from stakeholders on the draft report prepared;
- A consolidated final report produced. The team leader is responsible for consolidating the report.

Application:

Total days: 32 days

The work shall be completed in accordance with the below time schedule:

<b>Activity</b>	<b>Consultant One (Team Leader)</b>	<b>Dates</b>
Preparation of inception report outlining consultants understanding of key tasks as well as a work plan for the implementation of activities	3 days	
Desk review, evaluation mission, stakeholder meetings, draft evaluation report	20 days	
Draft final report, which has been approved and accepted	9 days	
<b>Total</b>	<b>32 days</b>	

Schedule of Payment:

<b>Deliverables</b>	<b>Percentage payment to Consultant One (Team leader):</b>	<b>Percentage payment to Consultant Two:</b>
An acceptable and satisfactory inception report	20%	20%
A draft evaluation report	30%	30%
Submission and approval of the final evaluation report, which incorporates comments and recommendations from Government, UN and key stakeholders	50%	50%

## **Annex 2: Annotated UN-REDD National Programme evaluation report outline**

The Evaluation Team can modify the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the UN-REDD National Programme final evaluation report should be 15-18,000 words, excluding executive summary and annexes.

### **Acknowledgements**

Insert acknowledgements.

### **Composition of the Evaluation Team**

Insert description of the composition of the Evaluation Team.

### **Table of Contents**

Insert Table of Contents.

### **Acronyms**

When an abbreviation is used for the first time in the text, it should be explained in full; it will be included in the list of acronyms when it is used repeatedly within the report.

### **Executive Summary**

The Executive Summary should:

- Be in length approximately 10-15% of the main report, excluding annexes;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

## **1. Introduction**

### **1.1 Background and purposes of the evaluation**

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- National Programme title, starting and closing dates, initial and current total budget;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

### **1.2 Methodology of the evaluation**

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

## **2. Context of the National Programme**

This section will include a description of the developmental context relevant to the National Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related and bilateral interventions if relevant.

### **3. Concept and relevance**

#### **3.1 Design**

National Programmes are built on assumptions on how and why they are supposed to achieve the agreed objectives through the selected strategy; this set of assumptions constitutes the programme theory or 'theory of change' and can be explicit (e.g. in a logical framework matrix) or implicit in a programme document.

This section will include a diagram and short description of the programme theory of change, including its results chains from outputs to impact, impact drivers and assumptions and will analyse critically:

- The appropriateness of stated development goals and outcomes (immediate objectives);
- The causal relationship between outputs, outcomes (immediate objectives) and impact (development objectives);
- The extent to which drivers for change have been recognized and supported by the programme;
- The relevance and appropriateness of indicators;
- The validity of assumptions and risks.

This section will also critically assess:

- The programme's institutional set-up and management arrangements;
- The adequacy of the time-frame for implementation;
- The adequacy of resources from all parties and appropriateness of budget allocations to achieve intended results;
- The adequacy of the methodology of implementation to achieve intended results;
- The quality of the stakeholders' and beneficiaries identification.

#### **3.2 Relevance**

This section will analyse the extent to which the National Programme's objectives and strategy were consistent with country's expressed requirements and policies, with beneficiaries' needs, and other programmes, at the time of approval and at the time of the evaluation.

There will also be an analysis of the degree to which the programme corresponds to priorities in the UN-REDD Programme Strategy.

### **4. Results and contribution to stated objectives**

#### **4.1 Outputs and outcomes**

This section will critically analyse the National Programme outputs: ideally, the evaluation team should directly assess all of these, but this is not always feasible due to time and resources constraints. Thus, the detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs prepared by the programme team should be included as annex. If appropriate, the section will also include an analysis of gaps and delays and their causes and consequences.



Further, the section will critically analyse to what extent expected outcomes (specific/immediate objectives) were achieved. It will also identify and analyse the main factors influencing their achievement and the contributions of the various stakeholders to them.

#### **4.2 Gender issues**

This section will analyse if and how the programme mainstreamed gender issues. The assessment will cover:

- Analysis of how gender issues were reflected in objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality and processes of women's inclusion were and are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in programme management.

#### **4.3 Capacity development**

The evaluation will assess:

- The extent and quality of programme work in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme.

#### **4.4 Sustainability**

This section will assess the prospects for long-term use of outputs and outcomes, from an institutional, social, technical and economic perspective. If applicable, there will also be an analysis of environmental sustainability (maintenance and/or regeneration of the natural resource base).

#### **4.5 Impact**

This section will assess the current and foreseeable positive and negative impacts produced as a result of the programme, directly or indirectly, intended or unintended. It will assess the actual or potential contribution of the programme to the planned development objective and to UN-REDD strategic objectives, described in the UN-REDD Programme Strategy 2011-2015.

### **5. Implementation**

#### **5.1 Budget and Expenditure**

This section will contain the analysis of the National Programme financial resources and management, including:

- Efficiency in production of outputs;
- Coherence and soundness of Budget Revisions in matching implementation needs and programme objectives; and
- Assessment of rate of delivery and budget balance at the time of the evaluation, compared to the initial plan.

#### **5.2 Programme Management**

This section will analyse the performance of the management function, including:

- Efficiency and effectiveness of operations management, both within the programme and by the participating UN Organizations, including timeliness, quality, reasons for delays and assessment of remedial measures taken if any;

- Effectiveness of strategic decision-making by programme management;
- Realism of annual work-plans;
- Efficiency and effectiveness of monitoring system and internal evaluation processes;
- Elaboration and implementation of an exit strategy;
- Role and effectiveness of institutional set-up, including steering bodies;

### **5.3 Technical Backstopping**

This section will analyse the extent, timeliness and quality of technical backstopping the programme received from involved units in the participating UN Organizations, at all levels (headquarter, regional, sub-regional and country offices).

### **5.4 Government's participation**

This section will analyse government's commitment and support to the programme, in particular:

- Financial and human resources made available for programme operations;
- Uptake of outputs and outcomes through policy or investment for up-scaling.

## **6. Conclusions and Recommendations**

Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

The section will include an assessment of the three participating UN Organizations role as implementing organizations and the quality of the feedback loop between the programme and the organizations' normative role, namely:

- Actual use by the programme of relevant participating UN Organizations' normative products (databases, publications, methodologies, etc.);
- Actual and potential contribution of programme outputs and outcomes to the participating UN Organizations normative work.

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Recommendations concerned with on-going activities should be presented separately from those relating to follow-up once the National Programme is terminated. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party(ies), i.e. the Government and the Participating UN Organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible.

Although it is not possible to identify a ‘correct’ number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

## **7. Lessons Learned**

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of similar projects or programmes, especially future UN-REDD activities and programmes in PNG. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

### **Annexes to the evaluation report**

I. Evaluation Terms of Reference

II. Brief profile of evaluation team members

III. List of documents reviewed

IV. List of institutions and stakeholders met during the evaluation process

The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.

V. List of programme outputs

This includes training events, meetings, reports/publications, initiatives supported through the programme. It should be prepared by the programme staff, in a format decided by the evaluation team, when details cannot be provided in the main text because too cumbersome.

VI. Evaluation tools

### Annex 3: Evaluation Consultant Code of Conduct<sup>24</sup> Agreement Form

The form is to be completed by all consultants and included as an annex in the final report.

<p style="text-align: center;"><b>Evaluation Consultant Agreement Form</b></p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: _____</p> <p><b>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</b></p> <p>Signed at (place) on (date)</p> <p>Signature: _____</p>
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### Annex 4: Documents to be consulted

The following list of documents should be consulted by the evaluators at the outset of the evaluation and before finalizing the evaluation design and the inception report:

- [UN-REDD PNG National Programme Document](#)
- Annual reports 2013-2015
- National Forest Monitoring System Action Plan (final draft)
- National Guidelines of Social and Environmental Safeguards
- [Forest and Land Use in Papua New Guinea 2013: The findings of Collect Earth assessment](#)
- [1<sup>st</sup> National Forest Inventory Papua New Guinea Field Manual](#)
- [Field guide for sampling and describing soils in the Papua New Guinea National Forest Inventory](#)
- [Proposed methodology for Faunal Biodiversity Assessment in Papua New Guinea's National Forest Inventory](#)
- [Methodology for Faunal Biodiversity Assessment \(insects\) - Papua New Guinea National Forest Inventory](#)
- [Collect Earth: land use and land cover assessment through augmented visual interpretation](#)
- [Technical support to the Papua New Guinea Forest Authority to implement a multipurpose National Forest Inventory Project – Inception workshop report –](#)
- [Multi stakeholder workshop on the EU Forest Law Enforcement Governance and Trade \(FLEGT\) initiative in Papua New Guinea and its possible implementation](#)
- [NFI leaflet \(final draft\)](#)
- [PNG REDD+ Forest Reference Level Submission](#)
- Training reports

Website

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<sup>24</sup> Code of Conduct for Evaluation in the UN System: [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

- [PNG REDD+ and Forest Monitoring Web-portal](#)

## Annex 5: Key stakeholders and partners

The following list of key stakeholders and other individuals should be consulted:

Name	Title / Organisation	Organization	Contact information
<b>PNG Government</b>			
Mr Ruel Yamuna	A/Managing Director	Climate Change and Development Authority	ryamuna959@gmail.com
Ms Gwen Sissiou	Manager, Mitigation and REDD+ Division	Climate Change and Development Authority	gsissiou@gmail.com
Mr Tunou Sabuin	A/Managing Director	PNG Forest Authority	
Dr Ruth Turia	Director, Policy and Planning Directorate	PNG Forest Authority	RTuria@pngfa.gov.pg
<b>Participating UN Organizations</b>			
Mr Roy Trivedy	UN Country Representative	UNDP	roy.trivedy@one.un.org
Mr Mirzohaydar Isoev	CTA, FCPF	UNDP	mirzohaydar.isoiev@undp.org
Mr Ken Shimizu	Country Rep.	FAO	Ken.shimizu@fao.org
<b>Donor/Bilateral Organizations</b>			
Mr Carlos Battaglini	Environment & Agriculture Programme Manager	EU	Carlos-Adolfo.BATTAGLINI-MANRIQUE-DE-LARA@eeas.europa.eu
Mr Kadowaki	Chief Advisor	JICA Forestry Project	
<b>Non-Governmental Organizations/Private Sector</b>			
Mr Thomas Paka	Director	Eco Forestry Forum	
Mr Cosmas Apelis	Country Director	The Nature Conservancy	capelis@TNC.ORG
Mr Peter Dam	Country Coordinator	PNG Forest Certification Inc.	peter.c.dam@gmail.com
Mr Bob Tate	Executive Officer	PNG Forest Industries Association (FIA)	fiapng@datec.net.pg +675 3259458
Mr Ian Orrell	Head of Sustainability	New Britain Palm Oil Limited	ian.orrell@nbpol.com.sg +675 3204000
Dr Vojtech Novotny	Director	New Guinea Binatang Research Centre	novotny@entu.cas.cz

**Annex 6: Rating Programme Performance**

Criteria		Comments
<b>Agency Coordination and implementation:</b> Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation	(rate 6 pt. scale)	
<i>Agency coordination</i>	(rate 6 pt. scale)	
<i>Project Supervision</i>	(rate 6 pt. scale)	
<b>Outcomes:</b> Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	
<i>Relevance:</i> relevant (R) or not relevant (NR)	(rate 2pt. scale)	
<i>Effectiveness</i>	(rate 6 pt. scale)	
<i>Efficiency</i>	(rate 6 pt. scale)	
<b>Sustainability:</b> Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).		
Overall likelihood of risks to Sustainability:	(rate 4pt. scale)	
<i>Financial resources</i>	(rate 4pt. scale)	
<i>Socio-economic</i>	(rate 4pt. scale)	
<i>Institutional framework and governance</i>	(rate 4pt. scale)	
<i>Environmental</i>	(rate 4pt. scale)	
<b>Impact:</b> Significant (S), Minimal (M), Negligible (N)		
Environmental Status Improvement	(rate 3 pt. scale)	
Environmental Stress Reduction	(rate 3 pt. scale)	
Progress towards stress/status change	(rate 3 pt. scale)	
<b>Overall Programme Results</b>		
		(rate 6 pt. scale)

<p><b>Ratings for Outcomes, Effectiveness, Efficiency, project implementation:</b></p> <p>6: Highly Satisfactory (HS): no shortcomings</p> <p>5: Satisfactory (S): minor shortcomings</p> <p>4: Moderately Satisfactory (MS)</p> <p>3. Moderately Unsatisfactory (MU): significant shortcomings</p> <p>2. Unsatisfactory (U): major problems</p> <p>1. Highly Unsatisfactory (HU): severe problems</p>	<p><b>Sustainability ratings:</b></p> <p>4. Likely (L): negligible risks to sustainability</p> <p>3. Moderately Likely (ML): moderate risks</p> <p>2. Moderately Unlikely (MU): significant risks</p> <p>1. Unlikely (U): severe risks</p>	<p><b>Relevance ratings</b></p> <p>2. Relevant (R)</p> <p>1. Not relevant (NR)</p> <p><b>Impact Ratings:</b></p> <p>3. Significant (S)</p> <p>2. Minimal (M)</p> <p>1. Negligible (N)</p>
<p><b>Additional ratings where relevant:</b></p> <p>Not Applicable (N/A) ; Unable to Assess (U/A)</p>		

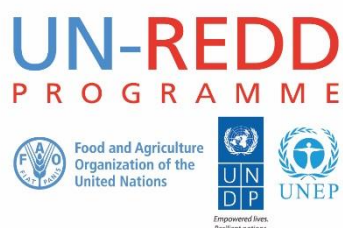






## Annex 5: Key stakeholders and partners

*Annex 2: Warsaw Framework for REDD+ and Associated UNFCCC Decisions. RAPID ASSESMENT of PNG.*



## Warsaw Framework for REDD+ and Associated UNFCCC Decisions

## RAPID ASSESMENT of Papua New Guinea

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UN-REDD Programme

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June 2017

### Warsaw Framework for REDD+ and Associated UNFCCC Decisions

This section aims to provide insight and to support a thought process into how countries are progressing against the framework of the convention, namely: 5.1) a National REDD+ Strategy or Action Plan; 5.2) a Safeguards and Safeguards Information System; 5.3) a National Forest Reference Emission Level/National Forest Reference Level; and 5.4.) a National Forest Monitoring System. Only complete the sections that apply to the priorities identified for the country and mark as not applicable (N/A) any criteria that do not apply to the context of the country.

#### National Strategy or Action Plan

Supported by (select all applicable and provide details of Other Source): <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the achievement made in developing a National REDD+ Strategy or Action Plan (NS/AP) as well as the source of the support provided in this regard: [100 words]  The NP did not support the development of a National REDD+ Strategy, but instead supported the development of appropriate management and coordination arrangements for REDD+ implementation, and commissioned a number of studies which will feed into the development of the Strategy,

Indicator	Start <sup>25</sup> (Yes)	End <sup>9</sup> (No)	Qualifier (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification
Does the country have a National Strategy or Action Plan (NS/AP) to achieve REDD+?	X		Not yet initiated	While work did not start under the NP on PNG's National REDD+ Strategy (NRS), progress was made in 2015 towards the assessment of national circumstances that will feed into and inform strategy options that ultimately will be detailed in the NRS. A study was commissioned on the assessment of the drivers of deforestation and forest degradation in PNG, with the analytical work completed before the end of 2015 and consultation and presentation of the findings in early 2016. The study was accompanied by a long-list of policies and measures (PAMs) that address the country-specific direct and indirect drivers of deforestation and forest degradation that will be subjected to a consultative process in 2016 to select priority REDD+ actions. These in turn will form the basis of PNG's NRS, a draft of which was ready by the end of 2016 and which will undergo consultation and finalization in 2017.
		X	Under design	
			Drafted, under deliberation	
			Adopted	
			Link to the NS/AP provided on the UNFCCC REDD+ Web Platform Info Hub	
			Implementation in early stages	
			Full implementation of NS/AP	

<sup>25</sup> Mark with an X, the progress indicated by the qualifiers at the start and end of NP implementation.

Degree of completeness of national REDD+ strategies and/or action plans.			The NS/AP identifies, assesses and prioritizes the direct and underlying drivers of deforestation and forest degradation, as well as the barriers to the "plus" (+) <sup>26</sup> activities on the basis of robust analyses.	N/A
			The NS/AP proposes a coherent and coordinated set of policies and measures (PAMs) for REDD+ that are proportionate to the drivers & barriers, results-oriented and feasible.	N/A
			The NS/AP relates to the scope and scale of the FREL/FRL, taking into account national circumstances.	N/A
			The NS/AP defines the institutional arrangements for REDD+ implementation, including governance measures, participatory oversight and inter-sectoral coordination.	N/A
Degree to which the NS/AP incorporates principles of social inclusion and gender equality.			The NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process.	N/A
			The proposed policies and measures for REDD+ integrate gender-responsive actions.	N/A
			The proposed policies and measures for REDD+ consider the realization of land and resource tenure rights (when relevant), as well as the development priorities of indigenous peoples and local communities as well as their development priorities.	N/A
Degree of anchoring of the NS/AP in the national development policy and institutional fabric.			There is effective inter-ministerial coordination for REDD+ action.	N/A
			Endorsement of the NS/AP has been obtained at a high political level, beyond the agency or ministry that led the REDD+ readiness process.	N/A
			REDD+ actions or targets are embedded in the national plan or policy for sustainable development.	N/A

<sup>26</sup> Plus (+) activities within the context of REDD+ refer to conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks

		There is evidence that ministries/agencies outside the forest and environment sectors are committed to implementing REDD+ policies and measures.	N/A
		Financing arrangements to start implementing the NS/AP (or to channel results-based finance) are designed.	N/A

### Safeguard Information System

Supported by (select all applicable and provide details of Other Source):  National Programme;  Targeted Support;  Other Source;  Not Applicable

The draft National Guidelines on Social and Environmental Safeguards were field tested in Milne Bay province at the end of 2014. The indicators identified in the current guidelines need further detailing to cater for regional or provincial circumstances. The Web portal is the major REDD+ information dissemination tool in PNG. The Web-portal with forest and land use maps and REDD+ information was launched online in 2015.

Indicator	Start (Yes)	End (No)	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification.
Does the country have a Safeguard Information System (SIS) that provides information on how the Cancun safeguards are being addressed and respected throughout implementation of REDD+ actions?			No	The national Safeguards guidelines were drafted and the web-portal was launched to support the transparency of the PNG REDD+ process. However, levels of understanding on SIS remained limited and further development of safeguards work would be reliant on definition of policies and measures to be implemented as part of the National REDD+ Strategy.
			SIS objectives determined	
			Safeguard information needs and structure determined.	
	X		Existing information systems and sources assessed.	
			The SIS is designed, building on existing, together with any novel, information systems and sources clearly articulated in a national government-endorsed document.	
			The SIS is functional, building on existing, together with any novel, information systems and sources that are clearly articulated in a national government-endorsed document.	
			Summary of information on REDD+ safeguards, informed by the SIS, has been submitted to UNFCCC.	
Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+			Aligns with the NS/AP, covering the social and environmental benefits and risks of the policies & measures for REDD+ being considered by the countries.	N/A
			Defines specific policies, laws and regulations (PLRs), as well as other measures, to address the identified benefits and risks.	N/A
			Have institutional arrangements and/or capacities to implement those PLRs and to monitor the REDD+ safeguards.	N/A

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			Transparently provides information on how safeguards are respected and addressed.	N/A
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### Forest Reference Emission Level / Forest Reference Level

Supported by (select all applicable and provide details of Other Source):  National Programme;  Targeted Support;  Other Source;  Not Applicable

Please provide a brief description of the achievement made in developing a Forest Reference Emission Level / Forest Reference Level (FREL/FRL) as well as the source of the support provided in this regard (100 words):

The National Programme supported the development of PNG's Forest Reference Level (FRL). The assessment on annual forest and land use change in 1999-2015 using Collect Earth provided Activity Data for the FRL. Emission Factors were determined through careful reviewing of published studies in PNG and IPCC Guidelines (2006). PNG established the FRL using the data derived through Collect Earth and Terra applications. The FRL was discussed among stakeholders at three national consultation workshops and a validation workshop in 2016 and was finalized and submitted to UNFCCC in January 2017.

Indicator	Start (Yes)	End (No)	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification
Has the country established a FREL/FRL?			Not yet initiated	Annual GHG emissions and removals between 2000 and 2015 were estimated by the PNG MRV system. PNG FRL submission was drafted and finalized through three national consultation workshops and a validation workshop in 2016. PNG FRL was submitted to UNFCCC in January 2017 ( <a href="#">UNFCCC FREL/FRL submission site</a> ).
			Capacity building phase	
			Preliminary construction phase	
			Advanced <sup>27</sup> construction phase	
			Submission drafted	
		X	Submitted to the UNFCCC	
Robustness of FREL/FRL submissions	Yes		Submission is transparent, complete, consistent and as much as possible accurate and allows reconstruction of the submitted FREL/FRL.	FRL was established using the data derived from PNG's MRV system, which is accurate and transparent. It allows reconstruction of the submitted FRL.
	Yes		Includes pools and gases, and REDD+ activities (Scope) and justification for omitting significant pools and/or activities.	PNG's FRL explained why REDD+ activities and carbon pools were included and provides justifications for activities and carbon pools that were excluded.
	Yes		Justifies where the submission is inconsistent with previous versions of GHG inventory.	PNG's FRL is not consistent with the country's previous reports such as the first and second National Communication. Previous reports were prepared based on literature reviews but the FRL was developed based on actual data derived from the newly-developed MRV system. Such inconsistency with the previous reports is fully explained in the submission.
	Yes		Includes details of the forest definition used and national circumstances.	PNG's national forest definition is endorsed by the National Executive Council and the national circumstances are described well in the FRL submission.
	Yes		Defines the geographic area covered by FREL/FRL (scale).	PNG chose national scale and this is explained in the FRL submission.

<sup>27</sup> FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

### National Forest Monitoring System

Supported by (select all applicable and provide details of Other Source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the achievement made in developing a National Forest Monitoring System (NFMS) as well as the source of the support provided in this regard (100 words):
The National Forest Monitoring System (NFMS) consists of a monitoring function, to assess the implementation and impact of national policies and measures for REDD+, and a MRV function to estimate and report GHG emissions/removals in the LULUCF sector. The Satellite Land Monitoring System (SLMS) produces Activity Data, using Terra PNG (wall to wall mapping) operated by CCDA, and Collect Earth (point sampling) operated by PNGFA. These two systems verify, supplement and improve the data accuracy of each other. These in-house land use spatial information tools, together with extensive information from other national and international sources, are uploaded on to the web-portal, which enables public scrutiny of land use and forest information of PNG and thus enhances the transparency of REDD+ processes in the country. The National Forest Inventory (NFI) is the primary information source for Emission Factors for the MRV system. Methodologies were prepared and tested in the field. Numerous trainings were conducted, necessary capacity was built and the field assessment was initiated. The national MRV system has thus been completed, but the NFMS monitoring function will be designed once national policies and measures on REDD+ have been determined.

Indicator	Start (Yes)	End (No)	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means of verification
Has the country established a NFMS?			No	PNG's MRV system was developed and produces information on national GHG emissions in the LULUCF sector. However, REDD+ policies and measures have not yet been determined so the monitoring function will be developed according to the contents of the future REDD+ strategy.
			NFMS capacity building phase	
			Preliminary construction phase	
			Advanced <sup>28</sup> construction phase	
		X	NFMS generating preliminary information for monitoring and MRV	
	X		NFMS institutionalized and generating REDD+ monitoring and MRV (satellite land monitoring system, national forest inventory, greenhouse gas inventory)	
Degree of completeness of the NFMS in UN-REDD supported countries	Yes		NFMS includes a Satellite Land Monitoring System (SLMS)	PNG's NFMS includes point sampling and wall-to-wall mapping to monitor Activity Data.
	Yes		NFMS includes a National Forest Inventory (NFI)	A multipurpose National Forest Inventory has been implemented.
	Yes		NFMS includes a National GHG Inventory (GHGi)	Annual GHG emissions and removals from 2000 to 2015 were estimated by PNG's MRV system and the information was used for the development of PNG's Forest Reference Level.

<sup>28</sup> NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).

	Yes	The NFMS is suitable for estimating anthropogenic forest-related greenhouse gas emissions by sources, and removals by sinks, forest carbon stocks, and forest-area changes resulting from the implementation of REDD+ activities;	PNG's MRV system can monitor forest area change and carbon stock change in the forests owing to anthropogenic activities.
	Yes	The NFMS is consistent with Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines;	It is consistent with IPCC guidance as much as possible.
	Yes	The NFMS enables the assessment of different types of forest in the country, including natural forest.	PNG's MRV system enables assessment of GHG emissions/removals due to anthropogenic activities in 12 natural forest types.




*Annex 3: Annotated UN-REDD National Programme Evaluation Report Outline*

**To be included in the final version**

*Annex 4: Evaluation Consultant Code of Conduct Agreement Form*

The form is to be completed by all consultants and included as an annex in the final report.

<p>Evaluation Consultant Agreement Form</p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: <u>Nelson Gapare</u></p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Signed at Madrid on August 2017</p> <p>Signature:  _____</p>
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*Annex 5: Basic documents to be consulted*

1.	National Programme Document (2011-03-28-PNG-UN-REDD-NPD-final-w.-appendix)
2.	GCP-PNG-006-EC_Project_Document
3.	UN-REDD PNG Annual Progress Report 2013
4.	UN-REDD Papua New Guinea NP Annual Progress Report 2014_draft
5.	UNREDD NP Annual Report 2015_EN
6.	UNREDD NP Annual Report 2016_170401
7.	PNG national REDD+ circumstances report 2016
8.	Annex_2_NFI_Inception Workshop_Report_draft_ver1_EK
9.	FCPF Midterm Review Report and Request for Additional Funding
10.	FCPF Readiness Preparation Proposal (R-PP)
11.	Final_Report_UN-REDD_PNG final draft ec_ha
12.	EU End of Mission Report _PNG_122-2
13.	Annex_1_Forest_Land_use_PNG_2013_CE_ver.1.1_151007
14.	Annex_2_NFI_Inception Workshop_Report_draft_ver1_EK
15.	20140831_Working_Final_Draft_FPIC_Guidelines_Clean_OCCD
16.	Gap Analysis Final Draft July 2014
17.	Institutional and Context Analysis for the UN-REDD BSDS in Papua New Guinea - final
18.	PNG Draft REDD+ Strategy_Final_Draft
19.	REDD+ Resource Manual-Revised version5
20.	Final Draft PNG Principles, Criteria and Indicators (1)
21.	Guidelines for Establishing a National Benefit Sharing and Distribution System in Papua New Guinea
22.	FLEGT - Workshop Report A4 Layout

*Annex 6: Key stakeholders and partners*

Name	Title / Organisation	Organization	Contact information
<b>PNG Government</b>			
Mr Ruel Yamuna	A/Managing Director	Climate Change and Development Authority	ryamuna959@gmail.com
Ms Gwen Sissiou	Manager, Mitigation and REDD+ Division	Climate Change and Development Authority	gsissiou@gmail.com
Mr Tunou Sabuin	A/Managing Director	PNG Forest Authority	
Dr Ruth Turia	Director, Policy and Planning Directorate	PNG Forest Authority	RTuria@pngfa.gov.pg
Gewa Gamoga		PNGFA	
Rabbie Lalo		PNGFA	
Elizabeth Kaidong		PNGFA	
Goodwill Amos			
Peter Katapa	National Project Coordinator	CCDA/FCPF	
Paul Hasagama	GIS Officer MRV & NC Branch	Climate Change and Development Authority	
<b>Participating UN Organizations</b>			
Abe Hitofumi	CTA (NFI)		
Julian Fox		FAO	
Ms Gwen Maru,		UNDP	
Mr Mirzohaydar Isoev	CTA, FCPF	UNDP	mirzohaydar.isoev@undp.org
Joel Scriven		UNDP	
Mr Ken Shimizu	Country Rep.	FAO	Ken.shimizu@fao.org
Oala Iuda	FAO		
Mary Piafu	FAO		
Thomas Enters	UNEP	UNEP	
Timothy Boyle	UNDP	UNDP	
<b>Donor/Bilateral Organizations</b>			
Mr Carlos Battaglini	Environment & Agriculture Programme Manager	EU	Carlos-Adolfo.BATTAGLINI-MANRIQUE-DE-LARA@eeas.europa.eu
Mr Kadowaki	Chief Advisor	JICA Forestry Project	
<b>Non-Governmental Organizations/Private Sector</b>			
Mr Thomas Paka	Director	Eco Forestry Forum	
Mr Cosmas Apelis	Country Director	The Nature Conservancy	capelis@TNC.ORG
Mr Peter Dam	Country Coordinator	PNG Forest Certification Inc.	peter.c.dam@gmail.com

## *Annex 7: Consultant Profile*

**Mr Nelson Gapare (International Consultant/Team Leader).** Nelson holds a M.B.A. from Massey University, New Zealand (2006), a Postgraduate Diploma in Resource Studies from Lincoln University, New Zealand (1999) and a Diploma in Forestry Management from the Zimbabwe College of Forestry (1993).

Nelson has worked in the Climate Change, Environmental Management, mapping and Geospatial Technology industry since 1991. His background includes 5 years in Forestry Research in Africa; six years with a State Owned Enterprise in New Zealand focusing on Forestry, Biosecurity, and Climate change; four years with the New Zealand Ministry for the Environment and five years with Indufor working with international governments and private sector on forestry, climate change, REDD+ and MRV design projects. With SNV Laos, Nelson was responsible for the oversight of multiple international REDD+ projects in South East Asia including LEAF, ENRICH, MBREDD, ADB Capacity Building for REDD+.

Nelson has broad experience in climate change, greenhouse gas inventory reporting for the LULUCF sector, environmental management policy, and geospatial technology supplemented by a broad understanding of the UNFCCC and international negotiations and opportunities for REDD+. Nelson has extensive experience in national REDD+ Programs with experience in Laos, Vietnam, Indonesia, Zambia, Tanzania, Guyana, and Zimbabwe.

Previously, Nelson was involved in the development of the Vegetation Resource Information System during his 5 years with the Forestry Commission of Zimbabwe. He has also undertaken forestry projects in DR Congo, South Africa, Tanzania, Kenya and Zimbabwe. Nelson has also worked in management roles for two central government agencies that lead New Zealand's climate change response strategy - The Ministry of Primary Industry and Ministry for the Environment where he led the design and implementation of the New Zealand Land Use and Carbon Analysis System.

