
Strategic Action Programme
for the International
Waters of the Pacific Small
Island Developing States

First National Coordinators Meeting

29 April–3 May, 2002

Apia, Samoa

Meeting Report 2002/01

Participating Countries in the International Waters Programme

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

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**GLOBAL ENVIRONMENT FACILITY
UNITED NATIONS DEVELOPMENT PROGRAMME
SOUTH PACIFIC REGIONAL ENVIRONMENT PROGRAMME**

**STRATEGIC ACTION PROGRAMME FOR THE INTERNATIONAL WATERS OF THE
PACIFIC SMALL ISLAND DEVELOPING STATES**

**FIRST NATIONAL COORDINATORS' MEETING (NCM-1)
29th April - 3rd May 2002
SPREP Training and Education Centre
Apia, Samoa**

Summary Record of Discussion

1. National Coordinators for the Strategic Action Programme for the International Waters of the Pacific Small Island Developing States (IWP or Programme) from Kiribati, Marshall Islands, Nauru, Niue, Palau, Samoa, and Tonga participated in the First National Coordinators' Meeting (NCM-1) at the SPREP Training and Education Centre, Apia, Samoa from 29th April to 3rd May 2002. An observer representing the Government of Kiribati, a representative from the United Nations Development Programme (UNDP), staff of the South Pacific Regional Environment Programme (SPREP) and the Project Coordination Unit (PCU) for the IWP also participated in the Meeting. A list of participants is included as Annex I.

Opening

2. The IWP Project Manager, Mr Andrew Wright, opened the Meeting welcoming participants to the complex offices in Samoa. He outlined the schedule for the Meeting noting that the first three days were reserved for discussion on principal Programme elements including economic, social, communication and administrative issues associated with the design and implementation of community-based sustainable resource use and conservation initiatives. The final two days of the Meeting were dedicated to reviewing information from similar programmes from the region or elsewhere that could be applied to pilot project development under the IWP. The Meeting Schedule is included as Annex II.

Apologies

3. No apologies were received.

Procedural Issues

4. The Project Manager outlined administrative arrangements for the Meeting.

Adoption of Agenda

5. NCM-1 adopted the agenda which is included as Annex III.

Overview of the IWP and Pilot Project Objectives

6. Referring to the Project Document and the Inception Report, the Project Manager Mr Andrew Wright, provided an overview of the IWP. The overview commenced with an outline of the scope of international waters and its relevance to the Pacific islands region. Mr Wright summarised the goal, objectives and principal activity areas envisaged for Programme as presented in the Project Document. He noted that the Programme has two components, a coastal component and an oceanic component with the PCU based at SPREP responsible for implementation of the coastal component while the oceanic component is implemented through the Secretariat of the Pacific Community (SPC) and the Forum Fisheries Agency (FFA).

7. The Project Manager summarised the principal anticipated outputs of the Programme as presented in the Project Document and provided additional detail relating to the principal elements of a community-based pilot project. He noted that pilot projects are considered to be localised, small-scale, issue-focused, demonstrations that promote opportunities for building partnerships to address a priority environmental concern.

8. He concluded his presentation by noting that the tasks ahead for National Coordinators are complex and that the capacity of National Coordinators to manage the processes associated with the national component of the IWP will be a critical determinant for successful project implementation.

Social Issues in Community-based Resource Management and Conservation Initiatives

9. The PCU's Community Assessment and Participation Specialist, Dr Natasha Stacey, commenced the first session on social issues with a discussion on the need for social analysis and community participation to be incorporated into the IWP pilot projects. An introduction to some of the social and cultural issues that can affect community-based natural resource management initiatives was presented. Dr Stacey drew the attention of National Coordinators to the IWP Social Assessment and Participation Strategy which has been drafted to guide National Coordinators, staff of the PCU and others with the planning, design, implementation, and monitoring of social issues and community participation in the 14 pilot projects to be implemented under the Programme. The remainder of the session focused on the notion of "Stakeholders" and tools for identifying stakeholders, their interests and relationships in IWP pilot projects. A group exercise was undertaken to provide National Coordinators with experience in conducting a simple Stakeholder Inventory.

10. The second session on social issues commenced with a presentation on the concept of "participation" and different levels of stakeholder participation in natural resource management initiatives. Dr Stacey discussed some of the tools and methods that National Coordinators can use to promote participatory processes in IWP pilot projects.

11. The final part of the session focused on the IWP Social Assessment and Participation Strategy, with Dr Stacey discussing the three components of the Strategy to familiarise National Coordinators with the document and resources it contains, in addition to the background resources National Coordinators were provided with on CD. The social session was finished with a summary of the main points discussed.

12. In assessing future requirements in relation to assisting National Coordinators address social issues, participants recommended that additional training sessions focus on tools that may be applied to social assessment and participatory elements of the pilot projects. It was also noted that while it was useful to understand the theory relating to social issues associated with the pilot projects, National Coordinators considered additional practical sessions involving examples incorporating social considerations in community-based resource management and conservation initiatives would be beneficial.

Economic Considerations in Pilot Project Implementation

13. The PCU's Natural Resource Economist, Ms Paula Holland, gave a presentation on economic considerations for community-based management. Ms Holland explained that individuals choose to do actions because they expect to gain 'net benefits' from them - that is, individuals expect that the benefit of doing the action will outweigh any costs they face.

14. Ms Holland indicated that, as a result, pilot projects will need to include activities that offer net benefits to communities - otherwise communities are unlikely to participate. National Coordinators will thus need to consider the benefits and costs that project proposals offer.

15. Ms Holland described different approaches for changing the benefits and costs that individuals expect when considering actions that affect the environment. She noted that different approaches have different implementation costs and different impacts. Ms Holland suggested that project proposals will only be in the public interest if the benefits they are expected to generate exceed implementation costs. She also noted that National Coordinators will need to consider the distribution of benefits within communities.

16. National Coordinators emphasised the need to understand the role of economic considerations in decision-making processes that affect natural resource use and conservation. They noted that many of the concepts and terms in Ms Holland's presentation were new to them and that additional training was required to better develop resource economic concepts and understand the most effective means to incorporate economic considerations in the design and implementation of pilot projects. As with social assessment and participatory issues, the National Coordinators requested that future capacity-building exercises relating to economic considerations include more interactive sessions using actual examples of economic elements of community-based initiatives.

Communication Issues in Community-Based Resource Management and Conservation Initiatives

17. The PCU's Community Communication Specialist, Mr Samson Samasoni presented a three-part session on communications issues associated with the IWP that included:

- an introduction to the concept of communications;
- an explanation of the key components of the IWP Communication Strategy;
- discussion of the basis for dividing communication activities into three plans - Public Relations, Social Marketing and Community Education; and
- an overview of the type of activities involved in each of the communication disciplines.

18. Mr Samasoni explained that Public Relations activities would be implemented at the global/regional, national and local levels of the IWP. He emphasised that Public Relations was an on-going process that involved ensuring all stakeholders were informed and advised about the IWP (or actively briefed in the case of key primary stakeholders). National Coordinators would oversee the implementation of plans at the National and Local levels. He outlined the concept of Social Marketing explaining how various tools could be used to sell “social change concepts”. In addition, he outlined elements involved in running a Community Education programme.

19. The session concluded with an outline of the development of Samoa’s National Communication Profile including an explanation of the development of their Public Relations Plan as a critical element of their National Communication Strategy.

20. The National Coordinators expressed appreciation to Mr Samasoni for his presentation. They were particularly receptive to the examples of the various concepts drawn from other areas or initiatives so that the potential for incorporating similar approaches in the IWP could be better appreciated. They agreed that effective National Coordinators will need to be supported by an effective communication strategy. They requested on-going assistance from the PCU in this respect. The possibility of adapting the Samoan National Communications Strategy to their own country situations was identified as offering significant potential to National Coordinators for the development of their own strategies.

Administrative and Logistical Issues Associated with the IWP

21. Mr Wright introduced the session dedicated to the administration of the national components of the Programme by noting that effective management processes are critical to the Programme’s success. He noted that administrative processes for the IWP are governed by several factors which include the formal arrangements for Programme implementation agreed between SPREP and UNDP and the formal arrangement governing implementation of national components of the Programme described in the Memorandum of Understanding executed between SPREP and all 14 participating countries. He also noted that in-country arrangements for the administration of externally-funded programmes such as the IWP would also have implications for the administration of the IWP and that such arrangements are likely to be different among the 14 participating countries.

22. He drew the attention of National Coordinators to the National Execution Modality (NEX) of UNDP which had been identified as the administrative guideline for the IWP in the Project Document. He considered that successful implementation of the national components of the IWP would largely be determined by the ability of the PCU and National Coordinators to adapt the NEX procedures to effectively serve the administrative needs of the IWP. In an effort to assist in this regard, the PCU had produced an Administration Procedures Manual, the principal components of which Mr Wright proceeded to review with National Coordinators participating in the meeting. He advised that the efficiency of all elements of the Administration Procedures Manual would be periodically assessed and revised as required. Revisions to the Manual will be lodged on the IWP website as they occur.

23. National Coordinators noted that the Programme will need to work within several administrative processes. They observed that the PCU was required to work within UNDP and SPREP administrative procedures and that each of the 14 participating countries would have different administrative demands on their national components. They noted that previous regionally-implemented programmes had often experienced significant administrative challenges particularly in relation to funds management. They expressed appreciation for PCU efforts to date in trying to develop relatively simple administrative arrangements. They encouraged the PCU to continue to explore opportunities to support National Coordinators in their efforts to effectively administer their national programmes.

Assessment of Technical Sessions

24. NCM-1 assessed the content and utility of the four sessions covering social, economic, communication and administrative issues. They considered that the time provided was insufficient to absorb the amount of information that had been provided - particularly since many of the concepts and strategies were new to them. As a result they recommended additional briefing sessions to reiterate some of the concepts introduced during this first meeting and develop other elements more thoroughly. It was recommended that further development of these presentations include examples that relate to actual situations from the region with which National Coordinators can identify. In addition, that more practical “hands-on” experience be provided to National Coordinators in using various tools. This would assist National Coordinators develop a greater confidence in managing these processes as central elements of their national project.

25. National Coordinators expressed appreciation for the strategic, structured approach to the design and implementation of pilot projects proposed by the PCU. They noted that it was not expected that National Coordinators be experts in all areas and that National Coordinators would require considerable backstopping in order to be able to adequately service each element within their national projects. In this respect National Coordinators highlighted the need to compile a list of local experts or experienced local organisations that may be able to assist with particular elements of their programme. National Coordinators also highlighted the value of being able to meet each other and share experiences face-to-face, and that the PCU should also consider other ways of regularly bringing National Coordinators together such as through tele-conferencing and video conferencing, where possible.

26. The representative from UNDP, Mr Tom Twining-Ward, noted that National Coordinators had been recruited on the basis of a competitive selection process which had identified them as the outstanding candidates for the post among all applicants. He noted that there are considerable expectations, at the regional and national level, that National Coordinators will successfully oversee the national components of the Programme. He added that, aside from the considerable expense, UNDP experience demonstrated that regional training activities had generally not met expectations in terms of building capacity. He raised the possibility of an individual training needs assessment for National Coordinators.

27. NCM-1 noted the difficulty that will be experienced in some participating countries engaging meaningful participation in the National Task Force (NTF). National Coordinators noted that some participating countries already had committees or working groups that had been established to support other activities, such as the National Biodiversity Strategies and Action Plans (NBSAP) or preparations for the World Summit on Sustainable Development (WSSD), which could be adapted to service the needs of the IWP. In other countries, such as Tonga, Cabinet had appointed a National Environment Committee, which is tasked with overseeing all externally supported environment-related programmes in the country - including the IWP.

28. The Meeting agreed that the NTF should not develop a role as micro-manager of the pilot project. The Meeting considered the possibility of promoting the pilot project as a small project implementing a component of a broader national strategy to address a national environmental management issue - to use the pilot project as a practical element of a government supported national strategy. Such an approach may engender broad support for the pilot. The Meeting also noted that it may take some time before the intent and commitment of the IWP is recognised as having some national benefit. This underscored the need for the early implementation of an effective communications strategy as a critical element of the IWP - at both national and regional levels.

29. The Meeting considered ways to actively engage relevant government departments and agencies in the IWP at the national level. In addition to acknowledging the important role of National Coordinators in disseminating information concerning their respective activities under the Programme to all potential interest groups in government, NCM-1 suggested opportunities be offered to involve more government officials in regional discussions of Programme issues such as meetings of National Coordinators. The observer from the Ministry of Environment and Social Development for Kiribati, Mr Bootii Nauan, considered such opportunities would be an excellent vehicle for promoting government buy-in to the programme.

30. In response to a question from the National Coordinator from Samoa, Mr Faraimo Tiitii, the representative from UNDP, Mr Tom Twining-Ward, confirmed that UNDP policy prohibited the payment of sitting fees to public servants. He noted that some SPREP executed UNDP programmes had paid sitting fees in the past and that this was a breach of policy. It would be closely monitored in future programmes to ensure UNDP policy was complied with. He added that the UNDP policy was consistent with the policy of other development assistance partners active in the region and other South Pacific regional organisations.

Lessons Learned Session

31. Mr Peter Hunnam, who had been invited by the PCU to facilitate a two-day session to review the experience of other community-based initiatives in addressing sustainable resource use and conservation issues, opened discussion with a review of programme and activities that could have particular relevance to the IWP. These included the South Pacific Biodiversity Conservation Programme (SPBCP), the Coral Reef Rehabilitation and Management Programme (COREMAP) in Indonesia, the Packard Foundation supported Integrated Coastal Management programme being implemented by the University of Washington, a recent review of success factors relating to community-based marine protected area projects in the Philippines, and various initiatives undertaken by the World Wildlife Fund for Nature (WWF) in the region. In addition Mr Hunnam noted that the review of lessons learned and best practice in integrated coastal watershed management initiatives, in the Pacific islands region, commissioned by the PCU in 2001 would also provide material for discussion during the sessions.

32. Mr Hunnam asked participants to identify key steps associated with establishing their respective IWP activities. On the basis of the short to medium term tasks that had been identified to establish the national component of the IWP, the meeting considered the lessons from other programmes that may be taken into account as implementation of the IWP proceeds.

33. To support this session, Mr Hunnam summarised some principal conclusions that had been identified from other related programmes and reviews. He referred to a review of lessons and best practice for integrated coastal watershed initiatives in the South Pacific region commissioned by the PCU in 2001 and prepared by Jenny Whyte and colleagues from the Foundation of the Peoples of the South Pacific International. Drawing on a large number of programmes and activities from the region and elsewhere, the review concluded the critical process tools in the design and implementation of community-based sustainable resource use and conservation projects include:

- a holistic approach (i.e. that the design is broad in approach, that it be multi-sectoral and that it provide opportunities for connectivity with other related initiatives);
- provision for information acquisition, appraisal, documentation, monitoring and evaluation;
- adaptive and evolving plans and management systems (i.e. that the project be one that is implemented as an evolving “process” as opposed to one that operates from a “blue print” prepared in a distant office);
- provision for collaboration between multiple stakeholders;
- full participation of local stakeholders; and
- in-built mechanisms for conflict resolution and mediation.

34. Subsidiary tools that were considered to increase the likelihood of success included:

- stakeholder analysis to understand evolving interests and concerns of different stakeholders;
- awareness raising and education directed toward garnering support and increasing the capacity of stakeholders at all levels;
- means to promote collaboration among diverse stakeholder interests for the realisation of conservation goals;
- the provision of resources to maintain and strengthen relationships between stakeholders and partners;
- strong and charismatic leadership at the community, organisation and programme level; and
- management committees that involve those with direct interests in resource management.

35. The conclusions of a recent review of community-based marine protected area initiatives in Indonesia and Philippines by Richard Pollnac and colleagues were also identified as being instructive for IWP pilots. The key points for establishment of successful marine protected areas included:

- that the project area is small and that the population in the project area is also relatively small (of the order of 200 to 300 households);
- that there is a locally-perceived crisis in fish abundance before the marine protected area is established;
- successful project alternative income generating activities;
- a high degree of democracy within the community and that the project captures a high level of community participation;
- the capacity of the implementing organisation to provide on-going advice; and
- an active role for local government in a co-management-type arrangement.

36. Supplementary observations from the review included that the success of projects was apparently not dependent on the presence or absence of a full time facilitator nor on whether or not the community itself had initiated the project.

37. Additional lessons for project management and the planning, design, implementation and monitoring for a large regional programme, the SPBCP, were also discussed. This was identified as being particularly relevant to the IWP as the implementing and executing agencies are the same for both programmes. In this respect, critical issues identified included the:

- difficulties created for the IWP, in a similar way as the SPBCP, being a project-within programme-within-programmes;
- need to adapt a “process” approach to project development and implementation as opposed to a “blueprint” approach and the critical role of preparatory assistance as a means to achieve a “process” approach;
- need to regularly review the logical framework for the project and the objective review of assumptions and risks including an assessment of alternative courses of action to address constraints and risks;
- need for an inception report and an implementation plan;
- understanding timeframes;
- need for clearly documented administrative procedures;
- need for adaptive management providing flexibility to accommodate changing circumstances including an assessment of costs and benefits for alternative courses of action, utilising new information for project benefit, perhaps information generated by regular periodic monitoring of project implementation issues that includes stakeholders;
- effective management of information;
- efficient documentation processes;
- need for baseline assessments;
- identification of appropriate indicators and benchmarks to gauge progress (rate of spending is not useful);
- need to be able to assess wider impacts;
- desirability for accommodating, and promoting, institutional learning needs; and

- desire to consider sustainability issues through the implementation of frugal pilots that offer opportunities for extension of project achievements through broad strategies.

38. NCM-1 discussed “management levels” and relationships in large regional programmes such as the SPBCP. A weakness identified in the design of the SPBCP was that there was no provision for developing a role for the lead government agency. The Meeting considered prospects for success of the national components of the IWP would be improved if a role for the lead government agency could be developed within the Programme. The Meeting recommended that each National Coordinator, in association with the PCU, research opportunities for developing an active participatory role for lead government agencies in the programme throughout project implementation. This underscored the need for National Coordinators to develop an effective communications strategy so that potential stakeholders in government are regularly informed of IWP progress and opportunities to engage in the Programme.

39. NCM-1 recommended that particular attention be applied during the formulation phases of the Programme to addressing the perception that IWP activities are confined to a small, discreet, community-based pilot project only. The Meeting acknowledged that the intent of the IWP is far broader than that with longer term potential to apply the results of the IWP community-based pilot projects to the refinement of government policy in support of sustainable resource use and conservation.

40. National Coordinators recommended that considerable effort be dedicated to raising an understanding among key government officials and NGO groups that the national component of the IWP is a project that is inclusive of the multi-sectoral interests of government in the focal areas targeted by the IWP, all other stakeholder interests in the country not located at the pilot project site and the community hosting the pilot project itself. The Meeting noted that the NTF is the best vehicle for promoting this concept.

41. To gain an appreciation of the inter-related elements associated with accurately identifying critical environmental issues and the relationships among different stakeholder groups, NCM-1 participated in a project mapping exercise. The exercise:

- commenced with a problem tree analysis for a hypothetical situation relating to degradation of coastal resources and loss of biodiversity;
- created an objectives tree for a project to be designed to address the problems identified;
- mapped external factors that may influence project outcomes;
- developed a project map, and
- applied this strategy to a hypothetical IWP pilot project that could be established in any of the IWP participating countries.

42. NCM-1 participants assessed the usefulness of the 2-day lessons learned session and identified additional needs in respect of adapting the lessons of other programmes and initiatives to the design and implementation of the pilot projects.

43. The National Coordinators considered that they had been provided with a significant amount of information that is relevant to the tasks they face in formulating their pilot projects. However, they generally agreed that there are still a significant number of uncertainties relating to pilot project selection and management. They considered that while the review of lessons learned from similar community-based projects elsewhere was useful they recommended future sessions should focus on the practical application of tools, such as project mapping, that had direct relevance to the challenges of establishing the pilot projects. Utilising examples from the region would make such sessions even more meaningful.

44. A summary of issues discussed during the review of lessons from other community-based programmes of relevance to the IWP is included as Annex IV.

Other Business

45. On the basis of discussions throughout the week, the PCU released Version 1.04 of Guidelines for the Initial Phase of the IWP: In-country arrangements, review of priority concerns and selection of pilot projects (Annex IV). The Meeting noted that the major revision was associated with the process suggested for soliciting pilot project concepts (Appendix V).

46. In support of this, a list of Principal Tasks associated with the identification of the priority environmental issues to be addressed by the pilot project and leading to the selection of the community in which the pilot project will be implemented was prepared (Appendix VI). National Coordinators noted that their activities during the next two months would be focused on addressing these tasks.

47. A list of additional background and reference material provided in hard copy or electronic form to National Coordinators is included as Annex VII.

Next Meeting

48. In consultation with officials from participating countries and IWP National Coordinators the PCU will determine the venue and date for the second meeting of National Coordinators (NCM-2). It was noted that the Seventh Pacific Islands Conference on Nature Conservation and Protected Areas scheduled for 8-12 July at Rarotonga, Cook Islands offered a useful opportunity for National Coordinators to meet to discuss the status of their respective national programmes.

Adoption of Summary Record of Discussion

49. NCM-1 adopted this Summary Record of Discussion.

Close of Meeting

50. The Project Manager, Mr Andrew Wright, extended his appreciation to SPREP administrative personnel, particularly to Ms Rosanna Galuvao, the PCU Secretary, Ms Amosa Tootoo, Mr Puni Chong Wong and Mr Faamanu Fonoti who provided logistical support to the meeting. He thanked Mr Peter Hunnam and the PCU staff for the efforts they put into preparations for the Meeting and National Coordinators for their constructive participation in discussions throughout the week. He noted that Annex V provided National Coordinators with a significant workload for the next two months. He reminded National Coordinators of the support available from the PCU, on request and as commitments to other participating countries permit, to assist with the completion of these tasks.

51. On behalf of participants, Dr Komeri Onorio, thanked the PCU and supporting SPREP staff for the excellent Meeting.

52. The Meeting was declared closed.

Annex I

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Annex II

NCM-1 Meeting Schedule

	Monday 29th NCM-1	Tuesday 30th NCM-1	Wednesday 1st NCM-1	Thursday 2nd PTAG-2	Friday 3rd PTAG-2
0830-1000	Review of IWP objectives and what is a pilot project?	Economic issues (cont.)	Administrative and logistical issues associated with the IWP	Lessons and practice in community-based resource management and conservation initiatives - overview of programmes and initiatives	Cont.
1000-1030	Tea break				
1030-1200	Social issues in community-based resource management and conservation initiatives	Communication issues in community-based resource management and conservation initiatives	Administrative issues (cont.)	Identification of critical issues Discussion: Objectives Tasks Activities Risks and Benchmarks	Cont.
1200-1300	Lunch				
1300-1430	Social issues (cont.)	Communication issues (cont.)	Administrative issues (cont.)	Cont.	Cont.
1430-1500	Tea break				
1500-1630	Economic issues in community-based resource management and conservation initiatives	Communication issues (cont.)	Meeting evaluation and general discussion. Identification of further needs.	Cont.	Log Frame of Objectives Tasks and Activities to support pilot project implementation Meeting evaluation

Annex III

NCM-1 Meeting Agenda

- a) Opening
- b) Introductory Remarks [Mr. Andrew Wright, Project Manager, IWP]
- c) Procedural Issues
- d) Adoption of Agenda
 - 1. Overview of the IWP and Pilot Project Objectives
 - 2. Social Issues in Community-based Resource Management and Conservation Initiatives
 - 3. Economic Considerations in Pilot Project Implementation
 - 4. Communication issues in community-based resource management and conservation initiatives
 - 5. Administrative and logistical issues associated with the IWP
 - 6. Meeting Assessment
 - 7. Other Business
- e) Next Meeting
- f) Adoption of Summary Record of Discussion
- g) Close of Meeting

Annex IV

Summary of Issues Discussed during Review of Lessons from other Community-based Programmes relevant to IWP

Introduction

A Meeting was held between 29 April and 3 May 2002 for National Coordinators (NCs) responsible for in-country activities under the Strategic Action Programme for the International Waters of the Small Island Developing States of the Pacific (IWP). Seven National Coordinators representing Palau, Marshall Islands, Kiribati, Nauru, Niue, Samoa and Tonga participated in the Meeting. Two days were reserved to review lessons from previous, similar community-based programmes. A second Meeting for National Coordinators from the remaining IWP participating countries is scheduled for mid-June.

The Meeting was focused on reviewing the objectives and strategies for implementing the IWP. Peter Hunnam, working as a facilitator to the IWP's Project Coordination Unit (PCU), facilitated the lessons learned session. This report outlines the contents, the issues and lessons covered during that two-day session.

Background

The International Waters Programme includes a five-year programme of support to 14 Pacific Island Countries¹ for pilot projects aimed at addressing sustainable resource management and conservation issues in the coastal zone. The pilot projects will include support for local community actions, seeking to strengthen in-country capacity and provide lessons for best, appropriate practices in one or more of four focal areas:

- Marine protected areas;
- Sustainable coastal fisheries;
- Freshwater resource protection; and
- Community-based waste reduction.

The pilot projects are intended to serve as the leading edge to implementing national strategies in these areas. Each project may include national actions as well as local community initiatives.

Over the past decade there has been a range of comparable programme in the Pacific islands region and elsewhere that provide lessons for the design and development of the IWP and the 14 national pilot projects. The workshop referred to conclusions drawn from the following:

- South Pacific Biodiversity Conservation Programme (SPBCP)
- Indonesia's Coral Reef Rehabilitation and Management Program (COREMAP)
- Integrated Coastal Watershed Conservation and Management Initiatives in the Pacific Islands Region (report to IWP by J. Whyte (ed), 2002)
- Community-Based Marine Protected Areas in the Philippines (research by R. Pollnac et al., 2001)
- WWF South Pacific Program (1990-2001).

The SPBCP is of particular relevance as IWP was conceived as a "follow-up" to the SPBCP. Both are "regional programs" financed through the Global Environment Facility (GEF), implemented by the United Nations Development Programme (UNDP), executed by SPREP, and comprising local community-based projects to support resource management and conservation initiatives in the PICs.

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

LESSONS FOR THE INTERNATIONAL WATERS PROGRAMME

1. INTEGRATING CONSERVATION AND DEVELOPMENT

1.1 *Multi-sectoral Project:* The issues to be tackled through the IWP - over-use and degradation of coastal natural resources - cut across the major sectors of national economies and government. To be effective, overall IWP strategy must consider management of fisheries, watersheds, land, forestry, agriculture, tourism, coastal protection, transport, infrastructure, environmental protection, education, integrated planning, and rural community development.

1.2 *National Task Forces:* It is essential for the policy and decision-makers in these sectors to be engaged and feel part of the IWP initiative. The proposed National Task Force (NTF) in each country is intended to provide a forum for integrating the sectoral activities of government and non-government agencies. It will be important for NTF members to develop and achieve consensus on broad national strategies to tackle the priority concerns identified, rather than merely focusing on the IWP pilot project and its progress.

1.3 *Linked Strategies:* The national strategies developed by the IWP NTF must be linked and coordinated with other relevant national strategies. In particular, in many PICs, these include a National Biodiversity Strategy and Action Plan, and preparations for the World Summit on Sustainable Development. It will not be enough to merely link the Task Forces or coordinating bodies; it will be valuable to examine the similarities and overlaps between the IWP initiative and other strategies, and to develop them into a common national strategic framework².

1.4 *Community Development Priorities:* Projects which aim to strengthen natural resource management, conserve biodiversity or protect natural environments by working with local communities need to also address local economic and social development needs. In many localities there is an association between high biological conservation significance and low social and economic development. Community-based conservation programs may need also to assist community development and economic development activities. They should be undertaken with full regard to the local people, their social and economic circumstances, development history and aspirations. Options available to the local community should be considered - the feasibility, social benefits and ecological sustainability of a broad suite of potential income generation activities - including subsistence activities, their sustainability and prospects for enhancement. Conventional measures of protecting sites or particular species need to be considered within a broader approach that is based on sustainable use of local natural resources. Conservation outcomes result from ensuring that development ventures are ecologically sustainable, in terms of sites, species and methods used.

2. Lessons for COMMUNITY-BASED PROGRAMMES

2.1 *Community-Centred:* The philosophy behind local community-based programmes is that local people and institutions make better resource management decisions, because their communities, cultures and livelihoods are directly dependent on the natural environment, biodiversity and resources. "Community-based management" recognises community resource rights and responsibilities under prevailing customary tenure arrangements in Pacific island countries.

2.2 *Bridging Device:* Programmes like the IWP have to bridge two worlds - between donors, executing agencies and government partners on the one hand, and participating rural village communities and their local institutions on the other. To be successful, genuine commitment is needed to support local community initiatives which are suitably small in scale, locally determined and driven by participatory processes and communal decision-making.

2.3 *Community-Owned:* Large regional or integrated programmes should be set-up and managed as a relatively simple administrative framework that provides support to and monitors the series of local projects or activities. Local community components should be handed over more-or-less completely to the local community and its institutions to develop and run. The community should have ownership and control of the proposed programme, to decide whether it goes ahead, and to determine its objectives, activities, processes and timing.

2.4 *Community Self-Selection:* Communities should be able to "self select" to participate in the IWP pilot projects. This can be done by designing the framework programme to target a general area and set of issues, and then to inform local communities and invite their participation. The IWP Guidelines for the Initial Phase (see Annex V) provide for such a process. A minimum of information should be sought from the potential community at the initial stages. It should be just enough to confirm which communities will be participants and to outline their envisaged project.

² The NCM-1 Workshop suggested using participatory planning tools to assist NTF members to jointly analyse the situation being tackled, identify the range of possible programmes that would be valuable and the links between them, and to map out the potential project(s) to be undertaken.

2.5 *Self-Determination:* The programme to be followed by each self-selected community should be planned subsequently by the participating community members themselves, within the overall framework set by the Programme. Until this occurs, there should be no specific plan for a conservation or development program, but merely an idea, to enable the community to undertake a collective planning exercise, to consider together the community's history and present situation, and to try to form a common vision for the future. The role of the outside project should be to facilitate and advise the process on options available to the community to deal with issues perceived. Time and flexibility are essential ingredients for this process to work satisfactorily. If this is successful, the idea can be extended to assisting the community to work towards the vision.

2.6 *Community Rights and Institutions:* The initial steps have to contend with most "local communities" being amorphous social units and not organised to work collectively. It should be sufficient to rely initially on existing local institutions, community representation and decision-making processes, but to recognise that these may benefit from being strengthened later in the programme. Institutional-strengthening at community level is an important objective of community-based programmes, and should extend to confirming community and individuals' rights relating to resource tenure, access and use.

2.7 *Community Capacity Building:* The IWP project must avoid the tendency to "micro-manage" activities at the community level; it is inappropriate, ineffective and unsustainable. The outside project can help initially to build the community's capacity to handle these functions, but the main learning and capacity-building will come from the experience of doing, and this should accrue to the community rather than to the outside project managers. Participatory planning tools such as introduced to the NCM-1 Workshop should be used to assist community members to identify their range of issues and options and to participate in mapping potential project activities.

3. Lessons for SUSTAINABILITY

3.1 *Mainstreaming:* A project is a relatively short-term or intensive intervention aimed at making a difference in a specific target situation. An important measure of project success is for the beneficial changes brought about to be sustained beyond the project. The IWP aims to strengthen the capacity of regional, national and local community organisations in the PICs to undertake and support effective coastal resource management. A key lesson from the SPBCP and similar programmes is to recognise the whole system that fosters (or hinders) nature conservation and sustainable development in a society. Projects should not be undertaken in isolation; they need to work with mainstream elements of the system to ensure that the broader circumstances are conducive to success. Results needed are likely to include supportive national policy and laws, accessible education, training and information, strengthened village community institutions and processes for collective planning, decision-making and action, and proven options for effective resource conservation and income generation. These are the building blocks of a system needed to sustain community-based resource management and sustainable development, both during and beyond the project.

3.2 *Appropriate Affordable Change:* A critical consideration is for the changes introduced to be appropriate and desirable to sustain. Many projects use their substantial resources to introduce processes and systems that are too expensive to operate without continuing external support. Frugal interventions appear to be unfortunately rare in community conservation and development projects, yet they are what is needed because they are more likely to be sustained. The indicative budgets for IWP pilot projects are of concern in this regard.

3.3 *IGAs:* The purpose of supporting community income-generating activities (IGAs) should not be so that their profits can pay for resource management or conservation measures. Community conservation initiatives require a more down-to-earth approach. The local community may be interested in conserving the natural values of its surroundings, while individual entrepreneurs, land holders and households want to use some portion of the resource. Often, the only conservation measure that is needed is to ensure that the proposed resource use will be ecologically sustainable as well as socially beneficial. The activity or its intensity, location, methods, equipment etc., may need to be modified so that the resource is not degraded. This is directly closing the link between the use of a resource and its conservation; the user pays for the conservation.

3.4 *Overall Strategy:* The underlying lesson for ensuring sustainability of an initiative like the IWP is to have a realistic long-term strategy agreed by the community, resource users and government, and to recognise that the project is just a short-term intensive part of that overall strategy. At the local, national and regional levels, relevant stakeholders should develop strategies for resource management, environmental protection or conservation, which recognise that aid projects provide short boosts to the system, and which specify commitments to supporting and implementing further elements of the strategy.

4. Lessons for NATURAL RESOURCE MANAGEMENT PLANNING

4.1 *Management Tool:* Management planning has become a widely used tool in most natural resource management fields, including species protection, nature parks and reserves, forestry, fisheries, farmlands, water catchments, tourism, recreation and others. It is “advance decision-making” for the management of the target resource or site, working through critical factors, negotiating resolution of potential issues and laying down the ground rules. A good management plan is a clear, succinct précis of the facts and rules set for the management scheme. It forms a readily accessible source of reference for all interested parties. It is also a useful tool for the purpose of monitoring progress and adapting management to changing circumstances. In addition, the process of management planning can be an invaluable mechanism for empowerment and participation, collating information, sharing knowledge and views, identifying and resolving issues, building consensus and cohesion, forming partnerships and mobilising action.

4.2 *Participatory Process:* Resource management planning may be important in the IWP pilot projects. It should be undertaken as a continuing process for the life of resource management initiative, with plans developed, endorsed, reviewed, updated, revised and re-endorsed periodically. The process can tackle, over time, all issues pertaining to achieving conservation and sustainable development of a resource or an area. However, it is not appropriate or effective to strive too rapidly for “comprehensive rationalism” and try to “complete” a Management Plan. Management planning should be kept simple, done in small increments by the key stakeholders, with thorough attention to achieving genuine participation and to self-monitoring and evaluation of results and achievements. Community-based management planning should be properly participatory, preceded if necessary by strengthening local institutions and building the capacity of stakeholders to participate. Participation requires time. Initially, in the first year or three, the only decisions might be provisional - a politically-acceptable steering committee, interim limits on scope or boundaries, a preliminary statement of goals and identification of the main strategies to be developed. On the other hand, the process should be transparent; decisions made must be explicitly clear and the rationale should be recorded. As planning proceeds the accumulated decisions form the Management Plan, but it should remain “a living document”, i.e. subject to review, development and periodic up-dating.

5. Lessons for PROGRAMME MANAGEMENT

5.1 *Programme Supervision:* Supervision and direction of the IWP should be rigorous, dynamic and based on clear understanding of responsibilities, relationships, systems and procedures. Delegation, trust, monitoring and adaptation are important elements of the management system. Supervision should be provided by the Multi-Partite Review (MPR) setting policy, monitoring and adjusting broad programme directions. These functions require an elected long-term chairman, senior representation from countries and possibly a standing executive committee to deal with issues arising between meetings.

5.2 *Executing Agency:* The Executing Agency, SPREP, needs to manage the IWP as a discrete intensive project separate from its core work. The EA’s management and administrative procedures - for reporting, funds disbursement, employment of personnel, and procurement of equipment - should be modified if necessary to suit the project. The EA should be well prepared to work with the different systems and standards of project partners, particularly as the project goals include building the capacity of partners and as these will include community groups with low levels of capacity and sophistication.

5.3 *Advisory Groups:* Advisory Groups at regional or national levels should adopt a clear systematic process in deliberations, referring to a specific project planning and monitoring framework, and itemising and periodically collating recommendations. The groups should maintain independence and objectivity by not including EA, IA and project management representatives.

5.4 *Lead Agencies:* For the IWP project, national Lead Agencies are key in-country partners and co-executing agencies. They will need project resources and capacity-building to undertake their two significant functions - supervision and support for the local projects, and liaison and coordination with other in-country agencies and programmes which could provide assistance to local activities. Regional programme management should work through the Lead Agencies, not directly with the local project staff.

5.5 *Project Document:* Large complex programmes like the IWP require good planning and formal specification and agreement on what is proposed. The Project Document outlines the concepts and general design aspects of the programme, but deliberately should not prescribe in detail how activities should be carried out. It should be reviewed formally, annually, and appropriate sections updated or added, in order for the document to remain relevant as the broad guide to the programme.

5.6 *Inception or Implementation Plan:* Given the broad, conceptual nature of the Project Document, an Implementation Plan, produced during an inception or mobilisation phase by the Executing Agency and approved by the MPR and/or Implementing Agency, provides a useful detailed specification of the proposed programme and methodology.

5.7 *Three-Year Rolling Plan:* The implementation plan should be supplemented by an annual planning process based on a three-year rolling plan prepared and up-dated each year for each part of the programme. Single-year plans contribute to a narrow focus on administrative details of activities and inadequate attention to broader progression of the programme. An implementation plan and three-year rolling plan can form the basis for more detailed contractual arrangements between Implementing Agency, Executing Agency and in-country partner Lead Agencies. This is useful in clarifying expectations and responsibilities. Each of the subsidiary plans prepared should be linked to the overall project logical framework.

6. Lessons for PROJECT DESIGN

6.1 *Pilot Projects:* Reliance on a blueprint design for IWP pilot projects is unrealistic. Project management needs to adapt incrementally as it progresses through rigorous cycles of design, pilot activities, monitoring, documentation and adjustment. Each stage of the programme and each aspect of each local project should be approached, designed, documented and evaluated as a pilot exercise or case study. IWP supervisors and managers need to work closely and creatively together to ensure that this happens. They should give systematic feedback on management reports, review emerging technical issues and require or suggest changes in policy or implementation.

6.2 *Preparatory Assistance:* A Preparatory Assistance phase can be valuable to support preliminary proposal development activities by organisations during the design period. This allows time for local communities, landholders and organisations to participate in developing concept proposals. It should be a dynamic introductory process, inviting submission of simple, preliminary concepts, and starting dialogue early with potential in-country Lead Agencies.

6.3 *Concept Plans:* Each local project proposal should be formed initially as a succinct and simple outline concept, able to be produced in-country by a community-based organisation, with encouragement and guidance by a project or government liaison officer - the National Coordinator in the case of the IWP. Attempts to rapidly produce sophisticated plans should be avoided. Adequate, flexible and variable in-country processes of consultation, consideration and decision-making are essential. It is more valuable at this preparatory stage for the Executing Agency to focus on initiating partnerships with appropriate agencies that may subsequently make good in-country Lead Agencies. Such a strategy focuses first on the partnership and only secondly on the joint initiative to be undertaken by the partnership. This can help establish a useful relationship between the regional programme and the Lead Agency, identifying clearly at the outset the key role, responsibilities and needs of the latter.

6.4 *Logical Framework:* Pilot project design will be strengthened by development of a logical framework that spells out the hierarchy of linked objectives and the sequence of planned outputs. A log frame can be developed easily from a visual 'map' of the project drawn up by community participants. A clear set of goals and a single statement of purpose are essential to forming a focused, discrete project. Project management reports should be constructed around this framework and should be succinct, self-appraising and pro-active in identifying technical issues and possible solutions.

6.5 *Process Projects:* A key lesson is to design a project as a staged process that progresses incrementally from concept to overall framework then on to component design and activity planning. Preparation and implementation should be integrated. Project continuity and coherence are strengthened by repeating the management cycle of planning-action-evaluation-adaptation throughout the life of the project. Projects which involve multiple components and sequential series of pilot exercises, are more effective when organised as continuing processes in this way. Conventional blueprint project design followed by a disjointed implementation phase, then a terminal evaluation is less appropriate and effective in such circumstances. It is important to foster appropriate local community processes by not requiring excessive "planning and documentation" at this stage. "Killer PPDs" (Project Preparation Documents) such as those introduced to the SPBCP should be avoided. The real need is to carefully initiate a community-based programme with emphasis on empowerment, community participation and leadership, information, awareness and capacity-building, collective decision-making, and on introducing the goals and purpose of the regional programme and discussing their relevance to the local community. The key lesson is that community-based projects need to follow an incremental staged process. For each local project under a regional programme, the first step should be to build strong local participation, confidence, ownership and leadership. This would be the foundation for development by the local community of a common vision setting out broad objectives and a framework for action. The next step should be to assist capacity building of local groups to undertake a programme of planned activities.

7. Lessons for MONITORING & EVALUATION

7.1 *Essential Routine:* Monitoring and evaluation of progress and of the results obtained need to be incorporated automatically into any management initiative. They are essential aspects of project management, especially in programmes where innovative approaches, pilot activities, demonstration and subsequent replication are emphasised. The IWP is a major opportunity for regional, national and local organisations to trial different strategies across the broad scope of the

initiative. For each strategy and activity, monitoring is needed as the vital feedback in the management process, to enable designs and variations to be tested, management to be adapted, successful pilots to be identified, and overall progress and impacts to be evaluated.

7.2 *M&E System:* The key lessons are that monitoring should be done from the outset and throughout the programme, systematically, as an integral part of every activity, and as simply as possible. Essential steps in the routine are to set good indicators and establish the baseline situation for every aspect of project performance and impact. External factors - assumptions made and risks identified - should also be monitored continually and adjustments made. Formal mid-term and terminal evaluations should be built on a system of formative monitoring and evaluation that enables active learning by all participants and stakeholders, throughout the life of the programme. Project managers and supervisors need to have faith and confidence in the “participatory approach”, to recognise the possibilities and value of organising simple self monitoring by the local communities and the project planners, facilitators and managers themselves.

8. Lessons for INFORMATION MANAGEMENT

8.1 *Information Challenge:* The efficiency and effectiveness of complex programmes and pilot projects are affected greatly by the ways in which information is collected, recorded, handled, stored and shared. There are significant challenges for information management in a programme like the IWP: it is broad and complex; undertaken by moderately large organisations, with an array of partners, liaison points, sub-contractors and employees in numerous countries across a large geographic region. The core project management system is linked to a range of ancillary activities, including individually contracted tasks and devolved local projects, each with multiple components. Information is both needed and generated by all parts of the system, across all administration and technical fields, throughout its life and beyond. The key lesson is that the IWP project will end, but the information generated needs to be captured as a permanent record of the results and outcomes and used to extend the learning to other initiatives.

8.2 *Information System:* The IWP requires a strategy and system for managing and using information. Computerised databases and geographic information systems are used by planning and environment agencies in many countries and should be the basis for a project system. An information system should be designed for the programme and made available to each project office, Lead Agency, coordinating group and support officer as part of a start-up package.

8.3 *Communications:* An additional lesson for the IWP, as a community-centred pilot programme in the most culturally- and linguistically-diverse region on earth, is to communicate information to target audiences by making appropriate use of media, materials and languages.

**GUIDELINES FOR THE INITIAL PHASE
OF THE INTERNATIONAL WATERS PROGRAMME:
IN-COUNTRY ARRANGEMENTS,
REVIEW OF PRIORITY CONCERNS AND SELECTION OF PILOT PROJECTS**

**STRATEGIC ACTION PROGRAMME FOR THE
INTERNATIONAL WATERS
OF THE PACIFIC SMALL ISLAND DEVELOPING STATES**

**Project Coordination Unit
International Waters Programme
South Pacific Regional Environment Programme**

**Version 1.04
May 2002**

List of Abbreviations

CROP	Council of Regional Organisations in the Pacific
GEF	Global Environment Facility
IWP	International Waters Programme
IWFPF	International Waters Programme Focal Point
LPC	Local Project Committee
MoU	Memorandum of Understanding
NBSAP	National Biodiversity Strategies Action Plans
NGO	Non Government Organisations
NTF	National Task Force
PCU	Project Coordination Unit
PICCAP	Pacific Islands Climate Change Assistance Programme
SPREP	South Pacific Regional Environment Programme
UNDP	United Nations Development Programme

1. Introduction

The Strategic Action Programme for the International Waters of the Pacific Small Island Developing States (IWP) is a 5-year programme for 14 participating Pacific Island Countries³. It is funded by the Global Environment Facility (GEF), implemented by the United Nations Development Programme (UNDP) and executed by the South Pacific Regional Environment Programme (SPREP). The objectives and broad activities of the IWP are described in a Project Document that was signed by SPREP and UNDP in February 2000.

The IWP has two main components: an oceanic component which focuses on the management and conservation of tuna stocks in the western central Pacific and a coastal component that focuses on integrated coastal watershed management. The coastal component involves the implementation of 14 pilot projects that address sustainable resource management and conservation issues in the coastal zone.

2. Purpose of the Guidelines

These Guidelines have been produced to assist participating country stakeholders during the initial implementation phase of the IWP coastal component with:

- In-country arrangements and stakeholder participation in the initial stages of IWP implementation;
- Confirmation of their priority environmental concerns;
- Identification of priority environmental issues that may be addressed through a pilot project supported by the IWP;
- Assistance with the selection of a site to implement an IWP pilot project; and
- Communications and awareness raising activities.

These processes represent the initial stages of IWP implementation. Once the pilot project has been selected other information will be available from the Project Co-ordination Unit (PCU), in conjunction with the National Coordinator and National Task Force, to guide the next stages of project implementation in each country.

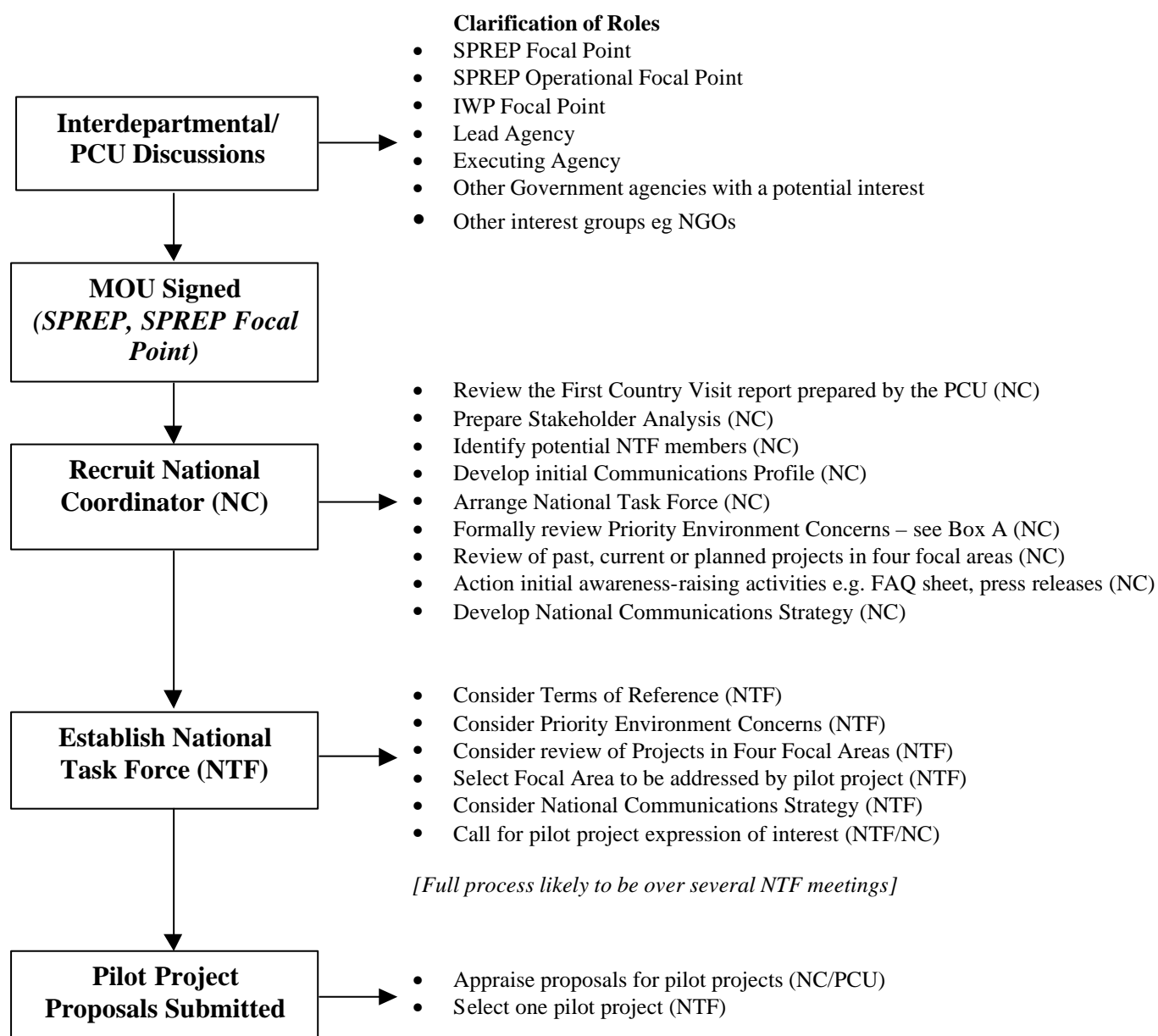
These Guidelines should be considered as a “living document”. A draft prepared in June 2001 was revised following discussions with stakeholders during the first in-country visits by the PCU in mid-2001 and produced as Version 1.0 in September 2001. Versions 1.02 and 1.03 with minor revisions were produced in March and April 2002. This Version 1.04 was updated following the First National Coordinators Meeting (NCM-1) held in Apia from 29 April-3 May 2002. As countries progress with implementation, further revisions based on lessons learned will be made to the Guidelines for the benefit of improved implementation of the IWP.

The Guidelines are intended to be generic in that they can be adapted, where required, to suit local conditions in each of the 14 participating countries.

An overview of all the elements described in this document outlining the processes for final selection of a pilot project is provided in Figure 1.

³ Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu.

Figure 1: Overview of elements described in the Guidelines



To assist National Coordinators with the initial stages of implementation of the IWP in their respective countries, an elaboration of the elements leading to the process of selection of a pilot and other tasks for National Coordinators involved in establishing the IWP is provided at Appendix 1.

3. Objectives of the Pilot Projects

The stated objective of the coastal component of the IWP is to “address root causes of the degradation of international waters in coastal regions through a programme focused on improved integrated coastal and watershed management”.

The pilot projects will support action at the local community level to address priority environmental concerns within participating countries relating to:

- Marine and freshwater quality;
- Habitat modification and degradation; and
- Unsustainable use of living marine resources.

The pilot projects will seek to strengthen capacity and provide lessons for best practice and appropriate methodologies for sustainable resource management and conservation in four focal areas relating to:

- Marine protected areas (4 projects);
- Sustainable coastal fisheries (3 projects);
- The protection of freshwater resources (4 projects); and
- Community-based waste reduction (3 projects).

Opportunities to develop pilot projects that integrate one or more IWP focal areas will be explored during initial discussions in participating countries on the selection of pilot projects.

The GEF views the “pilot” or “demonstration” nature of the 14 projects to be implemented under the national components of the IWP as providing the basis for future funding opportunities from GEF facilities for participating countries. Projects that utilise the lessons generated by the IWP for broader local, or national, application may qualify for support under the GEF’s Medium Sized Project facility, for example.

Concepts of “Community” and “Participation”

The concepts of “community” and “participation” incorporate complex notions which are difficult to define precisely in generic terms. However, the following broad interpretations may assist participating countries in understanding the scope and intention of IWP’s community-based pilot projects.

The concept “community” has a range of meanings and interpretations across a number of disciplines. For the purposes of the IWP, the term “community” is used in a limited sense to refer to a group of people residing in a sub-village, a village or several villages in an urban or rural setting that use resources in a common area. The term “community” encompasses “local or primary stakeholders” who are those people, groups or organisations who have a direct interest in the use of a given area or set of natural resources. A community will not necessarily be homogenous; it is often comprised of many sub-groups, with diverse or opposing needs, capacities, and interests.⁴

“Participation” is a broad generic term which has different meanings for different people in diverse situations. The term is commonly characterised as evolving across a continuum from none or “passive” participation, where people are merely told what is going to happen to self-mobilisation, where people take initiatives independently of external institutions.

Community-based participation in IWP pilot projects is characterised as bottom-up involvement of the project sites’ community (as defined above) through the entire process of pilot project implementation. The IWP projects will aim to be primarily community driven, owned, administered and managed, with facilitation provided through the National Coordinator; National Task Force and the PCU. It is intended that the community will play a central and driving role in decision-making, problem identification, project concept proposals, planning and design phases, implementation activities, monitoring and evaluation stages of the project cycle.

The nature of community participation in a project will vary with time and purpose. Since each pilot project will be different, the nature and level of participation of local stakeholders in each pilot project will also vary. A range of tools and methodologies are available to assist with community participation in resource management and conservation initiatives. These are outlined in the IWP Social Assessment and Community Participation Strategy developed by the PCU in early 2002. The issue of participation is discussed further in relation to stakeholder participation on the National Task Force covered in Section 6 of these Guidelines.

⁴ Whyte, J. (ed), 2002. Lessons Learned and Best Practices for Integrated Coastal Watershed Conservation and Management Initiatives in the Pacific Islands Region. Provisional Report to the SPREP IWP, FSPI Island Consulting, Port Villa, Vanuatu, page 8; Pollnac, R & Crawford, B. 2000 *Assessing Behavioural Aspects of Coastal Resource Use*. Proyek Pesisir Publications Special Report. Coastal Resources Center Coastal Management Report #2226. Coastal Resources Centre, University of Rhode Island, page 3.

4. Programme Administration

National components of the IWP will be implemented under terms described in a Memorandum of Understanding (MoU). The MoU must be agreed and signed by SPREP, as the executing agency for the IWP, and each participating Government before financial and logistical support of a pilot project can proceed.

The MoU will identify the roles and responsibilities of Government Agencies, including the identification of a Lead Agency (which may be a non-government organisation), and the administrative and logistical arrangements to support the national component of the IWP.

The PCU based at SPREP is responsible for overall programme coordination and administration. The PCU is the primary point of contact for participating countries and UNDP on all matters relating to the IWP.

5. Country Arrangements for IWP Pilot Projects

Responsibilities for SPREP Relations and Project Implementation

Responsibilities for SPREP relations and the implementation of the IWP pilot project may be divided into five broad areas (Table 1).

The primary point of contact for the IWP in each participating country is the designated SPREP Focal Point. The SPREP Focal Point is usually the government ministry responsible for foreign affairs or the government environment agency. It takes responsibility for policy issues associated with SPREP's activities in the region and nationally.

Table 1: Responsibilities for SPREP relations and implementation of the IWP coastal component

SPREP Focal Point	Foreign Affairs or Government Environment Agency.
SPREP Operational Focal Point	Technical contact for all SPREP activities.
IWP Focal Point	Technical contact for IWP.
Lead Agency	Sub-contracted Government agency responsible for pilot project implementation as described in a Letter of Agreement exchanged with the IWP Focal Point.
Executing Agency	NGO or community group responsible for pilot project execution as described in a Letter of Agreement exchanged with the Lead Agency and the IWP Focal Point.

Note: In Vanuatu the actual agency for implementation will be termed the "Implementing Agency" rather than "Executing Agency" as outlined in Table 1.

SPREP-supported activities in each of its member countries may be promoted through an Operational Focal Point, a Government Agency designated to be responsible for technical issues associated with SPREP's work programme.

Some participating countries may elect to designate the Operational Focal Point as the International Waters Programme Focal Point (IWPFPP). The IWPFPP may assume responsibility for all administrative and logistical issues associated with pilot project implementation and actually execute the pilot project. In such situations, the IWPFPP, the Lead Agency and the Executing Agency would be the same agency.

However, there may be cases where the local implementing agency is not the IWPFPP. For example, the IWPFPP may choose to delegate responsibility for pilot project implementation to another government agency (for example the Department of Marine Resources in respect of a sustainable coastal fisheries pilot project). In cases where this is instituted the implementing agency, the Department of Marine Resources, would be referred to as the Lead Agency. The relationship between the IWPFPP and the Lead Agency in respect to the pilot project would be stipulated in a Letter of Agreement signed by the head of the respective agencies.

The Lead Agency, whether that is the IWPFPP or an another government agency, may actually execute the pilot project, in which case it would also be the Executing Agency. However, it may also elect to delegate responsibility for execution of the pilot project to another organisation, for example a non-government organisation or a community group. In such instances, the organisation or group responsible for execution would be known as the Executing Agency. The relationship between the Lead Agency and the Executing Agency in respect to the pilot project would be stipulated in a Letter of Agreement signed by the head of the Lead Agency, the head of the Executing Agency and the head of the IWPFPP.

Arrangements for Implementation

The IWP will support the appointment of a full time National Coordinator in each participating country. In addition to serving as the ambassador for the IWP nationally, National Coordinators will also take responsibility for the day-to-day management of pilot project activities. The National Coordinator would normally base their operations from the offices of the Executing Agency or the offices of the IWPFPP.

Each participating country will establish a National Task Force (NTF) to oversee national components of the IWP. In addition to its cross-sectoral composition involving all key Government departments and agencies, the NTF will include non-government organisations, community groups and key stakeholders from pilot project sites. It is likely that as pilot project implementation proceeds, particularly during the early phases, the composition of the NTF will change.

While arrangements in participating countries will vary there is an expectation that the NTF will require broad political support. As a result, while the SPREP Focal Point may not necessarily be involved in all meetings of the NTF, it will be beneficial that they remain fully informed of issues being considered by the Task Force. Responsibility for the coordination of NTF meetings will be vested in the National Coordinator working through the SPREP Operational Focal Point, the IWPFPP and/or the Executing Agency depending on the preferred local arrangements.

The selection of the focal area to be addressed by the pilot project in each participating country, and the pilot project implementation, will be the responsibility of the NTF.

Working groups, sub-committees or technical advisory groups may be established by the NTF to address specific issues associated with the implementation of IWP.

Local Project Committees (LPC), comprising a range of key stakeholders from the participating community, may be established to facilitate implementation and to promote community participation in the project at the pilot project site. The LPC would also provide a direct link between the community and the NTF in that the LPC would be represented on the NTF.

6. National Task Force

Once the National Coordinator has been appointed, one of their initial tasks will be to establish a National Task Force for the IWP.

The key tasks of the National Coordinator and NTF at this stage in the Project cycle will be to: a) select the focal area to be addressed by a pilot project, based on a review of priority environmental concerns; b) arrange for appraisal of pilot project proposals; and c) select a pilot project for implementation.

There are a number of options for establishing a National Task Force. These include:

- Establishment of an IWP National Task Force (or alternatively named “International Waters Committee” or “Project Committee”), comprising key stakeholders and facilitated by a National Coordinator.
- The National Task Force actually working within an existing mechanism or consultative processes (e.g. NBSAP Committee; PICCAP Country Team, National Environment Committee) to convene meetings to discuss IWP issues and nominate additional membership/stakeholders not accommodated under the existing mechanism but who represent interests relevant to IWP activities.
- A National Environment Forum, appropriately serviced with background information for discussion (such as a review of the State of the Environment), may be convened to identify critical environment issues for the country, some of which may be directly related to the four focal areas of the IWP.

The nature and composition of the Task Force, the strategy to identify priority environmental concerns and the selection of a pilot project will vary from country to country.

The first in-country visit by the PCU will identify existing mechanisms that may be compatible with the objectives of the IWP and discuss with key stakeholders the most appropriate strategies for conducting a review of priority areas and selecting pilot projects.

Whatever mechanism is eventually adopted it will be important that: a) the review and selection of pilot projects is transparent; and b) a truly participatory consultative process among all key stakeholders has been undertaken. Key groups that will be necessary to engage in the consultative process will include all relevant government and non-government stakeholders particularly those likely to be affected by any proposed actions to be implemented under the pilot project.

Stakeholder Analysis: Establishment of a National Task Force⁵

The National Coordinator, in association with the PCU, will complete a basic stakeholder analysis, in order to identify stakeholders, their interests in the IWP and their potential level of participation in IWP tasks. This analysis will provide a “Stakeholder Participation Strategy” that will identify those stakeholders that will be either:

- a) Informed - one-way flow of information about the project to stakeholders through a range of methods and media including, for example, information papers, newspapers, leaflets, briefings, and presentations to stakeholder and community groups. Stakeholders cannot genuinely participate if they are not fully informed about the project objectives and intended outcomes.
- b) Consulted - two-way flow of information between stakeholders. Information and feedback gathered through consultations concerning IWP issues, or
- c) Collaborators⁶ - a process by which stakeholders collaboratively define objectives, identify issues, evaluate options, and negotiate solutions. In essence it is sharing control over decision making by the various stakeholders. Information dissemination and consultation are steps in the process of securing collaboration.

Key or “primary” stakeholders listed as “collaborators” will have representation on the NTF while other “secondary” stakeholders need only be informed or consulted of the review of priority concerns, selection of a focal area and a pilot project to be implemented under the IWP.

One of the aims of undertaking a simple stakeholder assessment at this stage of the IWP is to familiarise the National Coordinator with this analytical tool, as it will be necessary to complete a more extensive and detailed stakeholder analysis once the pilot project has been selected. In addition, at the start of the implementation of the pilot project it will be necessary for the National Coordinator to reassess the membership of the NTF and amend membership as required, especially in regard to partners and local community representation.

The PCU can provide assistance as required throughout the design and execution of the stakeholder analysis and consultative arrangements leading to the establishment of the NTF.

Stakeholders

Stakeholders are all the people or organisations that have an interest or “stake” in the International Waters Programme. In the early stages of the Programme this relates to the analysis of priority environmental concerns and the selection of a pilot project. Stakeholders can be individuals, communities, social groups or organisations such as:

- Relevant government ministries, departments or agencies such as marine resources, environment, works, health, education; outer islands; internal affairs etc;
- Conservation/environment councils or committees;
- Representatives from protected or conservation areas;
- District or local councils;
- Traditional leaders’ bodies;
- Environmental or resource management technical specialists or consultants;
- Universities, colleges or training centres;
- Independent community representatives;
- Local and/or international environmental non-government organisations;
- Religious and community organisations;
- Private sector interests such as the Chamber of Commerce, tourism operators and water utility companies; and
- Regional organisations.

It is important that there is an appropriate gender balance in NTF participation and people with expertise or interest in the four key technical focal areas of the IWP are also adequately represented.

As pilot project implementation proceeds, the National Coordinator, in consultation with key stakeholders, should reassess membership of the NTF to ensure that its effectiveness is maintained throughout implementation. For

⁵ Some material in this section has been drawn from a paper published by The World Bank entitled “Stakeholder Analysis: Methods and concepts”. EAP/SAS/ENVP Workshop Series o Participatory Tools, January 1996; pp 19.

⁶ There are various terms used to describe the levels of participation, as they evolve across a continuum. For the purpose of this stakeholder analysis the term “collaborators” has been used to designate what is sometimes referred to as “full stakeholder participation”, “participation”, “empowerment”. The IWP interprets it to mean partnerships in decision-making, joint analysis and decision-making by all stakeholders - consensus. A more detailed discussion of the concept “participation” is provided in the IWP Social Assessment and Participation Strategy.

example, once the priority environmental concerns and focal area to be addressed by the pilot project are identified by the NTF, it may be necessary to include other people with expertise in that particular technical area on the NTF while retiring others. In addition, once the pilot project has been selected, representation from the community will be required on the NTF.

The following section provides some instructions, examples and templates for the National Coordinator to undertake a stakeholder inventory and develop a participation strategy for this early phase of the IWP.

Stakeholder Inventory: Who are the key stakeholders whose participation is needed?

The National Coordinator will be required to undertake an inventory of local groups, individuals, institutions, organisations and projects with an interest or stake in the IWP objectives in the four key IWP focal areas.

Using the template provided (Table 2), the National Coordinator will:

- 1) List each Stakeholder;
- 2) List a single representative from each Stakeholder group who should participate in IWP; and
- 3) List the Stakeholders' specific interest in relation to the IWP.

The six stakeholders and their interests listed in Table 2 is an example only. A complete stakeholder inventory may have as many as 30 stakeholders listed. A further list of examples of potential stakeholders is provided at Appendix 2.

Stakeholder Participation Strategy: How will each stakeholder participate: informed, consulted or as collaborators?

Using the information from Table 2, and the relative interest and importance of each stakeholder to the IWP, the National Coordinator should be able to identify what level of participation will be required by each stakeholder representative for the key stages of early implementation phase of the IWP.

Using the template provided (Table 3), the National Coordinator will:

1. List the Stakeholder Representative; and
2. Note the appropriate level of participation required.

This will result in a Stakeholder Participation Strategy.

Those stakeholders marked (X) in the collaborator box will participate in the NTF, while other stakeholders will either be informed or consulted about the IWP during the initial stages of implementation (i.e. review of priority environmental concerns, selection of a focal area to be addressed and selection of the pilot project).

Those stakeholders that have been marked (X) to be informed for example, on general information about the IWP; the actual processes involved in selecting a pilot project and decisions made by the NTF during initial phases of IWP, would be contacted via an appropriate method (for example, by information paper, briefing session, telephone).

Those stakeholders that are marked (X) to be consulted would be informed as noted above and may also be invited to provide information to the National Coordinator in relation to various aspects of the IWP, such as the environmental concerns facing the country.

The stakeholders and potential level of participation listed in Table 3 is an **example only**. As mentioned above, a completed Stakeholder Participation Strategy may have as many as 30 stakeholders listed. A further list of examples of potential stakeholders is provided at Appendix 2.

Table 2: Stakeholder Inventory for IWP

Stakeholder	Stakeholder Representative	What is their particular interest in relation to IWP?

Table 3: Stakeholder Participation Strategy: Initial Membership of National Task Force (collaborators) and people to be informed and consulted during IWP early implementation stages

Stakeholder	Stakeholder Representative	Type of Participation		Collaborator (sharing control over decision-making)
		Inform (one-way flow)	Consult (two-way flow)	

7. Processes for Review of Priority Environmental Concerns

A review of country submissions to the IWP formulation in 1997 has been undertaken by the PCU7. In the 1997 submissions, many countries stated that they had insufficient time to adequately review environmental priorities, undertake required stakeholder consultations (particularly in outer islands) and develop targeted project proposals. In addition, some countries were unable to complete a detailed review of environmental concerns.

It is now four years since the formulation of the IWP. It is likely that priority concerns and problems of some participating countries will have changed since 1997. Moreover, the IWP Project Document stipulates that pilot projects should address concerns in each of the four focal areas of community-based waste reduction (three projects); protection of freshwater resources (four projects); sustainable coastal fisheries (three projects) and marine protected areas (four projects).

In order to proceed with the implementation of pilot projects that address national environmental concerns, it is necessary to establish a process that will confirm priority environmental concerns within participating countries and relate those concerns to the four focal areas that are targeted for support under the IWP. Ideally, this process will be compatible with other current initiatives at the national level, particularly activities supported under the National Biodiversity Strategies Action Plans (NBSAP) and national assessments in preparation for the 2002 World Summit on Sustainable Development in Johannesburg, South Africa. To assist in this task, a template has been prepared that is designed to describe the priority environmental concerns of participating countries (see Box A below).

Box A

BASIC COUNTRY INFORMATION

The IWP is designed to address priority environmental concerns in the following three areas:

- Degradation of water quality;
- Degradation of associated critical habitats; and
- Unsustainable use of living and non-living resources

The first stage in the selection of a pilot project involves confirmation of the priority environmental concerns for each of the 14 participating countries (for all relevant islands) and the identification of how the IWP pilot projects can target one or more of these concerns.

In respect of the three areas identified above, have the priority environmental concerns for [Country XX] been identified?

If the answer is “Yes”

- a) What are [Country XX's] priority environmental concerns?
- b) Describe what the priority issues are in respect of each concern.
- c) Describe the process used to identify these priority environmental concerns.
- d) Were these threats and concerns identified in [Country XX's] submission to the 1997 formulation process for the IWP?
- e) Have [Country XX's] priority environmental concerns changed in the last five years?
- f) If so, what information is available that describes this change?
- g) Refer to existing publications, reports and work that supports the identification of these concerns.
- h) List the stakeholders (other government departments and agencies, community groups, non-government organisations, representatives from the private sector, other regional agencies, educational and training institutes, international institutions, etc.) involved in the consultative process to identify priority environmental concerns.
- i) Describe how the IWP, through one or more of its four focal areas, may address the priority environmental concerns identified by the national consultative process.

If the answer is “No”

What steps are recommended, and who will take responsibility for, establishing a National Task Force or other consultative arrangement, to identify [Country XX's] priority environmental concerns and describe how they may be related to the four focal areas of the IWP (marine protected areas, freshwater quality and conservation, community-based waste and sustainable coastal fisheries)?

If the answer is “No” the PCU can provide assistance and advice that would result in a report that reviews and identifies priority environmental concerns and relates them to the IWP.

8. Review of Projects in the Four Key Focal Areas

A review of past, current and planned projects in the four key IWP focal areas in each country commenced in the second quarter of 2001. While the PCU can make significant progress in documenting project activities of relevance to the four focal areas of interest to the IWP during the First Country Visits by PCU staff, it is envisaged that National Coordinators, once appointed, will continue work to refine this review for each participating country.

The objective of this task is to provide a detailed understanding of existing national activities in the four key IWP focal areas to identify potential stakeholders, promote opportunities for the development of collaborative arrangements for the IWP pilot project, and avoid duplication.

The review includes activities undertaken by SPREP, other agencies including CROP agencies, governments, private sector, international and local NGOs, bilateral donors and multilateral agencies.

The output will be a database of country programmes and activities for each of the four focal areas that can be used during the evaluation of candidates for pilot project implementation. It will be updated periodically throughout the life of the IWP.

9. What is a Pilot Project?

The wide physical, cultural and geographical differences among the 14 participating countries, and the four key focal areas to be addressed by the IWP, dictate that there be considerable flexibility in the type of pilot project that could be considered for selection.

A pilot project is intended to be a small-scale, issues-based project designed to demonstrate best practices and methodologies offering the greatest potential for replication across the region - perhaps in follow-up larger projects. It will focus on consultation, coordination and cooperation.

It is envisaged that each country will establish one pilot project. The pilot project would usually be restricted to one or more villages (site) in one location in each participating country. However, if the NTF or other stakeholders wish to explore the possibility of IWP supporting a larger pilot project - that is, a pilot project incorporating multiple "sites" in a number of locations on different islands, for comparative purposes, issues concerning budgetary, logistical and administration requirements will have to be considered.

The pilot project could be an entirely new project or a project in partnership with an existing programme or project as long as it was compatible with objectives of the IWP. In the case of a collaborative project, the IWP input would aim to strengthen a specific aspect of that project to assist towards demonstrating best practices in one of the IWP key focal areas.

Reflecting a community-based focus, pilot projects will encourage the active participation of all stakeholders in all stages of the project from planning, design, implementation, monitoring and evaluation.

Examples of Types of Possible Pilot Projects

To assist participating countries with the selection of a pilot project that addresses particular priority environmental concerns, the following summaries of possible pilot projects have been prepared:

Example A:

A rural community of 250 residents live on an atoll. The residents obtain their water from a lens that is at risk of major contamination from disposal of the community's sewage, including that from farmed animals such as pigs.

A pilot project could be designed to attempt to address the root cause for water contamination through a variety of different strategies with the ultimate objective of improving drinking water quality.

This pilot project would integrate two key focal areas of interest to the IWP - the preservation of freshwater resources and the management of community waste.

Example B:

Bêche-de-mer resources in a coastal lagoon are subject to unsustainable levels of fishing for export markets. Catches of the most valuable species have been reduced to low levels and fishermen are now targeting large volumes of relatively low value species. The local fisheries department is considering a total closure of the fishery for an indefinite period of time.

It may be possible to design a pilot project to develop a sustainable fishery for *bêche-de-mer*. This could be achieved by establishing a marine protected area as one of the resource management tools to re-establish the *bêche-de-mer* resource at viable levels.

Such a pilot project would integrate two key focal areas for the IWP - sustainable coastal fisheries and marine protected areas.

Example C:

A small community in a high rainfall valley has granted access to its timber resources to a logging firm. As a result, sedimentation of local streams has increased significantly adversely impacting on the quality of water available to downstream users and resulting in a high sedimentation of nearby coastal reefs.

A pilot project to reduce the root cause of deterioration of downstream water quality and high sediment loads could be established to work with upstream communities to improve the management of access to their forest resources and reduce the adverse impact on local streams and coastal reefs.

A pilot project to reduce stream sedimentation and improve the management of local forest resources would address IWP areas of interest in relation to integrated watershed management.

Example D:

A small community relies on reef resources for its daily subsistence needs. A local dive tour operator is also using the same reefs to support his commercial dive operations. He is concerned that the growth of her business is threatened by the fishing activity of the local community on the reef they share.

A local non-government organisation has undertaken baseline surveys of reef resources, documented fishing activities and completed a socio-economic profile of the community.

A pilot project supported by the IWP could be designed to supplement the work undertaken by the local non-government organisation to promote shared benefits for the use of the reef.

The pilot project might seek ways to integrate the local community fishing activities with the tour dive operations. Any loss of access to subsistence resources, in an effort to preserve the appeal of the reef to divers, is compensated for by improved income generation through improved association with the dive tour operator.

10. Steps in the Selection of a Pilot Project

The criteria stipulated in the Project Document (RAS/98/G32) are that each pilot project should be based on:

- Adequate community participation and support;
- Maximum potential for replication;
- Consistency with the requirements of IWP;
- Representation among the three island types (high islands, low islands and atolls), among the three lineal systems in the region (matrilineal, patrilineal, and mixed), and the three ethnic separations (Melanesia, Polynesia and Micronesia);
- Previously stated country interest (as included in IWP-related country project submissions); and
- An analysis confirming the appropriateness of the site for specific demonstration activities.

With the community-based focus of the pilot project, a critical issue in the selection of a pilot project will be demonstration of local community support for the pilot project.

In addition to the community-based nature of each pilot project, the IWP Project Document prescribes that programme activities be focused in four principal areas:

- Marine protected areas (4 projects)
- Sustainable coastal fisheries (3 projects)
- Community-based waste (3 projects)
- Freshwater resources (4 projects)

The IWP Project Document also stipulates that over-riding criteria for demonstration pilot projects is that they be low-cost/no cost alternatives.

The process for the selection of pilot projects must also be transparent. The selection of a pilot project should also be compatible with priority goals, where appropriate, of NBSAPs and other existing national strategies and plans (e.g. State of the Environment (SOE); Report of National Environmental Management Strategies (NEMS); Action Plan for Managing the Environment of the Pacific Islands Region 2001-2004; Action Strategy for Nature Conservation in the Pacific Islands Region 1999-2002).

Expressions of Interest

The National Coordinator will be primarily responsible for implementing a process leading to the selection of a pilot project. The steps involved in selecting a pilot project are presented at Figure 2.

The National Coordinator on behalf of the NTF will call for Expressions of Interests to be submitted within a specific time frame by advertising widely in the country.

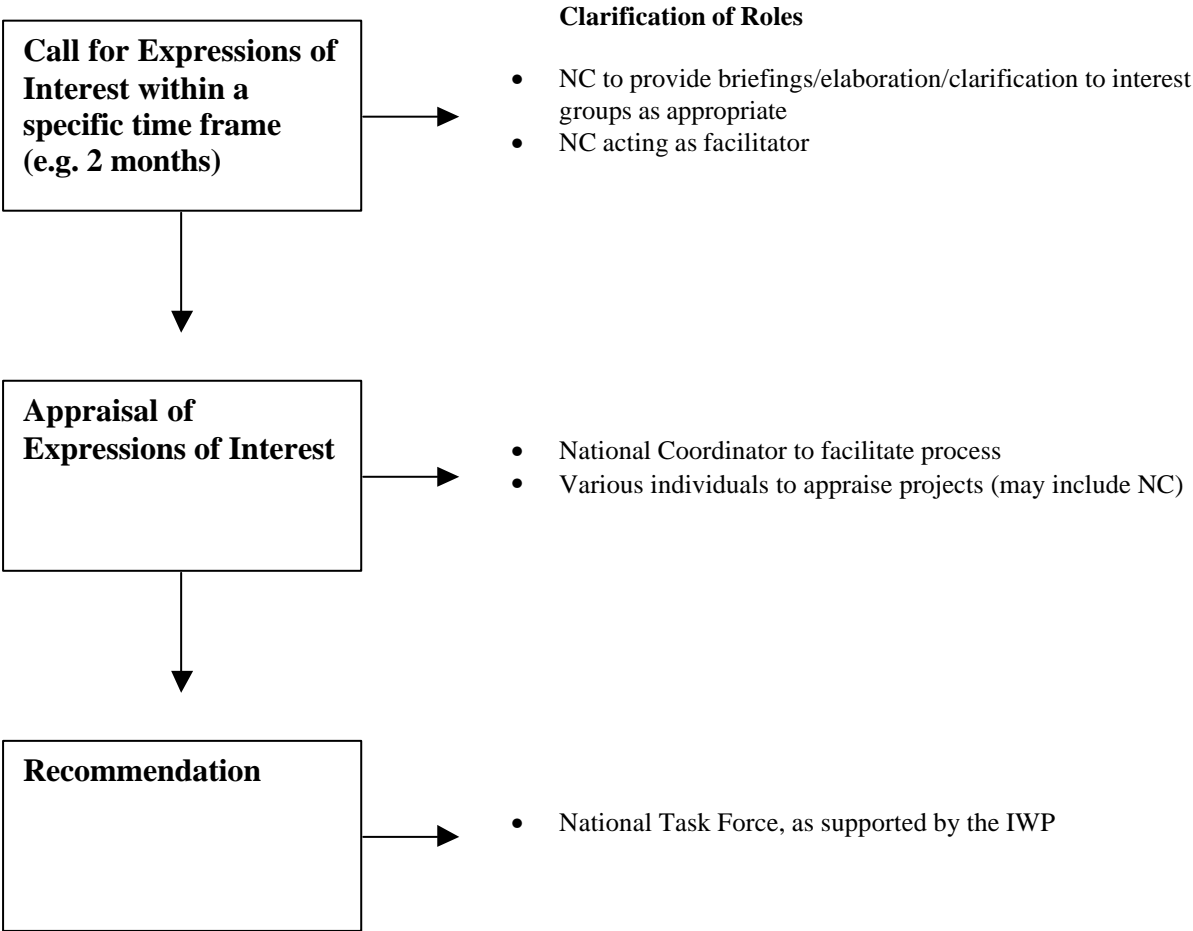
Expressions of Interest should outline the concern to be addressed, and a description of the community in which the project will be implemented, actual or potential project partners and level of community support for the potential project.

Expressions of Interest should be brief. For example, they could take the form of a one page concept, with commitments to provide additional information on request. They may be prepared in either English and/or the vernacular. Expressions of interest prepared in the vernacular may later need to be converted to English to enable passage through the appraisal process.

To assist in the development of Expressions of Interest, the National Coordinator could provide briefings to interested groups through a public meeting or on request to specific groups to broadly outline the objectives, strategy and resources available under the International Waters Programme.

During the PCU’s first country visits, it was apparent that in many countries, local communities and their representatives have either already approached government, NGOs, or research institutions, for example, for assistance in resource management and conservation initiatives at the village level. In addition, the National Coordinator may also seek to encourage communities who have already commenced some small-scale conservation and management initiatives themselves and who wish to explore opportunities to expand their activities under the IWP to submit an Expression on Interest.

Figure 2: Steps in the Selection of a Pilot Project



Appraisal of Pilot Project Candidates

The PCU, in conjunction with the National Coordinator and the NTF, will arrange for, or undertake an appraisal of the expressions of interest. The results will be presented to the NTF to assist in their selection of a pilot project.

To assist with the selection of a pilot project it may be necessary to involve a number of people in the appraisal process including the independent local experts, NGO representatives, government representatives, or external experts if required. The appraisal process could include a visit to the proposed sites and consultation with key stakeholders. In addition to assisting with the identification of a pilot project site, such assessments may provide valuable information for planning baseline assessments of the Pilot Project, if it was selected for actual implementation. The need for this will vary from country to country depending on the quality of expressions of interest submitted for consideration.

Principal Considerations in Appraisal of Expressions of Interest

Considerations in the appraisal of Expressions of Interest may be grouped into three types: principal, practical and other considerations. These are outlined below.

Principal considerations:

- Addresses the focal area selected by the NTF (it addresses the national environmental priority)
- Consistency with national or sectoral goals and strategies
- Proponent community have demonstrated past concern
- Demonstrated commitment of potential project partners
- Demonstrated community-wide support

Practical considerations:

- Geographic location
- Ethnic issues, such as conflicts or tensions
- Complementarity/duplication of past, present or proposed programmes or activities

Other considerations:

- Conformity with the broad IWP criteria:
 - High island/low island issues
 - Potential for replication
 - Probably achievable with available project resources

The Role of the PCU in Pilot Project Selection

In order to ensure compatibility with the broad criteria set out in the IWP Project Document in relation to the number of projects to be supported in each focal area, and representation of island types, kinship systems and ethnic groups across the 14 participating countries, the NTF will be required to consult with the PCU, to ensure that all 14 country pilot projects can be linked with the criteria set out in the Project Document.

The principal role of the PCU is to ensure that, as far as practicable, each focal area is addressed to the extent intended in the IWP Project Document. The IWP Project Document stipulates that 14 pilot projects, divided among the four key focal areas of interest to the GEF - marine protected areas, sustainable coastal fisheries, community-based management of waste and the conservation and preservation of freshwater resources, will be implemented by the IWP.

The first countries to implement pilot projects will have a choice of the focal area of interest to be targeted by their pilot project. This means that those countries that proceed with implementation of their pilot projects most rapidly will have a range of choices in terms of the key focal area to be addressed. However, should the quota for pilot projects be filled by participating countries further advanced with implementation, those countries following will be required to identify an alternative key focal area to be addressed by their pilot project.

While the intention is that each pilot project will address one key focal area it is probable that pilot projects can be designed to address more than one key focal area - perhaps with a primary and secondary area of focus. The examples outlined in the previous section cater for this possibility.

Final Selection of Pilot Project

The National Task Force, with technical advice from the National Coordinator and other qualified personnel or organisations, as required, and in consultation with the PCU, will take final responsibility for the selection of the pilot project to be supported under the IWP.

11. The IWP Communication Strategy

Raising the profile of the IWP globally, regionally and nationally will be an important function for the PCU and the National Coordinators in each country.

To assist with this activity several communications strategy documents have been produced, and others will need to be developed, to support the public relations, awareness-raising and community education activities that will be carried out.

These documents are:

- **IWP Communication Strategy** - This is the overarching communications strategy addressing all major communications elements of the IWP across all levels - local, national, regional and global. It details the objectives, guiding principles, communication channels and tools for IWP communication activities. The first version of this document was written in July 2001. A copy of this strategy is available from the PCU or on the IWP website: www.sprep.org.ws/iwp. The PCU is currently revising the Communications Strategy and a second version will be available in June 2002.
- **Environment-related Communication Profile** - An "Environment-related Communications Profile" was compiled by the PCU during their one-week visit to each of the participating countries. The profile can be found in the First Country Report that resulted from those visits. The profiles generally cover some of the environment-related education and awareness-raising activities that are carried out by local Government agencies and NGOs. This environment-related profile also lists some of the local media. Each National Coordinator is required to update the First Country Report as there may have been gaps or developments since the report was compiled by the PCU.
- **National Communication Profile** - This Profile is a reasonably comprehensive list of media, communication professionals and communication-related resources (such as commercial printers and graphic designers) who are able to support IWP communication activities locally. National Coordinators are required to compile a formal National Communication Profile, using the "Environment-related Communication Profile" as a starting point. This profile should be appended to the updated First Country Report but is also a component of the more detailed National Communication Strategy.
- **National Communication Strategy** - This is the formal communication strategy that each National Coordinator is required to develop and implement in their respective countries. National Coordinators will be advised how to go about developing a national strategy for communications, and why it is important, at the first National Coordinators' meeting in Samoa at the end of April 2002. The Environment-related Communications Profile and National Communications Profile will both be incorporated into this national communication strategy.

Developing a National Communication Profile

The function of a Communication Profile (using the revised Environment-Related Communications Profile as a starting point) is to give an overview of the existing communication activities in the environment sector, communication opportunities, media contacts and industry resources that may be available to support the implementation of the pilot project.

For the purposes of the IWP, the National Communication Profile is simply a list of useful contacts compiled under five different headings:

1. Media Contact List

Various forms of media are useful for raising awareness of the IWP. It is more likely that media coverage of pilot projects will be accurate and balanced if project teams maintain strong links with key media organisations and individuals, as it gives reporters and editors the opportunity to build up a thorough understanding of the project as it develops. A list of media contacts can be prepared to identify organisations and individuals (see Appendix 3).

National Coordinators should consider events or opportunities to involve the media, no matter how small or insignificant they may seem. Using the various milestones of the project as an opportunity for raising awareness can be useful, for example advising the media when the first meeting of the National Task Force is held or the translated Frequently Asked Questions information sheet is released.

It is also useful to identify the appropriate media spokespeople for the project. By delegating authority for a media spokesperson, the project can ensure the messages delivered are consistent, and restrict the number of people who need to be formally briefed or trained to deal with the media.

2. Publications, Radio and Television Programmes

Compiling a list of publications or newsletters produced by various government agencies, non-government

organisations, civil society groups and educational institutions (see Appendix 3) are important in order to identify different opportunities to publicise the project. While listing environment-related publications would be essential, there may be other Government newsletters or NGO publications that would be worth noting. Generally, these publications are published infrequently and the deadlines are often set well before publication date. A list of publications will allow the National Coordinator to programme opportunities for articles and publicity releases. Websites are also a form of publication. In addition, identification of regular environment -orientated radio and television programs will highlight other opportunities for promoting the IWP.

3. Events and Celebrations

Similarly, events and celebrations (see Appendix 3) can provide useful opportunities for promoting the activities and raising general awareness of the IWP. The compilation of a national calendar of events is a useful tool for planning the National Communications Strategy.

4. Communication Contractors - Printers, Graphic Designers, Web Developers, Translators

This task involves compiling a list of support communications-related contractors (see Appendix 3). By identifying and talking with commercial printers, graphic designers and the like, the National Coordinator can gain a better appreciation of the timeframes and information that is required by printers and designers in order to support their work. For example, rushing off to a printer and asking for something to be printed by the next day, could prove very costly if not impossible given the preparatory work that goes into publishing. It may also be useful to identify possible website developers if countries are thinking about developing their own sites.

5. Other Communication Services - Theatre Troupe, Video Production, Audio Production, Photographers

During the life of the project, it may be considered appropriate to involve the services of a theatre troupe, video production team, photographers or other communication professionals. While a comprehensive list of such contractors is not required at this stage, a list could be developed (see Appendix 3) as the project comes across such professionals or resources.

Initial Awareness Raising

Frequently Asked Questions Information Sheet

The PCU have provided an English-language version of a Frequently Asked Questions (FAQ) information sheet about the IWP. National Coordinators will be required, as an initial step, to have the sheet translated into the appropriate language for each country, in some cases that may be several languages, then printed and circulated as required. Publication, circulation and payment of the translated FAQ sheet is the responsibility of each participating country under the project, however, the PCU will assist in whatever way it can.

The translated FAQ sheet should also include:

- Contact details for the National Coordinator;
- Contact details for the PCU;
- IWP, SPREP and donor logos, which can be obtained from the PCU.

The FAQ sheet does not have to be published in colour, it can be printed in black and white.

It is recommended that National Coordinators e-mail or fax the translated FAQ sheet to the IWP Community Communications Specialist for perusal before it is published.

Published Materials

The IWP logo, SPREP logo and the logos of the funding (the GEF) and implementing agency (UNDP) must feature on all material and websites that are published or posted by participating countries under the IWP.

The IWP logo will be the only logo associated with the IWP project and individual pilot projects. Project funds are not available for participating countries to develop their own logos for pilot projects.

National Communication Strategy

Once the National Communications Profile is completed, and after the National Coordinators have met in Samoa in late April 2002, the Community Communications Specialist (CCS) at the PCU will be able to assist with a framework for producing a National Communications Strategy.

12. Next stages of IWP Implementation

The Guidelines outline key processes for the initial stages of IWP implementation in establishing a pilot project. Other information will be available from the PCU to guide the next stages of project implementation for pilot projects.

Once a pilot project has been selected, consultations with the community may begin to identify key issues and actions to address the environmental concern. Some of the information and issues likely to be central to this work are listed in Box B.

The following provides an indication of the broad sequence of steps for in-country implementation following the selection of a pilot project by the NTF. This list is not exhaustive and should be regarded as flexible and adaptable to the diverse requirements of each pilot project.

Pilot Project Implementation Phase

- Pilot Project commences
- Clear elaboration of Pilot Project Objectives and Goals with community
- Development of a Pilot Project Design Document with community
- Work Plan and Budget for Pilot Project Implementation
- Adapt Foundation Phase Work for National Pilot Project Application
- Design Reporting, Review and Meeting Schedule
- Reassess membership of National Task Force
- Development and Implementation of Pilot Project Social Assessment Strategy; including participatory planning processes, baseline assessments and community consultation and incorporation of findings into Pilot Project Design and Planning
- Development and Implementation of Pilot Project Economic Strategy
- Development and Implementation of Pilot Project Communications Strategy (Community/national/global)
- Project Monitoring and Evaluation Strategy and identification of milestones
- Refine Transition/Exit Strategy to local pilot project

Box B

ISSUES IN THE DEVELOPMENT AND IMPLEMENTATION OF PILOT PROJECTS

[This box is likely to undergo revision in the forthcoming months.]

Once a pilot project has been selected, consultations with key partners and the community may begin to identify key issues and actions to address the environmental concern. Information and issues likely to be central to this work are listed below.

A. Background for the pilot project

- What is the environmental concern or problem the project is designed to address?
- What is the resource or resources under threat?
- What is the cause of the problem?

B. Proposed Site Location

- Describe the location of the Pilot Project site, and if relevant, its boundaries and the basis for the site boundary definition, and a brief description of the community which resides there.
- Describe health and education facilities; sanitation; freshwater supplies; roads/access; electricity; transport and communications; etc.

C. Physical and Environmental Features

Describe the physical and environmental features of the site including where relevant topography; soils; land use; climate; water resources; vegetation; wildlife (e.g. birds); and situation (inland, estuary, reef and coastal fisheries and marine resources). Note any rare or endangered species or any other issues of special interest or value (for example, sites of outstanding universal cultural or biological significance).

D. Socio-Economic Context - cultural, social, economic and political conditions

Briefly describe the cultural, social, economic and political context of the Pilot Project. This should include the following:

- a description of any economic activity associated with the resource under threat. (Who currently uses the resource? How do they use it? What benefits do they get out of it?);
- a description of the property rights governing resource use, including a description of the type of land and/or marine tenure, who currently manages the resource, how they manage it and any rules for accessing and using it;
- description of the population/target group, including ethnolinguistic groups and their lineal systems (matrilineal, patrilineal and mixed); and religious background;
- existing community/social institutions and structures (eg system of chiefs; village councils, women's groups; religious institutions; NGOs);
- political structures at the local and national levels; and
- overview of any community tensions and conflicts.

E. Description of the Project

- What is the agreed strategy for addressing the environmental concern?
- What targeted actions will be conducted during Pilot Project implementation?
- Describe the activities that will be undertaken in support of the targeted actions and the timeframe for each.
- How will the proposed activities change the behaviour of current resource users in a way that addresses the environmental concern? Who would benefit from the proposed activity? What benefits would they get? How immediate would those benefits be (timing and time preference)?
- Describe how Pilot Project communications (including education and awareness raising activities) will be promoted.

F. Community Participation

- Who is the target population? Identify the likely primary stakeholders of the pilot project? (Primary stakeholders include local residents of the project site who use, interact, and depend on the natural resources of the area (who are often called local community members) as well as other people who potentially will affect or be affected by project activities). Include the sub groups of primary stakeholders e.g. women, men, children, religious groups, etc.
- How is local community participation and information dissemination achieved in the pilot project design and development process?
- How will continued participation and involvement of stakeholders be ensured during further pilot project development, implementation, monitoring and evaluation?

Annex 1: Logical Framework

Include a Logical Framework, basically a summary of the preceding information, formatted under five column headings: Goals, Activities, Performance Indicators, Outcomes and Risks.

Annex 2: Work Plan

Include a draft annual Work Plan that identifies key milestones for the proposed five-year life of the pilot project.

Annex 3: Pilot Project Budget

Prepare a draft annual budget, for a period of five years, which identifies principal expenditure items. The budget should be prepared on the basis that the total available budget is USD340,000. This is not inclusive of staff costs for the National Coordinator.

Appendix 1: Tasks for National Coordinators - Initial Stages

- Complete Trip Report for NCM-1
- Circulate NCM-1 Trip report to GEF and SPREP Focal points, to NTF Members and to PCU - append summary record of discussion.
- Administration
 - Establish administration/office procedures
 - Create hard disk (C drive) file system
 - Create Outlook Express email file system
 - Complete Work Plan and Budget
 - Provide copies of National Coordinators' and Assistant National Coordinators' employment contract to the PCU and include final duty statements for both positions
 - Provide copy of Public Service Employees Act to PCU
 - Determine options for arranging travel to Cook Islands (Accommodation already booked) - PCU arranged or self-arranged?
 - If required for the passport traveled on, ensure visas for the USA, Australia and New Zealand are current.
 - Acquire all necessary details for project accounts including the names and contact details for Department of Finance or Treasury officers responsible for IWP funds administration, account numbers, etc.
- Prepare Stakeholder Inventory and Stakeholder Analysis
- Identify potential NTF members
- Arrange National Task Force and prepare material for meetings
- Review the First Country Visit report prepared by the PCU
 - Review and complete list of contacts
 - Complete Government Profile
 - Complete NGO Profile
 - Complete Environmental Legislation Profile
 - Address Gaps and/or Follow-Up section of Country Report
- Formally review Priority Environment Concerns
- Review of past, current or planned projects in four focal areas (IWP database)
- Prepare List of Potential Resource People
 - in areas of communications, resource economics, community participatory methods, biological surveys (e.g. university and college expertise, locally-based consultants, experts in government departments and agencies, etc)
- Develop initial Communication Profile
- Update Environment-related Communication profile in First Country Report
- Prepare National Communication Profile
- Action initial awareness-raising activities eg FAQ sheet, press releases
- Commence development of National Communication Strategy
- Explore option of expanding the consultation process - as part of the National Communication Strategy

Appendix 2: List of Examples of Potential IWP Pilot Project Stakeholders

Stakeholder	Stakeholder Representative	What is their particular interest in relation to IWP?
Department of Foreign Affairs	Permanent Secretary	SPREP Focal Point; Chairman of Aid Coordinating Committee
Department of the Environment and conservation	Director or Conservation Officer	SPREP Operational Focal Point; mandate for environmental protection
Division of Fisheries	Director of Fisheries or Senior Fisheries Officer	Management of coastal fisheries; stock assessment
Public Works Unit	Chief Engineer	Provision of Water Supply
Department of Public Health	Public Health Officer	Household sanitation and public health
Curriculum Education Unit; Department of Education	Curriculum Officer	Environmental education
National Development Planning Board	Chief Planning Officer	Economic and physical environment-related issues
Tourism Department	Chairman of Environment Committee	Promotion of Eco-tourism
Ministry of Outer Island Affairs	Island Council Representative	Represent interests of outer islands in the Capital
Traditional leaders body	President (Paramount Chief)	Represent interest of customary land owners
Local Council	Mayor	Constituent interests
Inter-agency Environment Committee	Chairperson or committee member	Environmental policy development
International/Regional NGO	Project Officer or field staff	Undertaking community-based conservation activities
Local Environment NGO	Project Officer or field staff	Undertaking community-based conservation activities
National Council of Women	Coordinator or Project Officer	Represent the interests of women
National Umbrella NGO Group	Coordinator or Project Officer	Coordination, support and assistance to its members
National Umbrella Church Group	Coordinator or Project Officer	Community advice and support
Independent Community Leader or Representative	Reverend or Sister; traditional leader; retired teacher	Community advice and support
Local Community Group	Chairperson	Community advice and support
Local Conservation Area/Marine Protected Area	Conservation Area Support Officer	Conservation and resource use issues
Chamber of Commerce	President	Private sector business interests
Education or Training Institution	Director or Lecturer	Postgraduate student research, technical advice
Private National Environmental Management Consulting Group	Natural Resource Economist or Social Impact Assessment Specialist	Technical advice
Donor-funded Waste Management Project	Project Manager or Extension Officer	Technical advice
Donor funded Coastal Fisheries Project	Project Manager or Extension Officer	Technical advice
Local Dive Company/Tourist Operator	Dive Master	Shared resource user
Regional Organisation	Project Officer	Technical advice
Project Coordinating Unit, SPREP	Project Manager; Community Communications Specialist & Community Participation and Awareness Specialist	Coordination and technical issues

Appendix 3: National Communications Profile- Examples only

Media Contact List

Media Organisation	Chief Reporter	Environment Reporter	Postal Address	Phone	Fax	E-mail	Frequency	News Deadlines
Organisation	Editor	Reporter	Sean Penn	2298	2293	newsweekly@news.org.ws	Weekly	Midday, every Friday
News Weekly	Kevin Simpson	Sean Penn	Box 340, City	32878	12312	radionow@last.co.tv	Hourly	
Radio Now	Daisy Tuia	Ben Lima	Box 12, City	32878	12312			

Publications, Radio & Television Programmes

Environment Publication	Editor	Contact	Postal Address	Phone	Fax	E-mail	Frequency	Deadlines
Environment Quarterley	Kevin Simpson	Sean Penn	Box 340, City	2298	2293	newsweekly@news.org.ws	Quarterly	Last day of March, June, Sept, Dec
Eco-systems Digest	Daisy Tuia	Ben Lima	Box 12, City	32878	12312	N/a	Annual	30 March
"My Life, My Earth" radio programme	C/- Ministry of Environment	Dot Smith	Box 65, City	43542	23234	moe@country.df	Weekly, Thurs 9pm	Four weeks ahead

Events and Celebration

Event	Organisation	Contact	Postal Address	Phone	Fax	E-mail	Frequency	Deadlines
Festival of the Sea	Ministry of Fisheries	Sean Penn	Box 340, City	2298	2293	sean@mof.govt.ws	September	

Communications Contractors

Contracting Firm	Chief Executive	Contact	Postal Address	Phone	Fax	E-mail	Expertise
Easy Websites	Kevin Simpson	Sean Penn	Box 340, City	2298	2293	sean@easywebsite.com	Websites, graphic design
Unique Printers	Ewards Timu	Ben Lima	Box 12, City	32878	12312	uprinters@printers.co.nu	Commercial printer - specialising business cards, pamphlets, etc. Not recommended for 4-colour work

Other Communication Services

Contracting Firm	Chief Executive	Contact	Postal Address	Phone	Fax	E-mail	Expertise
Top Clipping Service	Kevin Simpson	Sean Penn	Box 340, City	2298	2293	sean@clippings.com	Will clip newspaper items on international waters
You Pay We Play Theatre Troupe	Ewards Timu	Ben Lima	Box 12, City	32878	12312	players@theatre.co.ws	Theatre Company, specialise in producing skits for corporate events

Annex VI

List of Principal Tasks

- Complete Trip Report for NCM-1
- Circulate NCM-1 Trip report to GEF and SPREP Focal points, to NTF Members and to PCU - append summary record of discussion.
- Administration
 - Establish administration/office procedures
 - Create hard disk (C drive) file system
 - Create Outlook Express email file system
 - Complete Work Plan and Budget
 - Provide copies of National Coordinators' and Assistant National Coordinators' employment contract to the PCU and include final duty statements for both positions
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- Develop initial Communication Profile
- Update Environment-related Communication profile in First Country Report
- Prepare National Communication Profile
- Action initial awareness-raising activities eg FAQ sheet, press releases
- Commence development of National Communication Strategy
- Explore option of expanding the consultation process - as part of the National Communication Strategy

Annex VII

List of additional background and reference material for Coordinators

ELECTRONIC

Social Issues Files:

1. Guide to Gender and Development (AusAID, Canberra)
2. Gender Guidelines: Water Supply and Sanitation (AusAID 2000)
3. Understanding and Influencing Behaviours: A Guide (WWF Washington)
4. Rural Appraisal: Rapid, Relaxed and Participatory (Chambers, R 1992)
5. Integration of Social and Technical Science in Groundwater M&M (Crennan, L)
6. Technical Note on Enhancing Stakeholder Participation in Aid Activities
7. Guidance Note on How to Do Stakeholder Analysis of Aid Projects & Programmes
8. Guidance Note on Indicators for Measuring and Assessing Primary Stakeholder Participation
9. Participatory Tools for the Milne Bay Marine Integrated Conservation and Development Program (Kinch, J)
10. Stakeholder Organisations in the Biodiversity Conservation Network: Arnavon Islands Marine Conservation Area, Solomon Islands (Mahenty, S)

IWP PowerPoint Presentations:

11. IWP Communication Strategy Presentation
12. IWP Economic Issues Presentation
13. IWP Social Issues Presentation
14. IWP PTAG-1 Administrative Procedures Presentation
15. IWP PTAG-1 Introduction Session Presentation
16. IWP Communications Presentation - "Mission Impossible"

NCM-1 Record of Discussion

17. NCM-1 Record of Discussion (29 April - 3 May 2002)

Samoa National Communication Strategy

18. Samoa National Communication Strategy (Draft)

IWP Consultancy Reports (PageMaker Format)

19. Lessons Learned Report
20. Marine Protected Areas Report
21. Coastal Fisheries Report
22. Economics Report
23. Freshwater Report
24. Community Waste Report

RTF-1 Meeting Report (PageMaker Format)

25. Regional Task Force-1 Meeting Report

Biodiversity Support Program CD

26. Biodiversity Support Program CD - A Consortium of the World Wildlife Fund, the Nature Conservancy and World Resources Institute funded by the US Agency for International Development.

HARD COPY

1. MoUs - Samoa/Palau/Tonga/Niue/Kiribati/Nauru/Marshall Islands
2. Guidelines for Initial Phase of the International Waters Programme: In-Country Arrangements, review of priority concerns and selection of Pilot Projects.
3. IWP Administrative Procedures Manual
4. Social Assessment and Participation Strategy (SAP Strategy)
5. Environmental and Natural Resource Economics (handout)
6. Coral Reef Use and Management - The Need, Role, and Prospects of Economic Valuation in the Pacific
7. Collected Essays on the Economics of Coral Reefs
8. Proper Programme for Pollution Control Evaluation and Rating
9. IWP Communication Strategy
10. UNDP National Execution Modality Manual (NEX Guidelines)
11. SPREP List of National Focal Points
12. GEF List of Operational Focal Points

