



Food and Agriculture Organization  
of the United Nations



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# ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

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Enabling Sustainable Production Landscapes in the Eastern Highlands and  
Western Highlands Provinces for Biodiversity, Human Livelihoods and Well-  
Being



OCTOBER 25, 2021



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## LIST OF ACRONYMS

|       |  |
|-------|--|
| AWP/B | Annual Work Plan and Budget                          |
| AVC   | Agricultural Value Chain                             |
| BRWS  | Baiyer River Wildlife Sanctuary                      |
| BRC   | Binatang Research Centre                             |
| CCA   | Community Conservation Area                          |
| CCDA  | Climate Change and Development Authority             |
| CDI   | Community Development Initiatives                    |
| CEPA  | Conservation Environment Protection Authority        |
| CLO   | Customary Landowner                                  |
| CoP   | Codes of Practice                                    |
| CIC   | Coffee Industry Corporation                          |
| CSO   | Civil Society Organization                           |
| DAL   | Department of Agriculture and Livestock              |
| DFAT  | Department of Foreign Affairs and Trade (Australian) |
| DSS   | Decision Support System                              |
| EHP   | Eastern Highlands Province                           |
| EN    | Endangered   |
| ETF   | Enhanced Transparency Framework                      |
| EU    | European Union                                       |

|        |   |
|--------|---|
| FFPOs  | Forest and Farm Producer Organizations                            |
| FPDA   | Fresh Produce Development Agency                                  |
| FPIC   | Free Prior and Informed Consent                                   |
| FPMIS  | Field Program Management Information System                       |
| FRI    | Forest Research Institute   |
| GAP    | Gender Action Plan  |
| GCF    | Green Climate Fund  |
| GDP    | Gross Domestic Product  |
| GEB    | Global environmental benefits                                     |
| GEF    | Global Environment Facility                                       |
| GHGF   | Greenhouse Gas  |
| ILG    | Incorporated Landowner Group                                      |
| ILO    | International Labour Organization                                 |
| IPS    | Investment Promotion Authority                                    |
| KWHS   | Kuk World Heritage Site   |
| LLG    | Local Level Government  |
| LMMA   | Locally Managed Marine Areas                                      |
| LTO    | Lead Technical Officer  |
| LUP    | Land Use Plan   |
| M&E    | Monitoring and Evaluation   |
| METT   | Management Effectiveness Tracking Tool (of Protected Areas)       |
| MFAT   | Ministry of Foreign Affairs and Trade (New Zealand)               |
| MTDS   | Medium Term Development Goals                                     |
| NARI   | National Agricultural Research Institute                          |
| NDC    | Nationally Determined Contribution                                |
| NFI    | National forest inventory   |
| NFIS   | National Financial Inclusion Strategy                             |
| NRI    | National Research Institute                                       |
| NTFP   | Non-Timber Forest Product   |
| OED    | Office of Evaluation Division (FAO)                               |
| OIG    | Office of the Inspector General FAO                               |
| OLPGLG | Organic Law on Provincial Governments and Local-level Governments |
| PA     | Protected Area  |
| PAP    | Protected Area Policy   |

|                     |  |
|---------------------|--|
| PES                 | Payment for Ecosystem Services                                     |
| PIF                 | Project Identification Form (GEF)                                  |
| PMU                 | Project Management Unit  |
| PNG                 | Papua New Guinea   |
| PNGFA               | PNG Forest Authority   |
| PNG TPA             | Papua New Guinea Tourism Promotion Authority                       |
| PNG WIC             | Papua New Guinea Women in Coffee                                   |
| PPG                 | Project Preparation Grant  |
| PPR                 | Project Progress Report  |
| ProDoc              | Project Document   |
| PWG                 | Project Working Group  |
| REDD+               | Reduced Emissions from Deforestation and Forest Degradation (Plus) |
| SABLs               | Special Agriculture Business Leases (SABLs).                       |
| SDG                 | Sustainable Development Goals                                      |
| SME                 | Small and Medium Enterprises                                       |
| StaRS               | National Strategy for Responsible Sustainable Development PNG      |
| STREIT              | Support to Rural Entrepreneurship, Investment and Trade in PNG     |
| tCO <sub>2</sub> eq | Metric tons of carbon dioxide equivalent                           |
| UN                  | United Nations   |
| UNCCD               | United Nations Convention to Combat Desertification                |
| UNDP                | United Nations Development Programme                               |
| UNEP                | United Nations Environment Programme                               |
| UNFCCC              | United Nations Framework Convention on Climate Change              |
| UPNG                | University of PNG  |
| USAID               | United States Aid  |
| VCA                 | Value Chain Analysis   |
| WB                  | World Bank   |
| WCS                 | Wildlife Conservation Society                                      |
| WHP                 | Western Highlands Province   |
| WMA                 | Wildlife Management Area   |

## EXECUTIVE SUMMARY

This Environmental and Social Management Framework (ESMF) has been prepared for the submission of the Food and Agriculture Organization of the United Nations (FAO, Implementing Agency) project proposal “Enabling sustainable production landscapes in the Eastern Highlands and Western Highlands Provinces for biodiversity, human livelihoods and well-being” (**the Project**) to the Global Environment Facility (GEF). Its purpose is to assist in the identification, assessment and management measures of potential environmental and social impacts posed by the Project.

This ESMF consolidates all relevant outputs related to environmental and social safeguards (ESS) for the Project during the formulation stage, namely the: [Environmental and Social Analysis \(ESA\)](#); the FAO screening process at [Annex 1](#) and [2](#); [Stakeholder Engagement](#); guidance for a [Stakeholder Engagement Plan](#) that includes specific provisions for Indigenous Peoples; [Grievance and Accountability](#) mechanisms; and the [Gender Analysis and Action Plan](#). These ESS outputs are consolidated into this ESMF document to prevent the repetition of related information for each output. Moreover, the ESS outputs are interrelated, and consolidating them enables cross-referencing and using information from one ESS output to reinforce another.

The screening process identified 14 social and environmental potential risks, which are further analysed in Section IV. As the risk of stakeholder engagement is categorized as high Risk, to manage this risk effectively it is recommended that the Project make considerable effort to ensure robust Stakeholder Engagement throughout implementation. Seven potential risks are rated as Low Risk and six are rated Moderate Risk.

The broad scope of Project activities and outputs is considered in this ESMF. However, additional assessment is required during the inception phase, and throughout the Project as activities are further defined, to identify potential adverse impacts at specific Project sites and to identify which stakeholder groups might be affected. This is particularly relevant for community-level consultations in East Highlands Province (EHP) where consultations could not be undertaken during the project design phase due to COVID-19 measures in the country.

[Two Project workshops](#) were implemented during the Project formulation stage: one at the national level and one at the provincial level in West Highlands Province (WHP) . Members of the three levels of government, international NGOs, local CSOs, community leaders, and community members were all engaged during the Project workshops as well as the during [community-level meetings](#). The focus of these stakeholder engagement events and meetings was to ensure that all stakeholders understood the nature of the Project, had opportunity to discuss concerns, and enable integration of stakeholders’ ideas into the proposed Project activities.

This ESMF supports the implementation of a Grievance Redress Mechanism (GRM), as set out in the [GRM Standard Operating Procedures \(SOP\)](#) that will be implemented at the Project level. It is anticipated that the combination of thorough stakeholder engagement and robust communication channels between Project stakeholders, key government agencies (such as the Conservation and Environment Protection Authority - CEPA), FAO and the Operational Partner should help to resolve issues that may arise related to this Project. However, having accountability mechanisms such as the GRM in place will be essential should a Project-related grievance arise. This accountability, in conjunction with the identification and management of social and environmental risks, will ensure that the Project delivers sustainable results that have a positive impact on its beneficiaries.

Finally, this ESMF is the basis upon which subsequent Environmental and Social Management Plan(s), Livelihoods Action Plan(s), Community Needs Assessments and other safeguards related plans will be developed to ensure full compliance with the requirements of FAO’s ESS standards. This ESMF also details the roles and responsibilities for its implementation and includes a broad framework for a safeguards [budget and monitoring and evaluation plans](#).

## I. INTRODUCTION

This Environmental and Social Management Framework (ESMF) has been prepared for the FAO-supported project “Enabling sustainable production landscapes in Eastern Highlands and Western Highlands Provinces for Biodiversity, Human Livelihoods and Well-being” (the **Project**). FAO is the GEF Implementing Agency for the Project to which this ESMF applies.

### Project Description

This ESMF has been prepared by FAO in collaboration with the Conservation and Environment Protection Authority (CEPA). The Project’s overall aim is to: mainstream biodiversity across sectors and landscapes; address direct drivers to protect habitats and species; and improving financial sustainability to support effective management of protected areas. It is part of an innovative approach towards reducing biodiversity loss and establishing a sustainable system of land-use planning to guide future development activities in the Highlands region. The project will work towards achieving these objectives by introducing various activities and approaches for improvement within the major agricultural commodities and tourism sectors.

The Project targets two demonstration landscapes, the Eastern (EHP) and Western Highlands Provinces (WHP), where the various interventions will be implemented, although the exact districts have yet to be identified. The Project is designed to focus on existing and potential protected areas (PA) and other high conservation value areas and the agricultural and forest areas surrounding these PAs. The initial surveys, mapping and planning in year 1 will refine the exact locations to work with customary landowners by identifying areas of high value conservation, model farming families that are willing and able to improve forest and farm management practices, and viable biodiversity friendly, climate resilient value chains. The EHP and WHP were selected based on the presence of globally important biodiversity values, the increasingly high population and the potential to improve the management of protected areas and adjacent farmlands (refer to Section II for social and environmental baseline information). The duration of the Project is four years (2022-2026).

### Project Components

The Project will work to with CEPA, as the key national government partner, to perform its protected area mandate and implement the Protected Area Policy. The Project Executing Agency, the Wildlife Conservation Society (WCS), will be responsible for executing the Project activities through focusing on addressing the following four components in Table 1. The proposed Project activities are fully described at Annex 10.

**Table 1. Summary of Project Components<sup>1</sup>**

| Component 1: Improving spatial data and strengthening integrated land use planning, coordination and management   |   |
|---|---|
| Outcome 1.1:<br>Investment and land use decision making in EHP and WHP enhanced by using participatory and transparent decision support systems (DSS), backed by comprehensive land use and biodiversity information improved access to spatial data. | <b>Output 1.1.1:</b> Biodiversity/forest assessments conducted in the two target provinces, including forest assessments supplementing the National Forest Inventory  |
|   | <b>Output 1.1.2:</b> Spatial data including gender disaggregated socio-economic data, customary landowner aspirations, development plans and historical land use and land use change in the two target provinces, and key gaps and trends identified. |
|   | <b>Output 1.1.3:</b> Biodiversity, socio-economic and historical land use and land use change information of the target provinces is made available through web-interface database systems.   |

<sup>1</sup> Extracted from ProDoc version dated 10 September 2021.



|   |  |
|---|--|
|   | <p><b>Output 1.1.4:</b> Integrated decision support system developed and tested for the Eastern and Western Highlands, based on adaptation of lessons learned on decision support systems elsewhere in PNG.</p> <p><b>Output 1.1.5:</b> Applications in existing platforms for improved coordination and land use planning are operating.</p> <p><b>Output 1.1.6:</b> Capacity to undertake integrated planning built amongst at least 100 planners (women and men) at provincial, district, local and ward levels.</p> <p><b>Output 1.1.7:</b> Priority areas and species for conservation and mainstreaming biodiversity defined through participatory planning with customary landowners and key partners.</p> <p><b>Output 1.1.8:</b> Participatory land and conservation planning assessments and mapping of up to 200,000 hectares of priority areas for agricultural improvement, conservation and forest/grassland restoration.</p> <p><b>Output 1.1.9:</b> Land use monitoring systems for the two target provinces established.</p> <p><b>Output 1.1.10:</b> Integrated decision support system used by stakeholders to identify sites of high importance for global biodiversity for at least four existing and potential Community Conservation Areas (CCA) and other protected areas, areas where deforestation and ecosystem degradation should be avoided, areas for restoration, and areas for economic development.</p> <p><b>Output 1.1.11:</b> Integrated land use plans and updated forest plans for the two target provinces, that support both biodiversity and climate change objectives, prepared through highly participatory stakeholder processes involving both women and men.</p> |
| Component 2: Scaling up landscape-level action for integrated conservation and sustainable supply chain development   |  |
| <p>Outcome 2.1:<br/>Key value chains for sustainably harvested products strengthened/established and financial and market support mechanisms for forest and farm producer organizations made available.</p> | <p><b>Output 2.1.1:</b> Options for gender sensitive, biodiversity friendly and climate resilient practices and approaches have been identified by a review of the farming and forest use systems (gender disaggregated) of the target provinces.</p> <p><b>Output 2.1.2:</b> 1,000 model farming families (MFFs) are promoting improved farming and forest management systems, including forest restoration and agroforestry, and biodiversity friendly and climate resilient practices amongst farming families within their MFF cluster.</p> <p><b>Output 2.1.3:</b> Assessments of specific gender sensitive, biodiversity friendly and climate resilient value chains in each MFF cluster conducted, and improvement plans prepared.</p> <p><b>Output 2.1.4:</b> MFFs and their FFPOs in each MFF cluster have developed bankable business plans and used these plans to develop viable, gender sensitive, biodiversity friendly, climate resilient small-scale farm enterprises.</p>   |
| <p>Outcome 2.2:<br/>Improved biodiversity conservation in targeted protected areas (including CCAs).</p>  | <p><b>Output 2.2.1:</b> Review of the five existing gazetted protected areas in the two target provinces conducted and Statements of Management Intent (SMI) developed, and management plans prepared.</p> <p><b>Output 2.2.2:</b> Targeted customary landowners (women, men and youth) supported to identify and plan five community conserved areas (CCAs) under relevant policies and laws, and to manage their areas effectively.</p> <p><b>Output 2.2.3:</b> The management effectiveness of five existing protected areas, including existing CCA improved.</p>  |
| Component 3: Strengthening the enabling environment and governance structures for integrated landscape/land-use planning, coordination and management.  |  |

|  |   |
|--|---|
| Outcome 3.1:<br>Integrated decision support systems for land use management of the targeted landscapes enabled by adequate policies and methodologies. | <b>Output 3.1.1:</b> Strengthened national (1) and provincial (2) regulatory frameworks for the conservation and sustainable use of multi-functional landscapes.  |
|  | <b>Output 3.1.2:</b> National and provincial policy and regulations (4) on agricultural, fisheries and forestry commodity trading strengthened to support gender sensitive, biodiversity friendly and climate resilient practices and approaches. |
| <b>Component 4: Effective knowledge management, monitoring and evaluation</b>  |   |
| <b>Outcome 4.1:</b><br>Stakeholders and the project benefit from the project's knowledge management and monitoring and evaluation systems.             | <b>Output 4.1.1:</b> Monitoring and evaluation of project progress on a regular basis using harmonized, gender disaggregated, monitoring and learning approaches (at local and national level).   |
|  | <b>Output 4.1.2:</b> Knowledge sharing strategy developed, and lessons and best practices disseminated in appropriate formats at local and national level.  |

### Scope and Methodology

According to FAO's guidelines, risk is the effect of uncertainty on objectives and impacts, where the effect is a deviation from the expected positive and/or negative outputs.<sup>2</sup> Therefore, risk management is a coordinated set of activities to direct and control an organization with regard to risk. It comprises a structured, methodical approach to identifying, scoring and reducing exposure to risks for the achievement of objectives.

At the project and field level, FAO Environmental and Social Standards (ESS) 1-9 are designed to help manage and improve FAO environmental and social performance through a risk and outcome-based approach. Projects must meet the nine ESS standards, which set out specific requirements relating to different social and environmental issues. To ensure that the environmental and social issues are adequately addressed in compliance with FAO and GEF policies, all Project activities shall undergo a screening, assessment, review, and clearance process before execution of the activities. The Project's environmental and social risk management shall be implemented at the activity level. This ESMF is a part of FAO's due diligence and has been developed as the Project sub-activities are not fully identified at this stage.

Since **the Project is classified as Moderate Risk**, section IV of this document will serve as the basis for the Environmental and Social Analysis (ESA) for Moderate Risk projects, which shall be further refined during the first months of implementation of the Project. Moreover, CEPA and WCS in coordination with FAO will include specific activities for the elaboration of the ESA and implementation of the mitigation measures in the Program Work Plan of the first year. Based on the recommendations derived from the ESA and according to FAO procedures for Moderate Risk projects, **an Environmental and Social Management Plan (ESMP) must be prepared** to set out the measures and actions required for the Project to manage and effectively mitigate environmental and social risks to achieve compliance with the ESS over a specified timeframe. Section IV outlines the basis for the Project's ESMP and describes the mitigation measures to be taken, as well as a timeframe for these measures to achieve compliance with the standards and to manage the identified risks and impacts. Annex 8 and 9 include proposed outlines for the ESA and the ESMP respectively.

Furthermore, during Project implementation it is recommended that the following procedures for screening, assessing and managing the risks be undertaken:

<sup>2</sup> See <http://www.fao.org/3/a-i4413e.pdf>

- a) **Screening:** Project activities will be re-screened during the required assessments when determined necessary by the Project Manager, the PMU's Safeguards Officer, the Project Working Group (PWG) or FAO.
- b) **Environmental and Social Analysis (ESA):** In accordance with FAO's Environmental and Social Management Guidelines (ESMG), Moderate Risk projects require comprehensive forms of assessment. An ESA will be developed and carried out by a national safeguards expert in a participatory manner with the relevant national and subnational stakeholders. The ESA will further identify and assess social and environmental impacts of the Project and its area of influence, evaluate alternatives, and design appropriate avoidance, mitigation, management, and monitoring measures. Refer to Annex 8 for an indicative outline of the ESA.
- c) **Environmental and Social Management Plan (ESMP):** The ESMP will provide a set of avoidance, mitigation, monitoring and institutional measures, as well as actions needed to implement these measures to achieve the desired social and environmental sustainability outcomes. Complementing what has already been identified in the Project Document, this ESMP and ESA, the ESMP will further identify Project activities that cannot take place until the relevant mitigation measures are approved and implemented. Refer to Annex 9 for an indicative outline of the ESMP.
- d) **Assessment reports and identified management measures (Stakeholder Engagement Plan, Livelihood Action Plan):** Identification of time-bound measures to avoid, reduce, mitigate and manage potential impacts may also be captured in a Stakeholder Engagement Plan (SEP) and Livelihood Action Plan (LAP), as required. The Project's SEP and LAP may be discrete outputs or contained within the ESMP. At a minimum, the output of these targeted assessment must include:
- Summary of identified adverse social and environmental risks and impacts that could not be avoided or remain after impact minimization efforts;
  - Baseline for social and environmental impacts;
  - Review of the Gender Analysis and Action Plan, and outline additional specific actions and updates;
  - FPIC consultations with customary landowners and local communities;
  - Actions to implement mitigation measures for each identified risk and impact;
  - A monitoring and reporting plan;
  - Implementation schedule, cost estimates and funding sources.
  - Assess potential physical and economic displacement impacts at the Project sites;
  - Assess national and provincial policy and institutional framework applying to resettlement against FAO standards to identify any gaps (as relevant);
  - Ensure no forced evictions or involuntary resettlement takes place;
  - Ensure that alternative livelihood support is provided for those who are economically displaced;
  - Apply Free and Prior Inform Consent (FPIC) for all activities involving natural resources, land, or cultural heritage;
  - Ensure benefit-sharing agreements are in place prior to implementing Project activities.

The Plans should also consider linkages to the District and Provincial Development Plans for the respective pilot sites. Site-specific plans may be prepared in addition to the project-level ESMP, ESA, SEP, and LAP, as deemed appropriate. FPIC will be applied throughout the process of developing and implementing the management plans to ensure that it is applied as per FAO's safeguards policies and procedures.

## II. BASELINES

### Environmental Baselines

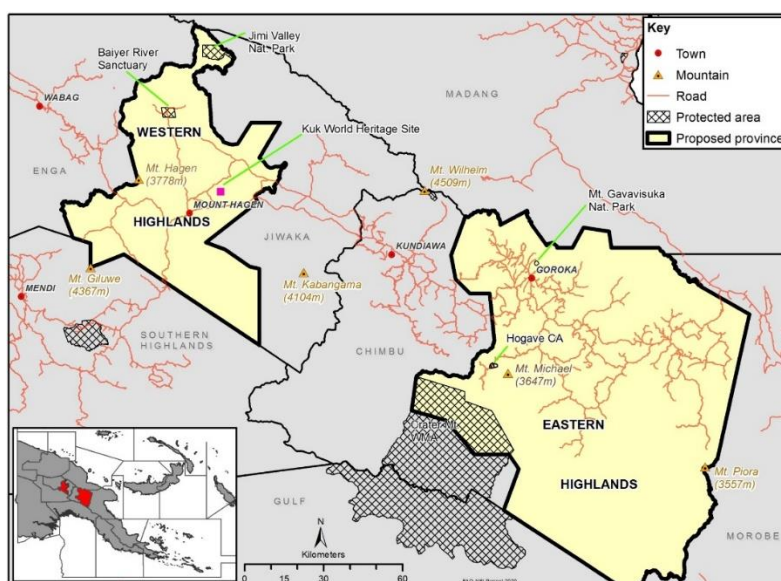
The total area of the Project's focus is 1.54 million hectares (refer to table 2 below). The area is mountainous with an elevation range from 272 meters to 4,433 meters including Mt Giluwe (sharing the peak with Southern Highlands Province, the second highest mountain in PNG) and numerous mountains higher than 3000 meters.

**Table 2. Total area covered by the Project.** Source: FAO-NFI project.

| Province          | Area in hectares |
|-------------------|------------------|
| Eastern Highlands | 1,114,676        |
| Western Highlands | 432,998          |
| <b>TOTAL</b>      | <b>1,547,674</b> |

#### Biodiversity

The targeted landscape in the two Highlands provinces is home to some of PNG's rarest plants and more than half of the region's species are endemic. The intact montane forest is largely comprised of *Nothofagus* spp., with most of the lower elevation forest having been cleared for agriculture and timber production in the 20<sup>th</sup> century. Small patches of *Castanopsis* forest remain at lower elevation. The forests in the two provinces are home to several IUCN Red-Listed and little-known species including, but not limited to, the central ranges tree kangaroo (VU), Goodfellow's tree kangaroo (EN), eastern long beaked echidna (VU), and New Guinea Pademelon (VU)<sup>3</sup>.



**Figure 1. Map of the two target provinces<sup>4</sup> (source of map: FAO-PNG PPG team, developed using data from CEPA and PNGFA).**

A land-sea conservation assessment for PNG was conducted in 2016-17<sup>5</sup>. The assessment identified most of the area in WHP and a substantial area in EHP as high conservation priority areas. There are five protected areas in the two provinces covering 274,998 hectares, part of Crater Mountain WMA, Mt. Gavavisuka Provincial Park and Hogave Conservation Area in EHP and Jimi Valley National Park and Baiyer River Sanctuary in WHP.

<sup>3</sup> Wildlife Conservation Society. 2018. Sustainable Wildlife Management Programme, Project Document Papua New Guinea Bismarck Forest Corridor. (VU = Vulnerable, EN = Endangered)

<sup>4</sup> The boundaries and names shown and the designations used on this map do not imply the expression of any opinion whatsoever on the part of FAO concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers and boundaries

<sup>5</sup> Government of PNG. 2017. Land-sea conservation assessment for Papua New Guinea. <https://www.pg.undp.org/content/papua-new-guinea/en/home/library/land-sea-conservation-assessment-for-papua-new-guinea.html>

### Land-Use

PNG has a total land area of about 46.9 million hectares of which 77.8% is forest land. WHP and EHP have the lowest and second lowest forest cover in PNG at 41% and 54% respectively (refer to Figure 2), which is significantly lower than the national average. There are about 600,000 hectares of forest in the EHP and about 180,000 hectares in the WHP. The provinces also contain some important wetlands.

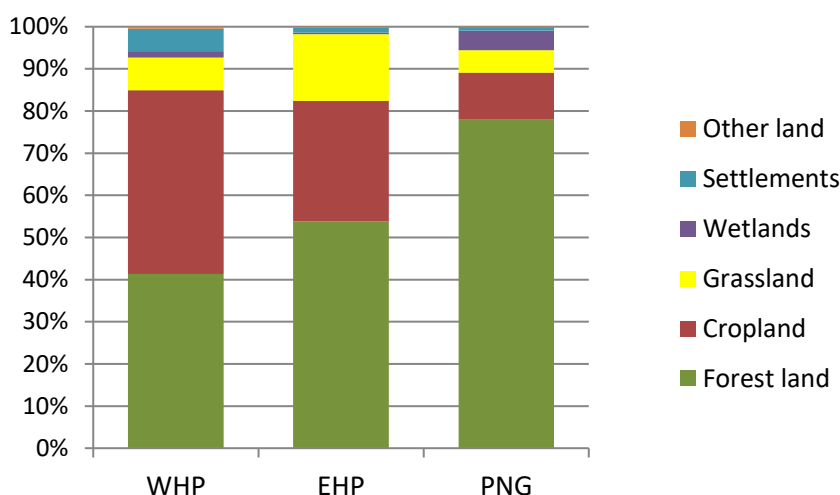


Figure 2. Land-use in PNG. Source: FAO-PNG FRL 2017.

### Deforestation

Most of the emissions in the Land Use and Land Use and Forestry (LULUCF) sector in PNG occur when forests are degraded or deforested (forest land converted to other land use).<sup>6</sup> The total GHG emission caused by deforestation and forest degradation between 2000 and 2013 was 164,314 tCO<sub>2</sub>e (12,640 tCO<sub>2</sub>e/year) for WHP and 987,394 tCO<sub>2</sub>e (75,953 tCO<sub>2</sub>e/year) for EHP. Subsistence agriculture was the cause of the deforestation and forest degradation in both provinces. Figure 3 below shows that 96% of cropland in EHP and WHP is subsistence agriculture.

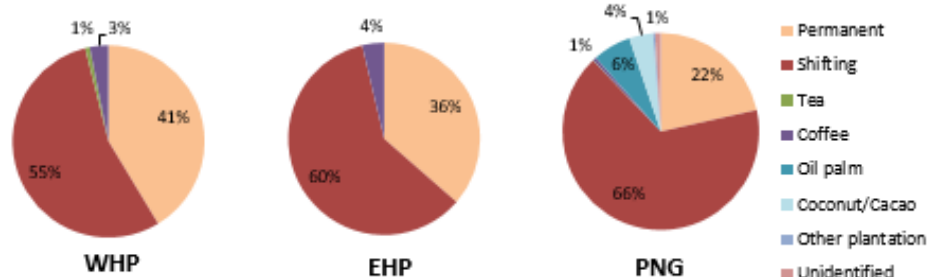


Figure 3. Types of cropland in WHP, EHP and PNG. Source: FAO.

### Socio-Economic Baselines

The population of PNG has grown from 3.8 million in 1990 to 7.3 million according to a 2011 survey. This is a 40 per cent increase with an average annual growth rate of 3.1% since 2000. Around 39% of the population live in the Highlands region and its annual growth rate is higher than the national average. Table 4 contains the population distribution for PNG across its four regions based on the 2011 survey.<sup>7</sup>

Both of the Project's target provinces are heavily populated with populations of 362,850 and 579,825 in WHP and EHP respectively. The population density of WHP is 83.8 person/km<sup>2</sup> and EHP is 57.0 person/km<sup>2</sup>, these densities are many times higher than the national average of 15.8 person/km<sup>2</sup>. WHP

<sup>6</sup> PNG Forest Reference Level, 2017.

<sup>7</sup> Papua New Guinea National Statistical Office (2013). National Population and Housing 2011. Port Moresby: National Statistical Office

is the most densely populated province (after the National Capital District) followed by Jiwaka Province and Chimbu Province. EHP is the fourth most densely populated province.

**Table 2. Population distribution across PNG's four regions**

| Region    | Urban population | % Urban | Rural population | % Rural | Total population |
|-----------|------------------|---------|------------------|---------|------------------|
| Southern  | 441,838          | 30      | 1,014,412        | 70      | 1,456,250        |
| Highlands | 151,310          | 5       | 2,703,564        | 95      | 2,854,874        |
| Momase    | 176,523          | 9       | 1,691,134        | 91      | 1,867,657        |
| Islands   | 85,280           | 8       | 1,011,263        | 92      | 1,096,543        |
| TOTAL     | 854,951          | 12      | 6,420,373        | 88      | 7,275,324        |

### *Education and Literacy*

PNG has very poor data availability for the education sector as is the case with many other sectors in the country. The most recent statistics provided on the 2018 UNESCO UIS<sup>8</sup> were from 2010 data. Based on this information PNG's literacy rate for its youth (ages 15 to 24) was 67.9% overall, however, for males it was 64.57% and for females it was 71.4%. Generally, across all ages, males have a slightly higher literacy rate than females at 65.29% compared to 57.9%, which supports the statistics concerning most early school leavers are amongst the female population. This percentage decreases drastically for those over 65 years of age with the overall literacy rate at 33%.

PNG is disproportionately young: data indicates that a significantly large portion of the national population is below the age of 35, posing a serious development challenge<sup>9</sup>. These development challenges were observed during the WHP mission whereby representatives from the WHP provincial government and PNGWICA echoed similar comments regarding social problems caused by abuse of marijuana by youths in the WHP.

### *Land Tenure*

PNG's land tenure system is quite complex due to existing laws which recognize that the majority of land is held under traditional/customary ownership<sup>10</sup> and subject to the customary systems that govern it. This means that most of the forests in PNG are under customary ownership unless such ownership and the rights pertaining to it have been voluntarily suspended by virtue of an agreement with the customary owners or via compulsory acquisition by the state<sup>11</sup>. Apart from customary land there are also forests, nature reserves and parks that are administered by the state, e.g., national parks which are subject to the laws and regulations that govern them<sup>12</sup> and private freehold land set aside for reservation or conservation purposes. These different land designations are relevant to the development of the ESA and to the development of an ESMP.

97% of the land in PNG is under customary ownership by virtue of sovereign rights guaranteed to all citizens.<sup>13</sup> The traditional customs and practices of the people of PNG are also recognized within Schedule 2.1.1 of the Constitution, and customary land owners (CLOs) also have exclusive usufructuary rights over the lands they traditionally occupy. PNG recognizes customary land management which are defined and governed by the customary laws of that area or tribal/group. This

<sup>8</sup> <http://uis.unesco.org/en/country/pg>

<sup>9</sup> McPhee, L. & McLachlan, S., 2017. The Youth Bulge in Papua New Guinea: Challenges and Opportunities.

<sup>10</sup> 97% of land is held under traditional/customary ownership in PNG.

<sup>11</sup> Refer to the Constitution section 53 and sections 10, 11 and 12 of the Land Act 1996 in so far as it relates to various processes of land acquisition.

<sup>12</sup> National Parks Act (repealed), Conservation Areas Act, CEPA Act 2015 and the Fauna (Protection and Control) Act.

<sup>13</sup> The rationale for this is contained in the Constitutional Planning Committee Report of 1974, Chapter 5, Human Rights and Obligations and Emergency Powers, Part 1 - Human Rights and Obligations, A. Declaration of Fundamental Rights and Freedoms and within the section on 'Unjust Deprivation of Property as it relates to all natural born citizens of this country.



is further supported by the Customs Recognition Act 1963, the Interpretations Act 1975 and sector specific legislation like the Forestry Act 1991, the Climate Change Management Act 2015, Land Act 1996, Mining Act 1992, and within other key sectoral policies. The Land Act, 1996, and the Land Registration Act, 1981 (amended in 2009) and the amended Voluntary Land Regulations Act 2009 address the complicated issue of registering customary land. This process of application is often very lengthy and will need to be carried out in accordance with the Land Groups Incorporations Act 1974 (amended in 2009) and may invoke elements of customary dispute settlement procedures/processes via the Land Disputes Settlement Act, 1975 and those faculties established to preside over such matters<sup>14</sup>.

Customary owner's rights over the forest produce growing on the land or relating to the use of the land is guaranteed under the Constitution and is further provided for in natural resource legislation like the above-mentioned Acts. The organization of social units to manage the title to forested land, and the observation of the laws governing these rights is also respected as part of an Incorporated Land Group (ILG) which regulate the process of conducting land surveys for groups of customary landowners and the confirmation and organization of these groups into social units to manage the title to land.

### **Land Tenure, Decision-Making and Conflict Resolution Specific to WHP**

Western Highlands, as all Highlands provinces, is a patrilineal society so women have little to no decision-making power over land ownership and land use. The following findings in relation to land tenure arrangements were determined from the community level consultations in WHP:

- 1) One-third of respondents knew the total area of their portion(s) of land, representing 50% of the total male respondents and 20% of the total female respondents.
- 2) All of the female respondents from Mul-Baiyer did not know the area of their portion(s) of land compared to two-thirds of male respondents from Mul-Baiyer.
- 3) One-third of respondents recognized that the customary land is solely under their individual ownership. 56% of respondents acknowledged that they were not the sole owners of their customary land, with all females interviewed stating that their ownership was by virtue of marriage, i.e. shared with their husband.
- 4) 89% of respondents had no form of documentation to demonstrate ownership, indicating that their land was customary owned. None of them had made efforts – or likely do not know the process - to voluntarily register their customary land.
- 5) All respondents had their portion(s) of land demarcated by visible boundaries, most of which were natural barriers such as a sturdy hedge-like plant called *tanget* (89%).<sup>15</sup> This indicates that local communities agree amongst themselves and recognize the natural boundaries separating individual family or clan plots. However, at semi-urban centers or stations, where the land is under the State, land boundaries are identified using more modern material, such as wire or metal fencing.

The following observations are based on the community-level interviews as well as the consultations with provincial stakeholders:

- 1) Land tenure and decision-making over natural resources largely remains male-dominated in the WHP. There are rare cases where women have the power and influence over customary land and natural resource access, but this usually occurs if she is either the widow (or daughter) of a well-respected 'big man' or has sons that recognize and respect her authority or a combination of both.

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<sup>14</sup> Example the Land Courts of PNG.

<sup>15</sup> Cordyline plants: *Cordyline fruticosa* and *C. terminalis*

- 2) Generally, women in patrilineal societies have significantly less agency than women in matrilineal societies in PNG. From the community interviews, the following factors appeared to positively correlate with the influence and agency in terms of decision-making by female respondents: formal education; an income/livelihood earning ability; support from immediate family (usually her father); and frequent involvement with community or religious women's groups. Most of the findings from the WHP mission are consistent with the conclusions of research<sup>16</sup> that surveyed the gender roles and perceptions of women in the WHP.
- 3) The village courts and customary land dispute resolution are functions delegated to provincial governments. For the most part in WHP, these conflict resolution mechanisms at the sub-national level are functioning effectively. However, the issue faced by the provincial government is the fact that some disputes related to land access and natural resource benefits tend to be resolved *outside* of the established process. This has resulted in grave consequences –such as tribal or retaliatory killings –for the parties involved.<sup>17</sup>
- 4) As noted above most of the land in PNG is traditionally owned, which means that the laws governing State land administration do not necessarily govern customary land. Customary land is governed by customary law that varies between places. A key element of customary law in Melanesian governance is the deep engagement and negotiation between contesting parties prior to reaching a consensus that seeks to achieve restorative justice to benefit the broader community's safety and interests.

#### *Employment and Economy*

A 2019 report<sup>18</sup> showed that 89% and 94% of the population of WHP and EHP respectively are engaged in agriculture. It found that the most widely grown cash crop was coffee, which had the highest portion of coffee growers across households with 93% and 99% of households in WHP and EHP respectively. However, fresh food cropping was the largest sector of those engaged in agriculture and the highest income came from the sale of surplus food crops. The same report found that the poorest households (88% with a land holding of ~1ha) own most of the land and that land is held in farmed sizes too small (1-5 ha) for the scales of production required for commodity formal sector types of cropping. Additionally, Kopel<sup>19</sup> identified the main barriers to the informal agricultural sector as: ineffective delivery of public services; deteriorating state of law and order; poor infrastructure and infrastructure services; lack of transport; poor access to education; absence of utilities; and a shortage of skilled human capital.

#### **Livelihood Options in the WHP**

The following findings in relation to livelihood options were determined from the interviews at the community level:

- 1) One third of respondents were dedicated to informal employment as small-holder farmers that sell cash crops such as coffee and *brus* (tobacco), fresh crops and occasionally livestock such as pigs and poultry. A few respondents were involved in both formal employment as well as informally selling their surplus fresh produce at local markets. They recognized that their formal fortnightly income was not sufficient for their households in light of the rising cost of goods and services.

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<sup>16</sup> FHI360, 2019. *Survey on Family Wellbeing in Western Highlands and West Sepik Provinces*. <https://www.fhi360.org/sites/default/files/media/documents/resource-png-klom-survey.pdf>

<sup>17</sup> See <https://emtv.com.pg/warring-tribes-in-mul-baiyer-make-peace/>

<sup>18</sup> Pais, J and Verma A 2019. *Agriculture in Papua New Guinea*. Report on Agriculture, Livestock and Fisheries in Papua New Guinea based on the analysis of data from the Demographic and Health Survey 2016-18. Prepared by Jesim Pais and Ankur Verma. In National Statistical Office - NSO and ICF. 2019. Papua New Guinea Demographic and Health Survey 2016-18. Port Moresby, Papua New Guinea: NSO and ICF. Available at <https://www.dhsprogram.com/pubs/pdf/FR364/FR364.pdf>

<sup>19</sup> Kopel, E.2017 'The informal economy in Papua New Guinea: Scoping review of literature and areas for further research' in Issues Paper 25 April 2017



- 2) One-third of respondents self-identified as small to medium business owners (SME).
- 3) One-third of respondents sold half of their fresh crops and consume the other half. 22% stated that more than half of their fresh crops are sold; another 22% of respondents' households consume over half of their fresh crops.
- 4) Two-thirds of the respondents sell their fresh produce at local markets in addition to the main market in Mt. Hagen. Only two of the female respondents that conduct sales at the Mt. Hagen market also sell their cash crops (mainly *brus*) in Port Moresby and fresh crops (mainly ginger) at the market in Lae.
- 5) 78% of respondents had access to a bank account. Half of the female respondents shared their bank account with their husband. 44% of the respondents had the desire to access credit and 22% of respondents did not possess a mobile phone.

### **Trends in the WHP**

A major trend emerging amongst small-holder farmers in WHP is the shift away from coffee cultivation towards fresh food produce. This supports research<sup>20</sup> that assessed that fresh food cropping was more lucrative than cash cropping and was affirmed by representatives from the WHP provincial government, the PNGWICA and the private sector. The primary reason behind this shift was price instability of the commodity, compounded by the phasing out of the price support policy, and its destabilization fund, which ensured farmers were not negatively affected by price fluctuations. Moreover, there were industry-wide concerns surrounding the levies that the Coffee Industry Corporation (CIC) collects towards research activities. Another factor that has caused the decline in coffee production is the tribal conflict between landowners of coffee plantations. Tribal conflict has contributed to the lack of interest from the private sector to invest in their respective areas.

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<sup>20</sup> Curry G. Webb M. Koczberski G. 2017 Improving Livelihoods of Smallholder Families through Increased Productivity of Coffee-based Farming Systems in the Highlands of PNG. ASEM/2008/036 Report # FR2017-08 ISBN 978-1-86320-028-8 Published by ACIAR Canberra Australia

### III. LEGAL AND INSTITUTIONAL FRAMEWORKS

#### **Substantive Rights of Indigenous Peoples**

The majority of Papua New Guineans are Melanesian people that descend from the populations that inhabited the country prior to colonisation. The population generally has historical continuity with their territories, and retain some, if not all, of their pre-colonial social, economic, cultural, and political institutions. According to the most accepted definitions, virtually the entire population of PNG are “Indigenous.”<sup>21</sup> It should be noted that PNG’s laws and policies do not distinguish between specific groups of people as Indigenous, and the term is generally not used by the population to refer to itself. Nonetheless, the recognition of pre-colonial “customs,” that is, “Indigenous” legal rights, rules and norms, is enshrined in the Constitution of PNG. The Constitution emphasizes the importance of “the worthy customs and traditional wisdoms of our people – which have come down to us from generation to generation,” and sets out as its fifth National Goal that PNG’s development shall be achieved “through the use of Papua New Guinean forms of social, political and economic organization, including traditional ways of life and culture, and the traditional role of villages and communities.”<sup>22</sup> The Project will respect and incorporate the substantive rights of indigenous peoples, who are considered customary landowners, through the approach described in its Stakeholder Engagement Plan (Annex 6).

#### *Recognition of Indigenous People under Law*

Further to section II.B.2, PNG’s traditional/customary peoples have ancestral ties to the land and ecosystems, which are not only of economic importance but also of cultural and spiritual significance and are fundamental to the construction of identities as well as ways of being, thinking and living. At the national level, PNG’s laws and policies have always sought to preserve these unique identities and have established institutions which help to formulate the implementation of policy, laws and regulations relating to the registration of lands traditionally occupied by customary landowning groups and to help preserve the unique cultural identity of these various customary groups.<sup>23</sup>

The Organic Law on the Provincial and Local Level Governments (OLPLLG) is one of the main legal instruments that has direct bearing on this aspect of maintaining culture in PNG at the subnational level of government by ensuring powers to enact laws in relation to environment and cultural protection takes place at the appropriate level. Under the OLPLLG (1997)<sup>24</sup> provincial governments are empowered to establish procedures and systems for the protection of the environment and resources.

The OLPLLG compliments the National Cultural Commission Act 1994 which assists and facilitates the promotion of traditional cultures of customary clans/groups or people. Furthermore, the National Museum & Art Gallery (NMAG) was established to preserve, protect and promote PNG’s cultural heritage including its intangible aspects as well. In terms of protecting the traditional/cultural sites of significance, the National Parks Act (repealed) provides protection of the fauna and flora, scenic beauty, historic remains, and the cultural or spiritual aspects of a specific site through the establishment of protected areas and natural reserves and coincides with the objectives of the Conservation Areas Act.

#### *Recognition of Customary Land under Law*

The Registry of Incorporated Land Groups (ILGs) is a national public registry; registration is mandatory for all customary land that is subject to some form of commercial and business lease or natural resource development project. An ILG is established via the Land Groups Incorporations (Amendment) Act 2009 and recognized within the Land Act 1996, the Forestry Act 1991<sup>25</sup>, the

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<sup>21</sup> ILO, (10 May 2009), Indigenous & Tribal peoples’ Rights in Practice – A Guide to ILO Convention No. 169, p. 9.

<sup>22</sup> Constitution of the Independent State of Papua New Guinea, preamble, National Goal 5.

<sup>23</sup> Refer to the NCC and PNG’s National Cultural Policy.

<sup>24</sup> See s. 44

<sup>25</sup> sections 54-57 of

Environment Act 2000<sup>26</sup>, the Climate Change Management Act 2015<sup>27</sup>, and within the agriculture and mining sector legislation.

However, the ILG Registry is not sufficient to provide the necessary forest or environmental information required to integrate into a database that would support monitoring and combating deforestation as well as environmental and economic planning. The ILG Registry needs to be coupled with the individual sector (forestry, agriculture, lands and physical planning, environment and conservation, and climate change) registries within PNG to address these issues. Each of these individual sectors' registries do not require ILGs to be registered for the environmental information to be obtained on the specific development projects taking place on the land. However, it is necessary in most cases to commence the ILG registration process before project implementation begins. Additionally, there also remains a lack of a unified approach to land-use planning across sectors which has led to challenges in overlaps between protected areas and concessions.<sup>28</sup>

The Land Registration (Amendment) Act 2009 provides for CLOs to voluntarily register their customary land. It enables customary landowners to release certain portions of their land for development, with the ILG becoming the landowning unit. Only an ILG can apply for registration and once the land has been registered, it ceases to be bound by customary law except for the purpose of inheritance. The phases of the demarcation procedure of the customary owned lands are defined by specific Acts of Parliament<sup>29</sup> and entail the following:

- *Request for Incorporation or Voluntary registration*: CLOs approach the respective ILG division within the National Department of Lands and Physical Planning (DLPP) and apply for the registration of their customary/traditional group or their land.
- *Land Dispute Resolution*: If there are objections to this application due to conflicts over land between rival customary/traditional groups, then this becomes the subject of a land court hearing or some form of land dispute settlement process which will need to be determined prior to continuing with the ILG and land registration.
- *Land, Social and Environmental Surveys/mapping*: depending on the purpose for the formation of the ILG or for voluntary registration, either anthropological, historical, land, cartographic and environmental surveys and/or studies are carried out, which form the basis for identification and delimitation of customary lands. This is a process that often occurs prior to or conjunctive to the land dispute resolution process.
- *Delineation*: once the ownership is determined and appropriate data is collected, this is entered into the existing land registry/systems within the DLPP.
- *Approval*: this is the formal approval process carried out by the ILG division of DLPP, which is then formally endorsed by the Commissioner for Customary Land and the Secretary of DLPP.
- *Declaration*: this comes in the form of a public gazettal that is issued by DLPP acknowledging that the process of registration is complete and formally identifying the customary land boundaries as being registered by the State. The land is marked and georeferenced as part of the DLPP information management system.
- *Regulations*: these customary lands are now legally subject to regulation pursuant to the respective Acts of Parliament and all other respective land legislation and regulations for all development or conservation purposes within the country.

#### *Conservation Areas Under Customary Land*

#### **National Framework**

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<sup>26</sup> sections 81-86 of

<sup>27</sup> sections 87-89 of

<sup>28</sup> As was the case with Special Agricultural and Business Leases.

<sup>29</sup> Land Act 1996 and respective Regulations, Land Groups (Amendment) Incorporations Act 2009 and respective regulations, Land Dispute Settlements Act 1975 and respective regulations, Survey (Amendment) Act, 2016 and respective regulations, Land Registration (Amendment) Act 2009 and respective Regulations.

Proposed conservation projects on customary land must be undertaken in consultation with the local landholding community. There are two main processes by which CLOs may establish protected areas on their traditional land: that which is recognised and registered by virtue of national legislation; and direct contractual arrangements that are supported by sub-national government regulations and by-laws. The Fauna (Protection and Control) Act 1966 empowers CLOs to themselves regulate and enforce the protection, management and harvesting of wildlife on their own land through licences called Wildlife Management Areas (WMA). Most nationally recognized protected areas are WMAs, which are often established upon the initiative of the CLOs themselves, with support of NGOs.<sup>30</sup> The Fauna Act provides for the formation of wildlife management committees, primarily comprising of CLOs, to administer WMAs. However, there are some setbacks with this system: a general inadequate size of each area; lack of local resource management expertise; delays in responding to requests for WMA establishment, which can lead to apathy and weak enforcement of regulations.

Landowners, usually through an ILG, submit the following to CEPA: the proposed boundaries (which can include both land and marine areas); a document recording the consent and signatures of all CLOs; the proposed rules for the management of local wildlife and their habitat; and the constitution of the Wildlife Management Committee (WMC) that would administer the WMA rules. Upon deliberation of the proposal, CEPA may declare the establishment of the WMA, effectively approving the WMC and its rules. However, there are no adequate environmental protections for WMAs because the legislative framework does not expressly prohibit the ministers of mining, forestry or petroleum and energy from granting mining, logging or oil and gas concessions within the WMA. Furthermore, the Fauna Act does not prevent CLOs or other proponents from engaging in commercial or industrial development of the WMA (Sabi, 2020).

The second mechanism by which CLOs can establish protected areas on their land is provided for by virtue of the Conservation Areas Act 1978. The procedure involves preparing a submission to the Minister of Conservation and Climate Change that their portion of customary land (or marine area) should be declared a conservation area (CA), due to its biological, historical and scientific or other special value for the current and future generations. Upon approval –and in consultation with CEPA and the National Conservation Council (NCC) –the Minister then recommends to the NEC for the gazettal of the CA. Once the CA is established, a CA management committee comprising of representatives of the local communities and sub-national government is required to submit a management plan to the Minister. No further development of the CA is permitted, except in accordance with the agreed CA management plan or ministerial direction. As with the Fauna Act, the CA Act does not explicitly exclude the granting of mining, logging or oil and gas concessions if such concessions have been approved by both the CLOs and the Minister. Unlike the Fauna Act, the CA Act captures more robust environmental protections of CAs. However, the process is quite lengthy and costly and to date there is only one CA in PNG: the YUS area which was gazetted in 2009.<sup>31</sup>

### **Sub-National Framework for Conservation on Customary Land**

Due to the administrative delays and limitations of the current national legislative framework, several CLO groups and conservation organisations have entered conservation deeds and other contractual arrangements to establish protected areas. This process is often undertaken with the support of by-laws and regulations introduced by local-level (LLGs) or provincial governments (PGs). The OLPGLLG empowers LLGs and PGs to pass legislation concerning land development, natural resources, the local environment and flora and fauna. Additionally, stakeholders in some areas have partnered with LLGs and PGs to introduce conservation by-laws and regulations the provincial or local level. For instance, CLOs in Madang, with support from The Nature Conservancy, worked with the Almami LLG to develop and endorse the Almami Environment and Conservation Law. This Law

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<sup>30</sup> See World Wildlife Fund. [10 Steps to Establishing a Wildlife Management Area](#)

<sup>31</sup> The Torricelli Mountains Range and Wanang communities have been seeking CA status for several years but have not yet been recognized.

enables the LLG to manage a CA in the Adelbert Mountains, which is complemented by a Conservation Agreement between the CLOs and LLG who have agreed to set the land aside for conservation purposes (Sabi, 2020).

It may also be possible for CLOs to create conservation areas by incorporating an ILG and registering the title to their land under the Land Registration Act. Once the title has been registered, the CLOs may then be able, via their ILG, to enter into leases or similar direct long-term financial agreements with conservation organizations for the management of the traditional land. However, it is unclear whether this lease-leaseback mechanism has been explored in the conservation context as it was generally assumed to be for the purposes of agricultural development.<sup>32</sup>

### Policy and Legislative Reform

The Protected Areas Policy (PAP) of 2014 and its accompanying PAP Implementation Plan of 2017 sets out a plan to establish and maintain a network of nationally recognized PAs. The overarching objective is to ensure that all PAs, whether created at the sub-national or national level, will be combined under a PA network that is subject to a uniform set of State laws and regulations. The PAs would be divided into four categories of nationally administered PAs (National Parks, National Marines, National Heritage Areas, and Special Management Areas) and two categories of regionally administered PAs (Community Conservation Areas and Locally Managed Marine Areas). Moreover, under the new legislation, logging, mining and oil and gas concessions would not be granted by the national government within any of the PAs.

Additionally, all existing WMAs and CAs will be converted to Community Conservation Areas (CCAs), if they meet the criteria outlined in the new legislative framework. The CCAs would be managed by CLOs, with assistance from the LLG and NGOs, and be reserved for:

- 1) Community use for those living a traditional or semi-traditional life, including harvesting, and subsistence hunting, and fishing;
- 2) Recreation, education, and scientific use as allowed by the customary landowners; and
- 3) Some commercial fishing for customary landowners, but commercial hunting and large-scale industry would not be permitted.

It is not yet clear if PAs that were created under LLG legislature or de facto contractual agreements will be automatically recognized by the new law or whether CLOs will apply for recognition. The PA Bill was submitted to the relevant national legislative council for review in 2018 as its introduction would require subsequent amendments to all corollary legislation such as the Conservation Act, the Fauna Act and sub-national instruments. To date, the necessary reform is yet to be introduced.

### National Policies, Laws and Regulations (PLRs)

Table 4 lists the relevant PLRs that are also applicable to the context of the GEF7 Highlands project.

**Table 4: Summary of national policies, laws and regulations.**

| Law/Regulation   | Description   |
|--|---|
| Constitutional   |   |
| Fourth National Goal and Directive Principle (NGDP) and section 25 | Promotes the preservation and replenishment of all natural resources that includes natural forests within the development of all national legislation and policies. The fourth NGDP calls for PNG's natural resources and environment to be conserved and used for the collective benefit of all citizens and with due consideration and necessary actions to be taken for the benefit of future generations. |
| Acts of Parliament   |   |

<sup>32</sup> Specifically, the Special Agriculture and Business Leases (SABLs).

|   |   |
|---|---|
| Environment Act & Regulations 2000                  | Governs and regulates the protection of the environment and impacts of natural resource development activities in order to promote sustainable development of the environment and the economic, social and physical well-being of people by safeguarding the life-supporting capacity of air, water, soil and ecosystems for present and future generations and avoiding, remedying and mitigating any adverse effects of activities on the environment.  |
| Forestry Act 1991                                   | Governs the management of forest resources in PNG and the mechanisms for conducting forestry activities. It recognizes the need for the protection of areas of forests within logging concessions that are high in biodiversity or set aside for conservation purposes. This meets the national goal of preserving the environment, biodiversity, soil, water resources and the integrity of the climate system, for the well-being of current and future generations.  |
| Climate Change Management Act 2015                  | This legislation is the legal basis for all climate change programs and activities in PNG setting out the various administrative, financial and project related functions and powers. It seeks to primarily reduce greenhouse gas emissions in PNG according to national targets and domesticizes the UNFCCC into PNG's legal regime. This law empowers the CCDA to coordinate between all key sectors in PNG on matters of climate change mitigation and REDD+ to combat deforestation as means of meeting its national targets.   |
| CEPA Act 2014                                       | Provides for the conservation and protection of the environment in accordance with the Fourth National Goal and Directive Principle (National Resources and Environment); establishes the Conservation and Environment Protection Authority (CEPA); and repeals the National Parks Act.   |
| Environmental Planning Act 1978                     | Establishes mechanisms for State control over the exploitation of natural resources. It authorizes CEPA to develop and implement guidelines for developers to prepare environmental plans. Development consent is contingent on the approval of environmental plans unless exemption has been applied for and granted. The main sector environmental plans applied are reported to be the forestry sector.  |
| Environmental Contaminants Act 1978                 | Provides for the control of discharges of any substance or form of energy, including heat and noise, into the environment that could adversely affect its beneficial use. It stipulates that no unlicensed person may discharge a pollutant into the environment unless in accordance with a license issued by the Minister or unless exempted by the Minister on the recommendation of the Environmental Contaminants Advisory Council. The Act also provides for the control of the importation and distribution of hazardous substances and allows the Minister to declare statutory protected areas. The Environmental Contaminants (Pesticides) Regulation declares pesticides as hazardous under the Act. |
| Water Resources Act 1992                            | Provides the basis for Government regulatory powers over water use, drainage, diversion, and damming of waterways with the limitation that customary rights of water use by residents are not adversely affected. Waste disposal on land, swamps and in water bodies can be regulated under the Act.  |
| <b>National Development Policies and Strategies</b> |   |
| PNG Vision 2050 (launched in 2010)                  | This policy is the long-term underpinning strategy for PNG's development and all its priority sectors of development. It sets out the guiding principles or pillars for the development of all policies in PNG and establishes the concept of sustainable development in all sectors. All future medium- to long-term strategies and plans must align to this vision.   |
| Medium Term Development Plan III (2018 – 2022)      | This sets out specific indicators and targets relating to the development of PNG's resources and the delivery of its services throughout the country within the medium term. All subsequent sectoral plans/programmes must align with or be consistent with these objectives.   |
| Strategy on Responsible Sustainable                 | This policy promotes sustainable development and management of natural resources in PNG with the goal of preserving environment and biodiversity through more   |



|   |   |
|---|---|
| Development (StaRS) 2014  | energy efficient (low carbon/carbon neutral) or green growth paths for key sectors and government agencies. The focus is to produce a green growth economy in PNG.  |
| <b>Sector Plans and Policies</b>  |   |
| Forestry Policy 1991  | Addresses the need for the sustainable management of forest resources in PNG and adopts an integrated approach to implementing this goal through administrative, research and project approaches in the forestry sector.  |
| Forestry Plan 1996  | The Forestry Plan seeks to implement the Forestry Policy through periodic and detailed planning that establishes limits on total allowable cuts for timber harvesting each year or period prescribed in the plans. The Forest Policy 1991 and Forest Plan 1996 demonstrates PNG's commitment to the sustainable management of its forests with specific conditions and requirements stipulated within Logging Codes of Practice and Timber Legality Standards that aim to limit the amount of timber harvested annually as well as to prohibit harvesting in areas with high conservation value. This also applies to the preservation of native species and trees and the limit to the introduction of foreign or exotic tree species within its forest plans and replanting programs. |
| National Sustainable Land Use Policy (drafted in 2012 and revised in 2014 and 2021) | Integrates the various national development policies and specific natural resource sector policies and plans with the SDGs. It provides an overarching framework that aims to facilitate this process and promotes the sustainable development and management of PNG's natural resources through a coordinated approach to spatial planning at the national level.  |
| Climate Compatible Development Management Policy 2014                               | Outlines the development of information management strategies in which a national system for information gathering, monitoring and evaluation, management and reporting, including a national GHG registry, GHG inventory and monitoring, reporting and verification (MRV) on forest and land use change surveys.   |
| National REDD+ Strategy 2017- 2027  | Recognizes the crucial role of forests in commercial and subsistence economics to PNG's development, and sets out an approach to work with and through different sectors to help strengthen their management and decision-making. It outlines the broad framework to not only reduce carbon emissions from the forest and land-use sector but also conserve PNG's biodiversity and enable tangible benefits to reach communities that work to protect, manage and sustainably utilise their forests.  |

## **International Agreements and Protocols**

The Project is aligned to the Multilateral Environmental Agreements (MEA) ratified by PNG and integrates the UN Sustainable Development Goals (SDG) and other related international guidelines and principles on sustainable development, human rights and indigenous peoples. The following list presents the main international agreements and instruments that PNG has either ratified or agreed to, which are within the scope of the RBP Program implementation:

- United Nations Framework Convention on Climate Change (UNFCCC)
- United Nations Convention to Combat Desertification (UNCCD)
- Convention of Biological Diversity (CBD)
- Ramsar Convention on Wetlands of International Importance
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- International Covenant on Economic, Social and Cultural Rights
- International Covenant on Civil and Political Rights
- International Convention on the Elimination of All Forms of Racial Discrimination
- Convention on the Elimination of Discrimination Against Women
- International Labor Organization Convention concerning Indigenous and Tribal Peoples in Independent Countries, No. 169
- Convention on the Protection and Promotion of the Diversity of Cultural Expressions.
- United Nations Declaration on the Rights of Indigenous Peoples.

## IV. PROCEDURES FOR SCREENING, ASSESSING AND MANAGING SOCIAL AND ENVIRONMENTAL IMPACTS

This section further elaborates on the process described in the previous section I.C. on the Scope and Methodology of the EMSF. It highlights the alignment of the FAO safeguards standards with the GEF Minimum Standards as well as providing a basis for the development of the complete ESA and ESMP once Project activities have been defined.

### FAO Safeguard Standards

The Project has been screened against FAO’s ESS, ensuring consistency with the GEF Policy on Environmental and Social Safeguards. Table 5 presents the GEF standards and the corresponding FAO ESS.

**Table 3. Table of equivalence between FAO Environmental and Social Standards and the GEF Environmental and Social Safeguards Minimum Standards**

| <b>GEF Environmental and Social Safeguards Minimum Standards (MS)</b>                      | <b>FAO Environmental and Social Standard (ESS)/ESMG Section</b>   |
|--|---|
| MS 1: Environmental and Social Assessment, Management and Monitoring                       | ESS 1: Natural Resource Management<br>ESS 8: Gender Equality  |
| MS 2: Accountability, Grievance and Conflict Resolution                                    | Section II.H on ‘Disclosure and I. on ‘Grievance Mechanism’.  |
| MS 3: Biodiversity Conservation and the Sustainable Management of Living Natural Resources | ESS 1: Natural Resource Management<br>ESS 2: Biodiversity, Ecosystems and Natural Habitats<br>ESS 3: Plant genetic resources for food and agriculture<br>ESS 4: Animal - Livestock and Aquatic – Genetic Resources for Food and Agriculture |
| MS 4: Restrictions on Land Use and Involuntary Resettlement                                | ESS 6: Involuntary Resettlement and Displacement  |
| MS 5: Indigenous Peoples   | ESS 9: Indigenous Peoples and Cultural Heritage   |
| MS 6: Cultural Heritage  | ESS 9: Indigenous Peoples and Cultural Heritage   |
| MS 7: Resource Efficiency and Pollution Prevention   | ESS 1: Natural Resource Management<br>ESS 5: Pests and pesticides management  |
| MS: Labour and Working Conditions  | ESS 7: Decent Work  |
| MS: Community Health, Safety and Security  | ESS 3: Plant genetic resources for food and agriculture<br>ESS 4: Animal - Livestock and Aquatic – Genetic Resources for Food and Agriculture<br>ESS 5: Pests and pesticides management<br>ESS 7: Decent Work                               |

The process followed to develop this ESMF was to screen the Project’s objectives and outcomes based on the FAO’s Environmental and Social Management Guidelines (ESMG, 2015).<sup>33</sup> These guidelines facilitate the systematic identification and assessment of E&S risks and the integration of the management of these risks into the Project cycle (design and implementation). FAO’s environmental and social screening checklist was applied (refer the Annex I).

As noted in the sections above, the Project is designed to result in positive social and environmental benefits. The Project has been classified as moderate risk and it is expected that its activities, once developed, will trigger the following Environmental and Social Safeguard Policies: ESS1, ESS2, ESS3, ESS5, ESS7, ESS8 and ESS9. To comply with these safeguards policies, and given that not all sub-activities can be identified at this stage, general safeguard instruments that will be triggered are identified in Table 6 with second-level questions provided in Annex II.

<sup>33</sup> <http://www.fao.org/3/a-i4413e.pdf>



**Table 4. List of safeguard policies triggered by the Project activities.**

| <b>FAO Safeguard Policies</b>  | <b>Triggered</b> |
|--|------------------|
| ESS 1 – Natural Resources Management   | Yes              |
| ESS2 – Biodiversity, Ecosystems, and Natural Habitats                            | Yes              |
| ESS3 – Plant Genetic Resources for Food and Agriculture                          | Yes              |
| ESS4 – Animal – Livestock and Aquatic Genetic Resources for Food and Agriculture | Yes              |
| ESS5 – Pest and Pesticide Management   | Yes              |
| ESS6 – Involuntary Resettlement and Displacement                                 | No               |
| ESS7 – Decent Work   | Yes              |
| ESS8 – Gender Equality   | Yes              |
| ESS9 – Indigenous Peoples and Cultural Heritage                                  | Yes              |

The following section provides details on the project and ESS 1-9.

#### *ESS 1 - Natural Resources Management*

The Project supports ESS 1 by promoting direct action to enhance resource use efficiency; and focusing on ways to ensure the transition to sustainable practices.

The Project will apply technically and financially feasible resource efficiency principles and techniques that are best suited to avoid, or where avoidance is not possible, minimize adverse impacts. The principles and techniques will be tailored to the hazards and risks associated with the Project and consistent with FAO sustainability principles under the precautionary approach. The Project will systematically address gender dimensions, notably on roles to achieve sustainable natural resources management.

The Project will take into consideration existing guidelines for integrated landscape management, and forest and landscape restoration, insofar as these are relevant to the customary landownership of the Highlands. The Project is not involved with the management of Water Resources and Small Dams.

The Project is not involved in tenure issues other than community conserved areas.

Whilst the project is not focused on climate change it will enable Climate Change Adaptation by supporting food security and sustainable agriculture (including forestry) in the face of climate change. Climate change solutions have been incorporated into Project activities.

#### *ESS 2 Biodiversity, Ecosystems and Natural Habitats*

The Project has a major focus on ESS 2 and it includes activities designed to address agricultural, and forestry practices that have adverse impacts on biodiversity, ecosystems, ecosystem services or critical habitats, notably protected areas and associated buffer zones

The project will support activities leading to the sustainable management of ecosystems to maintain the services and the benefits they provide.

As far as relevant to customary landowners, landscape approaches promoted by the Project will ensure that off-site and upstream - downstream impacts are planned, managed and monitored within acceptable environmental and social standards. A key focus is on lands that have been modified by human intervention, outside protected areas. The Project does not involve financing or activities that involve significant conversion or degradation of critical habitats, critical forest areas, natural areas of cultural or religious value, areas that are legally protected, officially proposed for protection, or of high conservation or biodiversity value.

The Project will apply a precautionary approach to the use, development and management of natural habitats, the ecosystem services of such habitats, and living natural resources.

The Project will result in the conservation of the genetic base used for food and agriculture production as well as a negative impact on ecosystem functions this biodiversity provides – both in the project footprint and the wider area-of-influence of the project.

The Project's focus on protected areas and buffer zones will reduce further deterioration, maintain or enhance biodiversity and ecosystem functionality, and be environmentally appropriate, socially beneficial and economically viable. The Project will not involve the use of alien species known to be invasive. The Project will exercise diligence through its biosecurity protocols to avoid spreading invasive species into areas in which they have not established.

The project will not be involved in access and benefit-sharing for genetic resources (ABS) for research and development on their genetic and/or biochemical composition.

The Project includes activities to incorporate biodiversity conservation principles into existing standards and plans.

#### ESS 3 Plant Genetic Resources for Food and Agriculture

The Project will support some activities that protect Plant Genetic Resources for Food and Agriculture (PGRFA) notably by promoting their effective in-situ conservation, safeguarding against actions resulting in unintended environmental and social consequences and encouraging sustainable crop improvements and production and enhanced productivity.

The Project will use the Voluntary Guidelines on Planted Forests as a basis for managing E&S risks in plantations. It will recognize and support the implementation of existing national forest programmes and strategies. A key focus is on incorporating the maintenance and conservation of biological diversity as fundamental in planning, management, utilization and monitoring of planted forest.

#### ESS 4 Animal - Livestock and Aquatic – Genetic Resources for Food and Agriculture

The Project will support very limited activities that protect Animal - Livestock and Aquatic – Genetic Resources notably by promoting their effective in-situ conservation, and safeguarding against actions resulting in unintended environmental and social consequences.

#### ESS 5 Pest and Pesticides Management

The Project will not be involved in pest and pesticide management but if the opportunity arises it will encourage farmers and farmer groups to apply Integrated Pest Management (IPM), reduce reliance on pesticides and avoid adverse impacts from pesticide use on the health and safety of farming communities, consumers and the environment.

#### ESS 6 Involuntary Resettlement and Displacement

The Project will not involve involuntary resettlement or economic displacement. It will avoid, and when avoidance is not possible, minimize adverse social and economic impacts from restrictions on land or resource use or from land and resource acquisition. It will also support efforts to improve or at least restore living conditions of persons who are physically or economically displaced, through improving and restoring their productive assets and security of tenure, should this occur.

The Project will prohibit forced evictions and avoid and mitigate physical and economic displacement, although such displacement is unlikely to occur given the scope of the Project.

#### ESS 7 Decent Work

The Project document includes a focus on decent work. The activities of the Project will seek to promote direct action through improved land use planning and management to foster decent rural employment and promote fair treatment, non-discrimination and equal opportunity for all workers.

The Project OP and partners will consider and apply principles, practices and techniques that are best suited to avoiding the violation of, and promoting the application of core international labour standards, other international labour standards relevant to the agri-food sector and national employment and labour laws.

Efforts will be made to focus project interventions on actions that create more and better employment opportunities, especially for more disadvantaged and vulnerable workers including as far as practical the creation of more and better employment opportunities, especially for youth and women'

The Project includes an assessment of potential of agricultural and forestry value chain development, to create more and better employment opportunities for the poor. All employment relationships established will be based on the principle of equal opportunity and fair treatment and will not discriminate with respect to any aspects.

The Project will not increase existing discrimination at work and, on the contrary, empower and prioritize disadvantaged categories of workers, including small-scale agricultural producers. The Project will undertake an Occupational Safety and Health (OSH) risk assessment and identify appropriate means of mitigating the risks.

The project will avoid engaging children in child labour and ensure that no children engage in project-related work that could negatively affect their health and personal development or interfere with their compulsory education. The Project will guarantee that any children under the age of 18 who are involved in the project's activities will not be employed under hazardous working conditions.

The Project will ensure that no forced labour is employed. The Project will support appropriate producers' and workers' organizations, and seek to empower rural youth and women to join such organizations or organize in specific groups.

#### ESS 8 Gender Equality

A Gender Action Plan (GAP) has been prepared for the Project. The project will ensure equal access to and control over productive resources, services and markets. It will seek to strengthen women and men's participation in decision-making in rural institutions and policy processes, notably related to forest and agricultural management and land use planning.

The Project will ensure that all stakeholders benefit equally from development interventions and that inequality is not reinforced or perpetuated.

The GAP is gender-responsive and requires the Project to identify the different needs, constraints, contributions and priorities of women, men, girls and boys.

The Project will ensure there is no discrimination against women or girls or reinforcement of gender-based discrimination and/ or inequalities.

The Project is based on the principle of equal opportunity and fair treatment and will empower and prioritize vulnerable women and men. It will also seek to identify measures to avoid, minimize, and/or mitigate adverse gender-related impacts.

The Project will use gender-sensitive stakeholder analyses to ensure that women's and men's different interests, roles and responsibilities are assessed in project activity planning and implementation and potential risks, benefits and impacts are identified and managed.

The Project will track and report on progress on gender results and measure changes over time, inducing by collecting and analyzing sex-disaggregated data and formulate gender sensitive indicators for the Project's results framework.

#### ESS 9 Indigenous Peoples and Cultural Heritage

The Project has identified that almost all people within the targeted areas can be classified as Indigenous Peoples. Given this, an Indigenous Peoples Plan has not been developed as the entire

project has been designed to consider Indigenous Peoples and a sperate IP was repetitive. The project will ensure that the UN Declaration on the Rights of Indigenous Peoples and PNG law of Indigenous Peoples is respected in all project activities. It will guarantee the application of the principle of Free, Prior and Informed Consent (FPIC) of any indigenous peoples affected by the project.

The Project will not have adverse impacts on or limit access to culture or heritage, both physical and non-physical or intangible. If during Project Implementation the Project identifies any potential adverse impacts to cultural heritage, then qualified and experienced external independent experts will be sought to assess the project potential impacts on cultural heritage and propose project alternatives and/or a mitigation plan.

### **Environmental and Social Analysis (ESA) and Management Plan (ESMP)**

Table 5 describes the potential environmental and social risks that may be caused by the project during implementation. As this document is an overarching framework, since the Project activities are yet to be fully developed, the relevant responsible parties, indicators/means of verification and progress on mitigation action(s) shall be refined in the ESA and ESMP during the first year of Project implementation.

Table 5: Potential social and environmental risks posed by project that are largely shaped by the findings and observations during the WHP mission.

| Risk identified and applicable FAO safeguard standard(s)  | Impact <sup>34</sup> and Likelihood <sup>35</sup> (Risk Classification) | Comments   | Mitigation Action (s)   |
|---|---|--|---|
| <p><u>Risk 1:</u></p> <p>Adverse impacts to <b>habitats</b> (modified, natural, and critical) and/or <b>ecosystems and ecosystem services</b>, which includes legally <b>protected areas</b> (PA), proposed PAs, or recognized as such by authoritative sources or local communities (ESS 4, 5 and 6)</p> | <p>I = 3<br/>L = 2<br/>(Low)</p>  | <p>Increased awareness on biodiversity hotspots may attract scientific research and recreational activities to these areas that could result in further impacts to the natural habitat and possible habitat loss.</p> <p>Increases in small-scale timber operations could lead to possible encroachment into forest conservation areas which could lead to adverse impacts or degradation of natural/critical habitats and ecosystems.</p> <p>The development of spatially explicit development plans at the subnational level will involve site visits, possible fencing, monitoring visits into areas of high biodiversity/protected areas which may cause some degree of impact to the natural habitat/ecosystems in that area.</p> | <ul style="list-style-type: none"> <li>• <b>The SE Plan and specific tools</b> for WHP will set out the appropriate FPIC processes to follow for the community(ies) and the activity(ies) being implemented. This will involve the need for consensus from community leaders such as the village elders/chiefs prior to entry and clear understanding (preferably recorded and agreed to in writing) on the objectives of the development/engagement process. These processes are subject to specific sector PLRs on the process of SE and FPIC or project approvals e.g., as seen in forestry and in particular in FMAs.</li> <li>• The <b>Fauna (Protection and Control) Act</b> and <b>Conservation Areas Act</b> establishes clear legal provisions for the effective protection, management and enforcement of protective measure within critical habitats, ecosystems or environmentally sensitive areas.</li> <li>• The <b>Environment Act</b> identifies the measures to be taken to carry out an <b>Environmental Impact Assessment</b> (EIA) to ensure that that development activities, such as forest plantations or commercial agriculture, do not cross into PAs or adversely impact them.</li> <li>• The project will support sub-national governments to play a more central role in implementing environmental management activities through training and capacity building support to undertake monitoring and enforcement activities. These efforts will be aligned with <b>the 2014 National Protected Areas Policy and 2017 Implementation Plan</b> and further reinforced at this level through coordination and collaboration with CEPA and appropriate provincial or district environmental committees/officers in WHP.</li> <li>• Issues will also be addressed through mechanisms such as the <b>Regional PA Roundtable</b> (RPART), <b>Protected Areas Forum</b> (PAF) and MOUs with relevant government sectors/stakeholders guided by the PAP Implementation Plan. The development of a <b>Management Plan</b> (MP) is critical for all PAs. In</li> </ul> |

<sup>34</sup> Impact scale: 4 denotes 'high impact' and 0 denoted 'no impact.'

<sup>35</sup> Likelihood scale: 4 denotes 'very likely' and 0 denotes 'very unlikely'.

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|   |  |   | the process of formulating a suitable MP, community planning, consultation and community resource zoning/ mappings are critical.  |
| <p><u>Risk 2:</u></p> <p>Risks to <b>endangered species.</b></p> <p>(ESS 2)</p>   | <p>I = 2</p> <p>L = 2</p> <p>(Low)</p> | <p>The PA policy focuses on strengthening monitoring and management capacity for all PAs including the development of species and land use management plans for target areas which would cover endangered species. This will limit the likelihood of any risks being posed to these critical habitats and ecosystems. However, this is limited only to recognized PA sites. Any area(s) that does not fall within PA sites or fails to be classified as such are vulnerable to this risk. E.g., forest conservation areas within FMA's.</p> | <ul style="list-style-type: none"> <li>• The <b>Environment Act 2000, Conservation Areas Act, CEPA Act and the PA Policy</b> contain key principles that are promoted within the CBD and are reflected in domestic legislation and policy.</li> <li>• Comply with the <b>PA Policy</b> which outlines the details of PNG's conservation and biodiversity objectives and how it aims to implement them in the national context and particularly at the subnational level.</li> <li>• Develop high quality but simple <b>awareness raising information</b> for different target groups including government officers, land owning communities, provincial, district and local level government officials.</li> <li>• Support PAs to incorporate a <b>Species Management Plan (SMP)</b> in their management plans to target priority species. The SMP should consider factors such as the species richness, population status, distribution range, conservation status (IUCN), and level of threat.</li> </ul> |
| <p><u>Risk 3</u></p> <p>Project may involve the application of <b>pesticides</b> that may have a negative effect on the environment or human health.</p> <p>(ESS 5)</p> | <p>I = 2</p> <p>L = 2</p> <p>(Low)</p> | <p>There has been a trend in PNG in recent years to intensify commodity agriculture and processing which has led to increased amounts of wastes, fertilizers and/or pesticides. There is a risk that this trend may continue as part of the activities under this project as part of Component 2 (landscape-level action for integrated conservation and sustainable supply chain development) if not managed well.</p>   | <ul style="list-style-type: none"> <li>• Conduct awareness raising on sustainable farming practices coupled with dedicated <b>training and capacity building</b> on soil fertility management such as cover fallow, use of inorganic fertilizers (animal manure) and composting.</li> <li>• Consider promoting <b>Integrated Pest and Disease Management (IPDM)</b> techniques so farmers utilize cheaper but effective ways of managing pest and diseases on farm.</li> <li>• Comply with the <b>Environmental Contaminants Act 1988</b> and its accompanying regulations is necessary to be aware of which pesticides are hazardous. The Project will not likely use pesticides but if it does it will develop a <b>Pesticide Management Plan</b> for each cluster.</li> </ul>  |
| <p><u>Risk 4:</u></p> <p>Potential to involve temporary or permanent and full or partial <b>physical displacement</b></p> <p>(ESS 6)</p>                                | <p>I = 4</p> <p>P = 1</p> <p>(Low)</p> | <p>Displacement is unlikely to occur during this project. However, if communities will have to relocate to other areas under customary ownership that have been negotiated for such purposes, there is likely to be an impact both on the displaced people and the host community in terms of loss of social cohesion, cultural identity, customs and traditions.</p>   | <ul style="list-style-type: none"> <li>• In the event of displacement, adequate compensation will be paid to the displaced LOs and communities. The process of compensation for "voluntary and compulsory land acquisition" is recognized in the <b>Land Act 1996</b><sup>36</sup>. Land-related compensation has always been a highly sensitive and problematic issue in PNG, so monetary compensation under the project will be mindful of past experiences and managed carefully.</li> </ul>   |

<sup>36</sup> Refer to relevant provision of the Land Act section 10 and 11 on Voluntary and Compulsory Land Acquisition.

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|   |  |   | <ul style="list-style-type: none"> <li>The project is not likely to displace people but if this eventuates the project will develop a <b>Temporary Resettlement Plan</b> derived from similar experiences in PNG<sup>37</sup>.</li> </ul>   |
| <p><u>Risk 5:</u></p> <p>Possible <b>economic displacement</b> (e.g. loss of assets or access to resources due to land acquisition or access restrictions)</p> <p>(ESS 6)</p> | <p>I = 4</p> <p>P = 2</p> <p>(Low)</p> | <p>There is scope to explore the potential and possibilities available to diversify to other alternative enterprises (e.g. honey production) so as to maintain resilience among displaced and marginal farming families.</p> <p>Introduce improved techniques to improve productivity on specific food crops such as sweet potato.</p> <p>Introduce and encourage simple on-farm processing and storage to minimize perishability status of produce for income generation and family food security.</p> | <ul style="list-style-type: none"> <li>Carry out <b>surveying and/or social mapping</b> of the various clans, villages and wards within the area (if not already done as part of the ward development planning process) conducted in parallel with the SE Planning process to determine the people/communities most vulnerable to economic displacement and to ensure that these people/communities and areas are safeguarded.</li> <li>Develop a <b>Livelihoods Action Plan</b> (LAP) to provide reassurance to the LOs and local communities of the commitment of the project to meet obligations arising from any economic displacement. Undertake assessments to support the development of the LAP such as a <b>community needs assessment</b> (CNA) and/or a <b>community benefits analysis</b> (CBA).</li> </ul> |
| <p><u>Risk 6:</u></p> <p>Project construction, or decommissioning poses potential <b>safety risks to local communities.</b></p> <p>(ESS 7 and 9)</p>                          | <p>I = 2</p> <p>P = 2</p> <p>(Low)</p> | <p>Component 2 promotes sustainable livelihood options in that could include capacity building of small enterprises who may require construction or maintenance to existing business ventures such as eco-lodges, guest houses, fences, tanks or other forms of buildings.</p>  | <ul style="list-style-type: none"> <li>All personnel within construction sites must wear steel capped footwear and high-visibility jackets. These standards should be in compliance with the ISO standard or equivalent. These measures ensure that all risks posed as a result of the implementation of this project will be minimized.</li> </ul>   |
| <p><u>Risk 7:</u></p> <p>Support for <b>employment or livelihoods</b> may fail to comply with national and international labor standards (i.e. principles and standards</p>   | <p>I = 2</p> <p>P = 2</p> <p>(Low)</p> | <p>Capacity building actions in relation to component 2 may require that local communities are engaged to work in eco-lodges, canteens, as tourist guides, on small farms, etc. In these cases, remuneration will need to be given. Possible risks of non-compliance with national laws<sup>38</sup> and international ILO conventions as it</p>  | <ul style="list-style-type: none"> <li>The <b>Fairness of Transactions Act</b> shall be considered in such circumstances and will only be recognized if ILGs are in place. Foreign/donor organisations who engage with and fund LO's or local communities need to work through some form of legal mechanism which would either be in the form of ILGs/Associations or landowner companies to safeguard against the likelihood of inequitable/unfair employment or business practices. ILGs are the most appropriate for LOs/local communities to set up under the <b>Land Groups Incorporations Act</b>. The minimum wage will be considered in the event of</li> </ul>   |

<sup>37</sup> An example of this is seen in the Caterets Islands in ARoB, as part of the first CC refugee program in PNG in which the Caterets Islanders were relocated to the mainland Bougainville. The NGO directly involved in this process is Tulele Pesa and is run by a local woman from the area called Ursula Rakova.

<sup>38</sup> Unfair Transactions Act

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| <p>of ILO fundamental conventions).<br/>(ESS 7 and 8)</p>  |                                       | <p>relates to fairness in remuneration, discrimination against women and prohibitions against child workers (minimum age) may arise.</p>  | <p>both formal and casual employment as set out by the regulations on Minimum Wages according to the rates set by the Minimum Wages Board set up as part of <b>the Employment Act 1978</b>.</p> <ul style="list-style-type: none"> <li>• The introduced forms of remuneration for local communities involved in activities will comply with international best practice as set out within the <b>ILO Conventions</b> on Equal/Fair remuneration, Discrimination against women and Prohibitions against Child workers (minimum age).</li> <li>• Risks concerning the possibility of engaging children or underage workers will be avoided by ensuring that the relevant PLRs on child protection (<b>Lukautim Pikinini Act/the Child Welfare Act</b>) and other key legislation on the protection and welfare of the rights of the child are followed.</li> <li>• Provide <b>community support</b> to establish cooperative societies and/or community-based groups in the process of becoming legally registered (e.g. as an association with the Investment Promotion Authority). This support could include training related to <b>business development skills</b> that would empower communities to seek and/or generate funding to offset the potential environmental damages done to their areas.</li> <li>• Incorporate the PNG Minimum Wages Rates and Conditions as baseline for any Project related work.</li> </ul> |
| <p><u>Risk 8:</u><br/><b>Loss of access to natural resources</b> could exacerbate <b>conflicts</b> among project-affected communities and individuals.<br/>(ESS 9)</p> | <p>I = 3<br/>L = 2<br/>(Moderate)</p> | <p>Landowners and local communities outside of, but adjacent, to the selected project area(s) would be excluded from the project activities because they do not ‘officially’ fall within the boundaries of the selected sites. Conflict might be ignited between adjacent landowning groups which did not previously exist.</p> | <ul style="list-style-type: none"> <li>• Consensus on all measures to be implemented will be obtained from the LOs and local communities prior to implementation. This will minimize the likelihood of dispute or conflict arising in the future. This will be supported within the <b>Stakeholder Engagement Plan (SEP)</b>.</li> <li>• Any disputes or grievances that arise over proposed actions/activities on land that is designated under the project will be dealt with in accordance with the Project’s <b>GRM Guidelines</b>. These Guidelines would also recognize the other existing informal and formal mechanisms in the event that it is insufficient to resolve the matter, e.g., the village courts or district courts in the pilot provinces.<sup>39</sup> This also incorporates the semi-formal systems as well, such as the <b>Alternative Dispute Resolution (ADR) track and courts</b> in the country.</li> <li>• There will be written records of community consensus in a PA or CCA prior to project implementation, along with the <b>application of FPIC</b>. The project will ensure the PA/CCA community are fully aware of the potential risks and benefits of the Project, with adequate time provided to consider them.</li> </ul>  |

<sup>39</sup> Example of this is seen in the Village, District and National Courts of the country as well as within the ADR Track which is also provided for under the respective laws of the country and particularly the Constitution of PNG sections 37 and 155.



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|  |   |   | Where appropriate, MOUs can be entered into based on mutual understand and agreement of all parties concerned.   |
| <p><u>Risk 9:</u></p> <p>Adverse impacts on affected populations, particularly people living in poverty, marginalized individuals or groups, may be restricted from <b>accessing or maintaining sources of income</b> because they are not able to enforce their rights, due to a lack of basic education and civic awareness.</p> <p>(ESS 7, 8 and 9)</p> | <p>I = 3</p> <p>P = 2</p> <p>(Moderate)</p> | <p>There is a risk that vulnerable and marginalized populations (rural farmers), women (especially widows), orphaned children, disabled persons and migrants from other areas of PNG are likely to be excluded from project activities.</p>   | <ul style="list-style-type: none"> <li>• To identify marginal potentially at-risk populations, and the potential human rights impacts, a full ESA will be undertaken in the first year of the project, including an ESMP. In addition, <b>specific Community Engagement Plans (CEP)</b> for the pilot clusters will provide for the inclusion of women.</li> <li>• All marginalized or vulnerable groups will be engaged throughout program implementation, as well as all impact assessment and management planning activities, including defining <b>how they want to be engaged</b>. Monitoring and evaluation of this engagement process will be conducted and involve a variety of stakeholders, including NGOs, CSOs, and/or community representatives.</li> <li>• Building on the SEP, the CEP and its approach will map <b>community-based stakeholders</b> (women groups, youth association, religious groups) and partners at the community level. These stakeholders and partners can provide local expertise and contacts to ensure that vulnerable and marginalised populations are not further adversely affected by the Project's activities.</li> </ul>  |
| <p><u>Risk 10:</u></p> <p>The Project could potentially reinforce <b>discriminations against women</b> based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.</p> <p>(ESS 7, 8 and 9)</p>   | <p>I = 3</p> <p>P = 3</p> <p>(Moderate)</p> | <p>There is a likelihood that male dominated customs/practices that reinforce inequality and social exclusion of females will be perpetuated within the project, especially in relation to the distribution of benefits, participation and land tenure and access.</p> <p>The absence of a mechanism for sector agencies to monitor ILG's (such as the details of clan composition, boundaries, objectives and gender participation) means that women will continue to be poorly represented at the local community level. This limits women's participation in decision making and active effective engagement in the project.</p> | <ul style="list-style-type: none"> <li>• Mainstreaming of gender considerations will be addressed in the project's <b>Gender Action Plan and the SE Plan</b> as well as within the proposed provincial plans for EHP and WHP. This will include: <ul style="list-style-type: none"> <li>○ Undertaking the <b>proactive inclusion</b> of women's groups and representatives of marginalised groups in the capacity development training program and aiming to have a minimum of 20% representation by women.</li> <li>○ Employing a cross-cutting strategy to have equal representation of women in <b>visual communication materials</b>.</li> <li>○ Employing a tacit awareness approach for the communication materials that focuses on the implications of failing to include women in decision making around land-use planning.</li> </ul> </li> <li>• Gender specific guidelines will be developed according to the principles set out in the <b>Policy for Women and Gender Equality and The Policy on Gender Equality and Social Inclusion (GESI)</b>. This will help to identify opportunities for collaboration with existing women's groups at the sub-national level, such as the National Council of Women and their local committees and help to counter the impacts of traditional practices and beliefs on male domination at the community level where these perceptions are deeply entrenched.</li> <li>• Specific <b>training on women in leadership</b> for both male and female participants in the target provinces will be guided by the findings of the CNA.</li> </ul> |

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| <p><u>Risk 11:</u></p> <p>The project could potentially <b>limit women's ability</b> to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services.</p> <p>(ESS 8 and 9)</p>                         | <p>I = 3</p> <p>P = 3</p> <p>(Moderate)</p> | <p>While PNG's Constitution calls for equality and participation of women in all economic activities and encourages their equal participation, there is no actual provision within forest or natural resource law which clearly details a process by which to enforce or achieve this right. The lack of specific inclusion of women within these specific PLRs and community activities that have the potential to help generate income can ultimately impact women and girls disproportionately to the rest of the project beneficiaries.</p> <p>The continued lack of sex-disaggregated data in collection of information management systems to develop spatial planning (data systems), as well as mechanisms for analyzing data, means that men's and women's differentiated needs, uses, skills, and knowledge on forests and natural resources are not being identified and included. This can adversely affect the successful planning and implementation of the project and have a more disproportionate impact on women because they perform the core labor in activities such as collection of firewood and gardening.</p> | <ul style="list-style-type: none"> <li>• The project will ensure there is <b>gender specific training</b> carried (e.g., training for conservation, agricultural and forestry extension officers). This also applies to members of the local community selected from protected area committees or for similar committees (e.g., PFMCs). The project will develop a means of <b>assessing women's inclusion</b> in actions and sub-actions.</li> <li>• The project will promote representation of women's interests and needs in ILGs especially as part of ILG boards/committees. Although this is guaranteed via law according to amendments to the <b>Land Groups Incorporations Act 2009</b>, specific effort will be made to ensure their involvement is meaningful and translated into important decisions made by the ILG Boards/Committees on behalf of women. It could be advantageous for the project to require that there be an inclusion of women in activities carried out in compliance with GESI and GEF and FAO guidelines.</li> <li>• To mitigate the risk of insufficient sex desegregated data, the project will engage a gender expert who will be responsible for liaising with the relevant sub-national stakeholders to collect <b>gender-specific or gender sensitive data/information</b>. This will feed into data that are used to develop DSS used to design and develop programs, policies and plans as well as project activities.</li> <li>• Specific training on women in leadership for both male and female participants in the target provinces will be guided by the findings of the CNA.</li> </ul> |
| <p><u>Risk 12:</u></p> <p>There is a possibility that <b>benefits</b> from the project will not be <b>distributed equally and fairly</b> amongst the landowners and local community, which may create conflict between families, clans, tribes or neighboring communities.</p> <p>(ESS 7, 8 and 9)</p> | <p>I = 3</p> <p>P = 2</p> <p>(Moderate)</p> | <p>The limit in the ambit of support under the project may create division between LO groups within the project area(s) and those outside. This would make it difficult to manage and possibly lead to an increase in disparity of capacity, resources and knowledge.</p> <p>Marginalized/ vulnerable groups would not have an opportunity to benefit directly from these activities due to gender, physical disability or cultural/social status.</p>  | <ul style="list-style-type: none"> <li>• A <b>LAP</b> will be developed to counter the concerns on possible interference with ongoing livelihood options/activities within communities and program sites. This will be developed as part of thorough stakeholder consultations between the project team, relevant sectors and community/LOs. All measures proposed will respect the needs of the community as a collective, the needs of women and children and LOs in the preservation of their cultural heritage and economic rights.</li> <li>• The <b>SEPs and CEPs</b> will take into consideration the guidance related to benefit sharing that is provided in the <b>PA Policy</b> in addition to any sector specific instruments.</li> <li>• <b>Benefit Sharing Agreements (BSA)</b> that are inclusive of the PA MPs will be developed between the PA communities and the relevant national or sub-</li> </ul>  |

|  |   |   |   |
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|  |   |   | national authorities. The execution of BSAs will be conducted in good faith and would include exercises to map land boundaries and identification of the beneficiaries, with the involvement of the relevant provincial lands officers and local landowners.  |
| <p><u>Risk 13:</u></p> <p><b>Lack of capacity</b> by duty bearers to fulfil their mandated duties and obligations due to financial constraints or high-level <b>political interference</b> could also adversely impact the rights to access to information for customary landowners and local communities.</p> <p>(ESS 9)</p>  | <p>I = 3</p> <p>P = 3</p> <p>(High)</p>     | <p>Greater awareness raising and training on PA management or other related initiatives creates an expectation on the duty bearers to better manage the project at the community level, which could pose a further burden on them to meet these expectations in the absence of project resources (i.e. when the project ends). The project may unintentionally create a disparity in the individual capacities of the duty bearer involved in the project, and could lead to an inability to sustain the benefits of the initiatives over the long-term.</p>  | <ul style="list-style-type: none"> <li>• The project will encourage <b>regular consultations</b> between the different agencies and sectors as well as within the various stakeholders at all levels and phases of implementation.</li> <li>• A <b>project working group</b> (PWG) in each province that consists of relevant stakeholders from the various interest groups (LO/local community reps, government reps, CSOs and private sector) will monitor the progress of the various actions and activities under the project. The PWGs will have ToR that clearly articulate the roles and responsibilities of each institution/agency involved as well as their powers and functions to reduce the risk of overlapping mandates in the course of implementing the project</li> <li>• The project will establish and build <b>partnerships</b> with local CSOs and the private sector to ensure that the benefits and positive impacts achieved will be <b>sustained</b> post-project. It will support the various levels of government to seek out or apply for proposals that have similar objectives to the project.</li> <li>• The project will provide <b>management training</b> (e.g. project coordination, budgeting, fundraising, etc.) for PA communities based on the CNA. This will empower the PA CLOs and communities to use their rights to access information and/or pursue alternative sources of income generation in the event that there are high national-level financial constraints.</li> </ul> |
| <p><u>Risk 14:</u></p> <p>Potentially adverse impacts on sites, structures, or objects with historical, cultural, artistic, traditional or religious values or <b>intangible forms of culture</b> (e.g. knowledge, innovations, practices).</p> <p>This includes the possible inappropriate use of <b>traditional knowledge</b> in order to increase the profitability of livelihood</p> | <p>I = 4</p> <p>P = 2</p> <p>(Moderate)</p> | <p>Due to the introduction of newer forms of commodity production, forest and environmental management, the traditional forms of resource management and the cultural significance of these methods could be lost amongst the younger generation creating a potentially adverse impact on the inheritance or transference of cultural knowledge.</p> <p>Cash and fresh crop production could become more attractive to the younger generation of LOs/local communities and eventually replace the traditional agricultural practices or forms of gardening that had been practiced in the past as a way and means of preserving the natural resource and traditional knowledge.</p> | <ul style="list-style-type: none"> <li>• The project will develop a <b>Cultural Heritage Management Plan</b> (CHMP). The CHMP will ensure that any introduced forms of environmental/forest/agricultural management within the wards and LLGs/villages does not interfere with or impede into existing traditional knowledge on the use of natural resources by ensuring that LO's and local communities are involved in the process of developing these plans or training programs.</li> <li>• The younger generation will be specifically targeted within these activities to ensure that they understand how the traditional knowledge is being integrated into the new forms of resource management and that they are involved in carrying out these activities within the project sites.</li> <li>• To discourage the potential for commercial crops to replace interests in growing traditional subsistence crops for sustainable livelihoods, the project will introduce a <b>Livelihoods Action Plan</b> which will develop measures for ensuring</li> </ul>  |

|  |  |   |  |
|--|--|---|--|
| <p>activities without consideration for local customs</p> <p>(ESS 7 and 9)</p> |  | <p>There may be certain activities that focus on ensuring that sacred sites are effectively protected, however the possibility that sustainable livelihood options will occur within these PA's poses a potential risk that the activities themselves may become an impediment to the protection of the cultural sites. This is likely if the LO's/local communities focus more on the livelihood activities than the protection of the site itself. (Capacity building on small enterprises within PAs creates potential for the enterprise to become more profitable and thus become the focus within the PA.)</p> <p>Furthermore, if the needs/ demands in that area due to population increase exceed the demand for cultural preservation this could pose significant risks as well.</p> | <p>that there is consistency between the various management plans particularly in relation to the need for preservation of traditional/cultural knowledge.</p> <ul style="list-style-type: none"> <li>• Cultural and traditional significance, although not specified in the PLRs, will be addressed within the project as part of the CHMPs and outlined within specific guidelines as part of its implementation. The government entity mandated to enforce these policies and practices is the CEPA by virtue of the <b>CEPA Act 2015</b>, however, they will need to form committees in partnership with the relevant provincial governments, local level government, CSO's private sector and LOs/local communities to help implement this plan.</li> <li>• The protection of traditional knowledge and the approach of PAs towards preserving will be documented in the <b>Management Plan</b> for each PA.</li> </ul> |
|--|--|---|--|

## **Assumptions**

In preparing this ESMF, it is assumed that no physical displacement or forced evictions will occur as part of the project. However, this will be assessed further through the development of an ESA and, in the case that voluntary resettlement or displacement may occur at a site, a displacement/resettlement plan shall be developed and implemented as part of the ESMP.

## **Key Issues in Future Revisions of ESMP**

There are key issues that are relevant to the development of the environmental and social management measures and plans as well as the implementation of the Project. These issues are:

- i. Land tenure arrangements;
- ii. Capacity building of customary/traditional landowners & local communities; and
- iii. Institutional capacity of local (subnational level) public and private entities.

They will need to be reconsidered in the full ESA once the Project's sub-activities have been refined. The ESMF will be revised and updated according to the specifications of the ESA, resulting in an Environmental and Social Management Plan (ESMP). These issues are most pertinent to the PNG context, given the geographic area that will be covered by the project and diverse tribal/customary groups, languages and variations in local capacity as well. There are also issues concerning the importance of the number of customary/traditional peoples and communities involved in the actual process of implementation, as well as the remoteness of some of the PAs and CCAs. This will pose unique challenges for the respective agencies involved who will need to ensure they are equipped to both prioritize and address these issues during project implementation and monitoring.

## V. STAKEHOLDER ENGAGEMENT AND FREE, PRIOR AND INFORMED CONSENT

### Approach to Stakeholder Engagement

Stakeholders' views and concerns of the Project were gathered by the Project design team through: consultation workshops, focus group discussions, formal interviews with individuals, informal group and one-on-one conversations and observations. The stakeholder consultation events are listed below:

- National Inception workshop (NIW) in Port Moresby on 16 February 2021
- Provincial Inception workshop (PIW) in Mt Hagen, WHP on 5 March 2021
- WHP community consultations in WHP from 6-11 March 2021
- EHP provincial consultations in EHP September 2021
- Project Validation workshop in Port Moresby September 2021

#### Consultation Workshops

The objective of the NIW and PIW from a safeguards perspective was to:

1. Ensure that stakeholders understand the components of the proposed Project.
2. Ensure that stakeholders understand the potential Social and Environmental risks and are provided with an opportunity to voice their concerns.
3. Discuss the need to involve and engage with women, youth, marginalized people and how their voice will be heard and how they participate in the project effectively.
4. Discuss the identification of special measures to promote and protect the rights and interests of customary landowners.

There were three focus groups during each workshop, whereby each group would undertake a SWOT analysis for the three thematic areas of the Project (refer Table 6 below). Summaries of the NIW and PIW are attached at Annex III.

**Table 6. Focus group discussions at the NIW and PIW centred on three thematic areas.**

|  | <b>Biodiversity</b>   | <b>Livelihoods</b>   | <b>Well-Being</b>   |
|--|---|--|---|
| Stakeholders that are involved and working in the areas of:                            | <ul style="list-style-type: none"> <li>• Biodiversity</li> <li>• Conservation/protected areas</li> <li>• Forests</li> <li>• Climate change</li> <li>• Land-use (from a <b>technical</b> perspective) e.g. PNGFA, CCDA, DAL</li> </ul> | <ul style="list-style-type: none"> <li>• Agriculture</li> <li>• Land-use (from an <b>administrative</b> perspective e.g. DLPP Customary Land Division, DJAG officers that deal with customary land mediation, village courts</li> <li>• Tourism</li> <li>• Private sector</li> <li>• Education (TVET)</li> </ul> | <ul style="list-style-type: none"> <li>• Gender</li> <li>• Youth</li> <li>• Health</li> <li>• Churches</li> <li>• Telecommunications, migration and demographics</li> </ul>   |
| Suggested topics that the group facilitator can use to guide and initiate discussions: | <ul style="list-style-type: none"> <li>• Information management systems and capabilities</li> <li>• Governance</li> <li>• Capacity levels</li> </ul>  | <ul style="list-style-type: none"> <li>• Current and prospective access to markets</li> <li>• Customary lands processes</li> <li>• Farmer associations</li> <li>• Trades and training</li> <li>• Small to medium businesses</li> </ul>   | <ul style="list-style-type: none"> <li>• Gender and sorcery-based violence</li> <li>• Harmful cultural norms and behaviour</li> <li>• Drug and alcohol abuse</li> <li>• Social media influence on youths</li> <li>• Urbanization</li> </ul> |

#### Community Level Interviews

The objectives of the community consultations from a safeguards perspective were to:

1. Verify the local perceptions and practices related to land management, conflict resolution, governance (custom and State), gender equality and community well-being.
2. Ensure that stakeholders understand the components of the proposed Project.
3. Ensure that stakeholders understand the potential Social and Environmental risks and are provided with an opportunity to voice their concerns.
4. Discuss the need to involve and engage with women, youth, marginalized people and how their voice will be heard and how they participate in the project effectively.
5. Discuss with male and females separately to hear and document issues and concerns related to gender.

Although there was no agreed approach to conducting the community consultations among the Project team, there was guidance provided to members as follows:

1. Aim to interview at least one male and one female from the same clan/household in each community using the respective individual forms, and each interview should take approximately 1 hour;
2. The interviewer (and translator, if required) should be the same gender as the interviewee;
3. Interviews should be delivered in *Tok Pisin*, but there should be a translator if possible to ensure that communication is accurate.

### Western Highlands Province

Views from and consultations with a total of 18 stakeholders were captured in relation to environmental and social safeguards, with a specific focus on the four key aspects of social safeguards and cross-cutting governance risks. The details of the stakeholders are summarised in Table 7.

**Table 7: Summary of the details of stakeholders consulted in WHP.**

| Sex | Stakeholder Category             | Mode                | Interviewed By   |
|-----|----------------------------------|---------------------|------------------|
| M   | CLO                              | Interview (form C2) | JD               |
| M   | CLO                              | Form C2             | JD               |
| M   | CLO                              | Form C2             | JD               |
| M   | CLO/ Small-Business Owner (SME)  | Form C2             | AK               |
| F   | CLO                              | Form C2             | VD               |
| F   | CLO                              | Form C2             | VD               |
| F   | CLO                              | Form C2             | VD               |
| F   | CLO                              | Form C2             | VD               |
| F   | CLO/ SME                         | Form C2             | VD               |
| M   | Government (DDA)                 | Group gathering     | PPG mission team |
| M   | Government (LLG)                 | Group gathering     | PPG mission team |
| M   | CLO                              | Group gathering     | PPG mission team |
| M   | Government (Provincial)          | One-on-one meeting  | JD & VD          |
| F   | Civil Society Organisation (CSO) | One-on-one meeting  | JD & VD          |
| F   | CSO                              | One-on-one meeting  | JD & VD          |
| M   | Government (Provincial)          | Group gathering     | PPG mission team |
| M   | Private Sector                   | One-on-one meeting  | JD & VD          |
| M   | Private Sector                   | One-on-one meeting  | JD & VD          |

The results from the community level interviews of nine respondents (5 female, 4 male) are as follows:

- 44% of the respondents (3 female, 1 male) were aged 35-44 years old
- 56% of the respondents (2 female, 3 male) were aged 45-55 years old
- 80% of the female respondents were married with children
- Two-thirds of the respondents (3 female, 3 male) were from the Mul-Baiyer district; 2 respondents were from Tambul-Nebilyer district (1 female, 1 male); and 1 female from Mt. Hagen district.

The focus group discussion at the provincial workshop had 11 participants, of which 3 were female and 8 were male. Due to timing constraints of the one-day provincial inception workshop (PIW), there was not significant consultation that informed the group questionnaire. Moreover, the SWOT analysis –which was agreed to be employed within the PPG mission team - was effective to the extent that it provided some insight at to the existing plans and broad observations of the participants. It did not provide targeted and specific answers to the group questionnaire, nor inform the livelihoods group facilitators of the actual implementation or monitoring of results on the ground.

### **Free, Prior and Informed Consent**

PNG legislation supports the process of accessing customary land and resources under the Constitution, Section 53, which recognizes the right of landowners to not be unjustly deprived of their land and the need to respect that right especially considering relevant international conventions<sup>40</sup>. Moreover, the Land Act 1996 provides the process for acquiring land for development purposes, which requires the use of free, prior and informed consent (FPIC) as part of compulsory acquisition.<sup>41</sup> The process of FPIC is recognized in various Acts including the Forestry Act 1991,<sup>42</sup> the Oil & Gas Act 1998,<sup>43</sup> the Fauna (Protection and Control) Act 1966<sup>44</sup> and the Climate Change Management Act 2015<sup>45</sup> in relation to the development or protection of natural resources and environmental projects.

In recognition of the above policy framework, the Project has applied FPIC throughout the stakeholder engagement process particularly among sub-national stakeholders. Furthermore, the draft REDD+ FPIC Guidelines<sup>46</sup> highlighted that FPIC is most often applied at the community level where a project will be implemented. Therefore, it was important to seek the consent of stakeholders at the community and district level as much as it was for stakeholders, particularly in the government category, at the provincial level. FAO and CEPA recognize the indicative steps outlined in the FPIC Guidelines regarding the application of FPIC at the national, provincial, district and project (field) level. The Project will also continue to be responsive and continue to apply FPIC principles throughout the design and implementation process. These core FPIC principles elements that ensure that the rights and traditions of CLOs and local communities are respected will be integrated in the Stakeholder Engagement Plans and associated Community Engagement Plans developed by the Project.

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<sup>40</sup> This respects the objectives of the UNDRIP Article 10.

<sup>41</sup> Section 10 of the Land Act 1996 recognizes the need for Consent to be obtained prior to acquisition of customary owned land and section 12 provides the process which gives rise to compensation for land acquired by the State

<sup>42</sup> This is seen as part of the FMA process under s.58 of the Forestry Act.

<sup>43</sup> Divisions 5 (Social Mapping & Land Owner identification), Div. 6 (Project Consultation), Div.12 (Rights in Respect of Land and Property), Div.14 (Fees and Royalties) and Part IV (Project Benefits) of the Oil and Gas Act 1998.

<sup>44</sup> Section 15(2)(a) of the Fauna Protection and Control Act.

<sup>45</sup> Section 87, 88 and 89 of the CCMA 2015 relating to the need for FPIC

<sup>46</sup> Guidelines for REDD+ in Papua New Guinea (version 5), 2017.



## VI. ACCOUNTABILITY AND GRIEVANCE RESOLUTION

During the design and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly, due to the project activities. The grievances that may arise can be related to social issues such as land ownership and/or use of benefits and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as pollution or pesticide use. Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a grievance redress mechanism and the application of proactive information disclosure has been included in the ESMF for this project.

### **Existing Grievance Redress Mechanisms**

At the national level, various ministries, secretariats, and other governmental bodies have legal divisions or ombudsman offices that are mandated to receive complaints and serve as channels of communication between society and governance institutions. Complaints against public institutions (or statutory authorities such as CEPA), and particularly in regard to corruption allegations as part of the fulfilment of the roles and functions of these authorities, can be referred to the PNG Ombudsman Commission. This entity is created by virtue of the Constitution<sup>47</sup> and under the Organic Law on the Ombudsman Commission.

The fraud and corruption faculties of the Royal PNG Constabulary (Police Force) and the traditional legal offices of the Public Prosecutor and Public Solicitor in PNG also address these matters. Various cases of fraud and corruption within the forestry sector have been investigated and addressed in the past<sup>48</sup> by these institutions, resulting in sweeping reforms within the forestry sector. However, there are no specific divisions within the OC for the referral of project-related grievances within the forestry sector, except for those associated to higher-level institutional corruption.

Sub-national level ombudsman entities located in different governance institutions may be able to address specific project-related grievances, however they would need to qualify for investigation and redress depending on the eligibility criteria and the specific nature of the complaints/grievances raised. Within the framework of the GRM these types of entities would fall within the category of external GRM entities who would be engaged to address grievances as the last option along with the traditional legal institutions and constitutional offices in PNG.

Another existing system of dispute resolution at the local level are Village Courts, which are formal courts of the judicial system operating under the Village Courts Act 1989 and the Village Court Regulations 1973. There are 14,496 Village Courts in PNG<sup>49</sup> that cover approximately 90% of the country and employ customary methods of mediation and conflict resolution. Procedures for mediation and other alternative dispute resolution processes are provided for in the National Court (Amended) Act 2008<sup>50</sup>. This Act provides for powers of the higher National Court to order part of a proceeding or proceedings to be resolved by way of mediation, either with or without the consent of parties. Land mediation is provided for under the Land Dispute Settlement Act to provide for settlement of disputes related to customary land. Village Court and customary land dispute resolution are delegated functions to Provincial Governments.

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<sup>47</sup> Sections 217 – 220 of the National Constitution.

<sup>48</sup> Refer to the 1990 Barnett Inquiry at the following link - <https://pngforests.com/barnett-inquiry-3/>

<sup>49</sup> [Village Courts and Land Mediation Secretariat](#)

<sup>50</sup> See section 7B and 7C.

## **Project Related Grievance Redress Mechanisms**

The Project will establish a field-level Grievance Redress Mechanism (GRM) during the first year of implementation. The full details of this GRM will be agreed upon during the Inception Phase, and its operationalization will be overseen by the PMU (refer to Annex IV the draft GRM SOP).

Complainants and/or interested stakeholders may raise a grievance at any time to the PMU, FAO or the Executing Agency (yet to be determined at the time of ESMF preparation). The Project GRM will provide an accessible, rapid, fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes. While recognizing that many complaints may be resolved immediately, the GRM set out in this ESMF encourages mutually acceptable resolution of issues as they arise.

Contact information and information on the process to file a complaint will be disclosed in all meetings, workshops and other related events throughout the life of the project. In addition, it is expected that all awareness raising material to be distributed will include the necessary information regarding the contacts and the process for filing grievances. The project will also be responsible for documenting and reporting (refer to Annex 4 for the GRM SOP) as part of the safeguards performance monitoring on any grievances received and how they were addressed.

To support the PMU, it is recommended that a project working group (PWG) be formed in each province to provide close liaison and communication with between local and sub-national stakeholders and those at the national level (e.g. PMU and CEPA). Each PWG would have representatives from the provincial and district governments that the Project has selected as well as representatives from CSO, industry and sector representatives (e.g. forestry). The PWG would be valuable in carrying out the roles of the GRM at the sub-national level, as well as performing monitoring duties and facilitating effective two-way communication throughout Project implementation.

The GRM set out in this ESMF has been designed to:

- Be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- Allow simple and streamlined access to a Complaints Register for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- Provide clear and known procedures for each stage of the GRM process, and provides clarity on the types of outcomes available to individuals and groups;
- Ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
- To provide a transparent approach by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
- Enable continuous learning and improvements to the GRM through continued assessment, in which the findings may reduce potential future complaints and grievances.

The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM shall not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution. Information about the GRM and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders.

The broad eligibility criteria for the scope of complaints to be covered by the GRM includes:

- Actual or potential adverse economic, social or environmental impact on an individual and/or group of individuals;
- Clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the Project caused or may cause such impact; and
- Demonstration that the individual and/or group filing a complaint and/or grievance has authority or sufficient interest in the actual or perceived impact; and
- The actual or potential impact has or will disrupt the exercise of any present or future right/authority/interest.

The following types of entities are able to raise complaints/grievances under the GRM:

- Customary landowners within the selected PAs/CCAs;
- Locally impacted communities within the selected PAs/CCAs;
- Local, district and provincial government authorities from the selected provinces;
- Civil Society Organisations (CSOs, NGOs, CBOs) collaborating on the implementation of the Project activities within the selected PAs/CCAs;
- Key sector agencies (e.g. forestry, agriculture, tourism) collaborating on the implementation of the Project activities within the selected PAs/CCAs; and
- Private sector/industry collaborating on the implementation of the Project activities within the selected PAs/CCAs.

This broad list above is subject to depth of collaboration between the key beneficiaries and the supporting/implementing entities mentioned. This to ensure that there is an avenue for grievances arising from the implementation of the Project to be adequately addressed and resolved, where possible, so that it limits the number of disruptions that are likely to arise. In addition to this, it also ensures that CLOs and local communities, who often have high rates of illiteracy, are readily able to access avenues of justice via these key agencies, where possible. All affected CLOs and local communities should be informed about the ESMF provisions, as well as those refined in the ESMP, including its grievance mechanism and how to make a complaint.

The GRM will be revised and updated in the ESMP, following recommendations of the ESA. Specifically, frameworks and protocols for linking and aligning project-level GRM with existing subnational, national-level and sector-specific systems - which have their own legal or internal administrative divisions/offices.

### **Information Disclosure**

The GEF Minimum Standard 1 (Environmental and Social Assessment, Management and Monitoring) requires GEF Agencies and project implementing entities to disclose relevant documents in order to provide stakeholders with timely, relevant, and understandable information and allow stakeholder to participate in meaningful consultations as early and thoroughly as possible. Project stakeholders have to be informed and consulted on information related to environmental and social risk screening, assessment, and management plans, if applicable. As per FAO and GEF stakeholder engagement policies and guidelines, final disclosure at the end of the formulation phase is intended to be the last step of an extensive and iterative engagement process.

As per the requirements of FAO's ESGM, disclosure must happen at least 60 days before CEO endorsement for high environmental and social risk projects. Accordingly, the FAO will disclose information in a timely manner, before appraisal formally begins, that is accessible and culturally appropriate, placing due attention to the specific needs of community groups which may be affected by Project implementation (such as literacy, gender, differences in language or accessibility of technical information or connectivity). Moreover, as part of the Stakeholder Engagement process, the ESGM requires that Project stakeholders have timely access to relevant information. Therefore, FAO will ensure that the following information is made available:

- Stakeholder engagement plans and community engagement plans;
- Social and environmental screening reports with project documentation;

- Draft and final social and environmental targeted assessments, including stand-alone plans; and
- Any required social and environmental monitoring reports.

The type and timing of assessments and management plans vary depending of the level of social and environmental risk associated with a project as well as timing of the social and environmental assessment. This ESMF will be disclosed via the FAO disclosure portal in accordance with the FAO safeguards policies. The subsequent management plan(s) will also be publicly disclosed via the FAO disclosure portal at <http://www.fao.org/environmental-social-standards/disclosure-portal/en/> once they have been drafted, finalized and adopted and only after the required time period for disclosure has elapsed.

FAO will disclose information in a timely manner, before appraisal formally begins, that is accessible and culturally appropriate, placing due attention to the specific needs of community groups which may be affected by project implementation (such as literacy, gender, differences in language or accessibility of technical information or connectivity). In recognition of these specific needs, the provincial PWGs will perform an important role to ensure that information is proactively disclosed to stakeholders at the sub-national and community level in a timely and appropriate manner. The PWG will support two-way communication and liaise with local stakeholders, which will also complement its role in ensuring that the GRM is operating in each target province.

### **FAO Office of the Inspector-General**

FAO will facilitate the resolution of concerns of beneficiaries of FAO programmes regarding alleged or potential violations of FAO's social and environmental requirements. For this purpose, concerns may be communicated in accordance with the eligibility criteria of the Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards, which applies to all FAO programmes and projects<sup>51</sup>.

Concerns of relevant stakeholders and parties shall be addressed at the closest appropriate level, i.e. at the programme management/technical level, and if necessary at the Regional Office level. If a concern or grievance cannot be resolved through consultations and measures at the project management level, a complaint requesting a Compliance Review may be filed with the Office of the Inspector-General (OIG) in accordance with the Guidelines for Compliance Reviews. Complaints can be raised through contacting [FAO-RAP@fao.org](mailto:FAO-RAP@fao.org) which shall then be addressed by the relevant section and the Environmental and Social Risk Management Unit, who are responsible for providing technical assistance to the programme, country and regional offices to the concerns and complaints raised by beneficiaries regarding compliance with the ESS.

The principles to be followed during the complaint resolution process include: impartiality, respect for human rights, including those pertaining to indigenous peoples, compliance of national norms, coherence with the norms, equality, transparency, honesty, and mutual respect.

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<sup>51</sup> Compliance Reviews following complaints related to the Organization's environmental and social standards: <http://www.fao.org/aud/42564-03173af392b352dc16b6cec72fa7ab27f.pdf>

## VII. MONITORING AND REPORTING

Reporting on progress and issues in the ESMF implementation will be documented in the Project's quarterly reports and annual Project Implementation Reports (PIRs). The management plan(s) will specify their own monitoring and evaluation parameters. The PMU, Social and Environment Safeguards Specialist (SESS) and Project Manager will be responsible for implementation and compiling reports on ESMF implementation, until the subsequent management plan(s) is in place.

### **Implementation Arrangements**

The roles and responsibilities of Project staff and associated agencies in the implementation of this ESMF outlined below. This ESMF does not cover the roles and responsibilities associated with implementation of the subsequent impact assessments and management plans (ESA, ESMP, SEP, CEP and LAP); these will be defined in the subsequent management plans that are developed during the Project implementation phase, as required by this ESMF.

Key National Government Partner:

The main National Government Partner for this Project is the Conservation and Environment Protection Authority (CEPA). It should be noted also that the sub-national government level entities are also crucial for the success of the Project. The Key National Government Partner will:

- Ensure that the required assessments and management plans are developed, disclosed for public consultation, and approved, and the management measures are adopted and integrated during Project implementation;
- Report fairly and accurately, on Project progress against agreed work plans in accordance with the reporting schedule and required formats;
- Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the signed Project Document and in accordance with applicable regulations and procedures (both FAO and GEF); and
- Ensure all requirements of FAO's ESS and national PLRs and relevant international standards have been addressed.

The Project Steering Committee (PSC) will be responsible for the following:

- Monitoring implementation of this ESMF and compliance with national and international regulations, and FAO social and environmental standards;
- Decision-making for the adoption of necessary measures including full integration of management measures within project outputs and annual work plans;
- Establishing and supporting the GRM to address any grievances; and
- Provide strategic guidance for the implementation of the Project including oversight for safeguards and the implementation of this ESMF.

FAO will be responsible for the following:

- Providing oversight on all matters related to social and environmental safeguards;
- Informing all the stakeholders involved in, or potentially impacted, positively or negatively, by the GEF-financed Project, about the FAOs corporate accountability mechanism (described in section VI.D.);
- Ensuring that the GRM is operational during the lifetime of the Project;
- Ensuring adherence to the ESS for Project activities implemented and undertake appropriate measures to address any shortcomings;
- Verifying and document that all FAO safeguards requirements have been addressed; and

- Provide technical guidance on implementation of this ESMF and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of each project to the ESMF and FAO policies and procedures.

The PMU will be responsible for:

- Supervising and managing implementation of measures defined in this ESMF;
- Assigning specific responsibilities for implementation of the ESMF, including monitoring, and community consultations on the draft ESA, ESMP, and other management plans, as required;
- Maintaining relevant records associated with management of environmental and social risks, including impact assessments, evidence of consultations and FPIC, a log of grievances together with documentation of management measures implemented;
- Reporting to the Implementing Partner, the Project Board on the implementation of the ESMF; and
- Ensuring that all service providers are informed of their responsibilities for the day-to-day compliance with the ESMF.

As noted above, the subsequent impact assessments and management plan(s) will describe the roles and responsibilities in the implementation of the management plan(s). Those new roles and responsibilities will be assessed and integrated, as appropriate, as part of a participatory decision-making process prior to implementation of the Project.

#### *Capacity Building*

Specialists with relevant expertise in social and environmental safeguards will be engaged to support the completion of the assessments and the management plans. These experts will offer an induction session for Project Management Unit (and implementing partners, as needed) on safeguards responsibilities and approaches.

The FAO-Safeguards Unit will provide advice to PMU, as needed, to support the implementation of this ESMF and the preparation, implementation and monitoring of social and environmental management plans and measures.

The PSC will have the final responsibility for the integration of the management plans in the execution of the Project. The integration of these plans will need to be considered, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor management plan implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the management plan(s).

### **Budget for Safeguards**

Implementation of the ESMF is included in the budget for the Project with an estimated cost for Safeguards outputs shown in Table 8. The budget associated with the implementation of the ESA and ESMP will be revised within the first quarter of Project operationalization.

**Table 8. Estimated costs of ESMF implementation.**

| <b>Budget Item</b>       | <b>Details</b>   | <b>Cost (USD)</b> |
|--------------------------|--|-------------------|
| Gender Specialist        | Ongoing support to gender  | 45,000            |
| Safeguards Specialist    | Ongoing support to safeguards                                    | 80,000            |
| Gender and ESMP training | Inception training on ESMF, ESMP and gender-sensitive approaches | 15,000            |

|                              |   |                |
|------------------------------|---|----------------|
| Travel costs                 | Initial and monitoring visits to the EHP and WHP by the 2 x specialists           | 125,000        |
| GRM, FPIC and support to PWG | Initial support to operationalize the GRM as well as ongoing administrative costs | 60,000         |
| Communications/publications  | Audiovisual, print and social media content for communicating ESMP issues         | 12,000         |
| Subtotal (A)                 |   | 337,000        |
| Contingency (A*0.1)          |   | 33,700         |
| <b>TOTAL</b>                 |   | <b>370,700</b> |



## Annex 1: FAO Screening Checklist

For each question only 1 of 4 boxes must be checked: Not Applicable (N/A), No, Yes or Unknown

| Would the project, if implemented?   | Not applicable | No | Yes | Unknown |
|--|----------------|----|-----|---------|
| <b>I. FAO VISION/STRATEGIC OBJECTIVES</b>  |                |    |     |         |
| Be in line with FAO's vision?  |                |    | X   |         |
| Be supportive of FAO's strategic objectives?   |                |    | X   |         |
| <b>II. FAO KEY PRINCIPLES FOR SUSTAINABILITY IN FOOD AND AGRICULTURE</b>   |                |    |     |         |
| Improve efficiency in the use of resources?  |                |    | X   |         |
| Conserve, protect and enhance natural resources?   |                |    | X   |         |
| Protect and improve rural livelihoods and social well-being?   |                |    | X   |         |
| Enhance resilience of people, communities and ecosystems?  |                |    | X   |         |
| Include responsible and effective governance mechanisms?   |                |    | X   |         |
| <b>ESS 1 NATURAL RESOURCES MANAGEMENT</b>  |                |    |     |         |
| • Management of water resources and small dams   |                |    |     |         |
| Include an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m <sup>3</sup> / day of water?  |                | X  |     |         |
| Include an irrigation scheme that is more than 100 hectares or withdraws more than 5000 m <sup>3</sup> / day of water?   |                | X  |     |         |
| Include an existing irrigation scheme?   |                | X  |     |         |
| Include an area known are expected to have water quality problems?   |                | X  |     |         |
| Include usage of nonconventional sources of water (i.e. wastewater)?   |                | X  |     |         |
| Include a dam that is more than 5 m in height?   |                | X  |     |         |
| Include a dam that is more than 15 m in height?  |                | X  |     |         |
| Include measures that build resilience to climate change?  |                | X  |     |         |
| • Tenure   |                |    |     |         |
| Negatively affect the legitimate tenure rights of individuals, is communities or others <sup>52</sup> ?  |                | X  |     |         |
| <b>ESS 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS</b>   |                |    |     |         |
| Make reasonable and feasible effort to avoid practices that could have a negative impact on biodiversity, including agricultural biodiversity and genetic resources? |                |    | X   |         |
| Have biosafety provisions in place?  |                |    | X   |         |
| Respect access and benefit sharing measures in force?  |                |    | X   |         |
| Safeguard the relationships between biological and cultural diversity?   |                |    | X   |         |

<sup>52</sup> In accordance with Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT) <http://www.fao.org/docrep/016/i2801e/i2801e.pdf>



| Would the project, if implemented?  | Not applicable | No | Yes | Unknown |
|---|----------------|----|-----|---------|
| <ul style="list-style-type: none"> <li>Protected areas, buffer zones and natural habitats</li> </ul>  |                |    |     |         |
| Be located such that it poses no risk or impact of protected areas, critical habitats and ecosystem functions?  |                |    | X   |         |
| <b>ESS 3 PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE</b>   |                |    |     |         |
| <ul style="list-style-type: none"> <li>Planted forests</li> </ul>   |                |    |     |         |
| Have a credible forest certification scheme, national forest programs or equivalent or use the Voluntary Guidelines on Planted Forests (or an equivalent for indigenous forests)?                               |                |    | X   |         |
| <b>ESS 4 ANIMAL – LIVESTOCK AND AQUATICS – GENETIC RESOURCES FOR FOOD AND AGRICULTURE</b>   |                |    |     |         |
| Involve the procurement or provision of pesticides?   |                | X  |     |         |
| <ul style="list-style-type: none"> <li>Aquatics genetic resources</li> </ul>  |                |    |     |         |
| Adhere (Aligned) to that FAO Code of Conduct for Responsible Fisheries (CCRF) and its related negotiated instruments?   | X              |    |     |         |
| Be aligned, where applicable, with FAO's strategic policies established in the FAO Technical Guidelines for Responsible Fisheries (including aquaculture)?  | X              |    |     |         |
| <ul style="list-style-type: none"> <li>Livestock genetic resources</li> </ul>   |                |    |     |         |
| Be aligned with the Livestock Sector Strategy including the animal disease, public health and land degradation provisions?  | X              |    |     |         |
| <b>ESS 5 PEST AND PESTICIDES MANAGEMENT</b>   |                |    |     |         |
| Involve the procurement or provision of pesticides?   |                | X  |     |         |
| Resulting increase use of pesticides through expansion or intensification of production systems?  |                | X  |     |         |
| Require the disposal of pesticides or pesticide contaminated materials?   |                | X  |     |         |
| <b>ESS 6 INVOLUNTARY RESETTLEMENT IN DISPLACEMENT</b>   |                |    |     |         |
| Avoid the physical and economic displacement of people?   |                |    | X   |         |
| <b>ESS 7 DECENT WORK</b>  |                |    |     |         |
| Adhere to FAO's guidance on decent rural employment, promoting more and better employment opportunities and working conditions in rural areas and avoiding practices that could increase workers vulnerability? |                |    | X   |         |
| Respect the fundamental principles and rights at work and support the effective implementation of other international labour standards, in particular those that are relevant to the agri-food sector?          |                |    | X   |         |
| <b>ESS 8 GENDER EQUALITY</b>  |                |    |     |         |
| Have the needs, priorities and constraints of both women and men been taken into consideration?   |                |    | X   |         |
| Promote women's and men's equitable access to and control over productive resources and services?   |                |    | X   |         |

| <b>Would the project, if implemented?</b>  | <b>Not applicable</b> | <b>No</b> | <b>Yes</b> | <b>Unknown</b> |
|--|-----------------------|-----------|------------|----------------|
| Foster their equal participation in institutions and decision-making processes?  |                       |           | X          |                |
| <b>ESS 9 GENDER EQUALITY</b>   |                       |           |            |                |
| Are there any indigenous communities in the project area?  |                       |           | X          |                |
| Are project activities likely to have adverse effects on indigenous peoples rights, land, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and cultural or heritage (tangible and intangible)? |                       | X         |            |                |
| Are indigenous communities outside the project area likely to be affected by the project?  |                       | X         |            |                |
| Designed to be sensitive to cultural heritage issues?  |                       |           | X          |                |

## Annex 2: Second Level Questions

| <b>SAFEGUARD 1. NATURAL RESOURCES MANAGEMENT</b> |   |                   |   |
|--|---|-------------------|---|
| <b>Q.</b>  | <b>Management of soil and land resources</b>  | <b>Risk level</b> | <b>Comments</b>   |
| 1.1  | Would this project result in the degradation (biological or physical) of soils?   | Low               | Activity 1.1.10 will support Project stakeholders to identify sites of high importance for global biodiversity and areas where ecosystem degradation should be avoided. Outcome 3.1 also focuses on developing a better understanding of the state, trends and causes of land and soil degradation in order to mitigate the root causes of environmental degradation. Thus, it is highly unlikely that soil degradation will result.  |
| 1.2  | Would this project undermine sustainable land management practices?   | Low               | Activities under outcome 1.1 are designed to develop capacity and capability to improve access to spatial data and develop DSS that will be used to undertake participatory land use planning at the subnational level. It is highly unlikely that these integrated land use plans will undermine sustainable land management practices. Outcome 3.1 also focuses on developing a better understanding of the state, trends and causes of unsustainable land use practises in order to mitigate the root causes of environmental degradation. |
| <b>Q.</b>  | <b>Management of water resources and small dams</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 1.3  | Would this project develop an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m <sup>3</sup> /day of water?   | N/A               |   |
| 1.4  | Would this project develop an irrigation scheme that is more than 100 hectares or withdraws more than 5000 m <sup>3</sup> /day of water?  | N/A               |   |
| 1.5  | Would this project aim at improving an irrigation scheme (without expansion)?   | N/A               |   |
| 1.6  | Would this project affect the quality of water either by the release of pollutants or by its use, thus affecting its characteristics (such as temperature, pH, DO, TSS or any other)? | N/A               |   |
| 1.7  | Would this project include the usage of wastewater?   | N/A               |   |
| 1.8  | Would this project involve the construction or financing of a dam that is more than 15 m. in height?  | N/A               |   |
| 1.9  | Would this project involve the construction or financing of a dam that is more than 5 m. in height?   | N/A               |   |
| <b>Q.</b>  | <b>Tenure</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 1.10   | Would this project permanently or temporarily deny or restrict access to natural resources to which they have rights of access or use?  | Very low          | Activities under Output 1.1 and Component 2 involve the active participation of customary landowners and local communities towards priority conservation areas and planning assessments. The Project would not permanently or temporarily deny or restrict access to  |

|   |  |                   |   |
|---|--|-------------------|---|
|   | Could this project result in any changes to existing <i>tenure rights (formal and informal)</i> of individuals, communities or others to land, fishery and forest resources? |                   | natural resources to which customary landowners and communities have access and user rights.<br>Output 3.1.1 and 3.1.2 focus on strengthening the national and provincial regulatory frameworks on agricultural, fisheries and forestry commodity trading to support gender sensitive, biodiversity-friendly and climate resilient approaches. It is not likely that these approaches will result in changes to the existing tenure rights of communities or individuals related to land, fishery and forest resources. |
| 1.10.1  | Could this project result in a negative change to existing legitimate tenure rights?   | Very low          | The substantive rights of customary landowners and local communities are recognised and protected in the Constitution and various pieces of land legislation outlined in Section III. It is highly unlikely that these rights would be negatively impacted by the Project.  |
| <b>Q.</b>   | <b>Climate</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 1.11  | Could this project result in a reduction of the adaptive capacity to climate change for any stakeholders in the project area?  | Low               | The Project will assist the most vulnerable populations to implement biodiversity friendly and climate resilient practices. This will address hazards identified in PNG's NDC such as inland flooding, food insecurity caused by crop failures due to droughts and inland frosts, water and sanitation and landslides. Under Component 2, support to farmers on value chains for sustainably harvested products and climate-resilient practices will improve food security against the impacts of climate change.       |
| 1.12  | Could this project result in a reduction of resilience against extreme weather events?   | Low               | Activities under Outcome 1.1 will incorporate appropriate land use planning and monitoring, biodiversity and forest conservation and ecological restoration that will reduce the risk of flooding and landslides, and maintain water quality and steady supply.   |
| 1.13  | Could this project result in a net increase of GHG emissions beyond those expected from increased production?  | Low               | The Project is expected to reduce GHG emissions by an estimated 1.3 million tCO <sub>2</sub> e during the 10 years after completion of the Project through the conservation of biodiversity, reduced deforestation and forest degradation and restoration of degraded forest lands.   |
| 1.13.1  | Is the expected increase below the level specified by FAO guidance or national policy/law (whichever is more stringent)?   | N/A               | The Project is not expected to increase GHG emissions.  |
| <b>SAFEGUARD 2. BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS</b> |  |                   |   |
| <b>Q.</b>   | <b>Protected areas, buffer zones or natural habitats</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 2.1   | Would this project be implemented within a legally designated protected area or its buffer zone?   | Moderate          | The Project proposes to implement its activities in five legally protected areas (PA) in the two provinces. The Project is designed to mainstream biodiversity and conservation of the natural habitats, recognising the livelihood needs of the local communities, and these objectives will be integrated in the PA management plans at each of the five sites. The PA management plans will identify, assess and propose mitigation measures to deal with risks posed by the Project.                                |
| <b>Q.</b>   | <b>Biodiversity conservation</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 2.2   | Would this project change a natural ecosystem to an agricultural/aquacultural/forestry production unit with a reduced diversity of flora and fauna?                          | Low               | The Project is designed to mainstream biodiversity and conservation of the natural habitats, recognising the livelihood needs of the local communities, so it is highly unlikely that the   |

|  |   |                   |   |
|--|---|-------------------|---|
|  |   |                   | Project will change a natural ecosystem to an agricultural or forestry production unit with a reduced biodiversity.   |
| 2.3  | Would this project increase the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously?  | Moderate          | Activities under Outcome 2.1 that target model farming families (MFFs) and forest and farm producer organisations (FFPOs) may involve some level of impact on the current impact on the surrounding natural environment. This impact will be assessed, managed and where possible mitigated through a thorough review of biodiversity friendly and climate resilient approaches.  |
| <b>Q.</b>  | <b>Use of alien species</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 2.4  | Would this project use an alien species which has exhibited an invasive behaviour in the country or in other parts of the world or a species with unknown behaviour?  | Low               | Four out of the five PAs have identified that invasive species are a threat to their biodiversity values. The Project will aim to reduce and where applicable manage these threats. Activities implemented by the Project will not be using or introducing alien species that exhibit an invasive behaviour.  |
| <b>Q.</b>  | <b>Access and benefit sharing for genetic resources</b>   | <b>Risk level</b> | <b>Comments</b>   |
| 2.5  | Would this project involve access to genetic resources for their utilization and/or access to traditional knowledge associated with genetic resources that is held by indigenous, local communities and/or farmers? | Moderate          | There may be certain Project activities that focus on ensuring that sacred sites are effectively protected. However, the possibility that sustainable livelihood options will occur within these PAs sacred sites poses a potential risk that the activities themselves may become an impediment to the protection of the cultural sites. This is likely if the local communities focus more on the livelihood activities than the protection of the site itself. |
| <b>SAFEGUARD 3. PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE</b> |   |                   |   |
| <b>Q.</b>  | <b>Introduce new crops and varieties</b>  | <b>Risk level</b> | <b>Comments</b>   |
| 3.1  | Would this project Introduce crops and varieties previously not grown?  | Low.              | The Project will only be using food and tree crops previously trialled in PNG in the Value Chain Development Plans. Project activities will build on what has been proven and is existing, and will not be introducing unproven crops and varieties.  |
| <b>Q.</b>  | <b>Provision of seeds and planting materials</b>  | <b>Risk level</b> | <b>Comments</b>   |
| 3.2  | Would this project provide seeds/planting material for cultivation?   | Low.              | Under component 2, training and capacity-building activities to support MFFs and FFPOs to improve their farming and forest management systems may involve the Project providing seeds/planting material for cultivation.  |
| 3.2.1  | Would this project involve the importing or transfer of seeds and/or planting materials for cultivation?  | Low               | Under component 2, training and capacity-building activities to support MFFs and FFPOs to improve their farming and forest management systems may involve the Project transferring seeds and/or planting materials for cultivation from the neighbouring Highlands provinces. The Project will not be importing seeds or planting materials for cultivation.  |
| 3.2.2  | Would this project involve the importing or transfer of seeds and/or planting materials for research and development?   | N/A               |   |
| <b>Q.</b>  | <b>Modern biotechnologies and the deployment of their products</b>  | <b>Risk level</b> | <b>Comments</b>   |
| 3.3  | Would this project supply or use modern plant biotechnologies and their products?   | Low               | No  |

| <b>Q.</b>   | <b>Planted forests</b>   | <b>Risk level</b> | <b>Comments</b>   |
|---|--|-------------------|---|
| 3.4   | Would this project establish or manage planted forests?  | Low               | Activities under Outcome 1.1 are aimed at conducting forest assessments and not necessarily towards establishing or managing planted forests. However, PNGFA plans to increase total forest estates but lacks the necessary incentives and resources to implement their plans. This is an opportunity that the Project may collaborate with PNGFA and provincial forestry offices to conduct a feasibility study for social forestry, agroforestry and development of woodlots. |
| <b>SAFEGUARD 4. ANIMAL (LIVESTOCK AND AQUATIC) GENETIC RESOURCES FOR FOOD AND AGRICULTURE</b> |  |                   |   |
| <b>Q.</b>   | <b>Introduce new species/breeds and change in the production system of locally adapted breeds</b>  | <b>Risk level</b> | <b>Comments</b>   |
| 4.1   | Would this project introduce non-native or non-locally adapted species, breeds, genotypes or other genetic material to an area or production system?   | N/A               |   |
| 4.1.1   | Would this project foresee an increase in production by at least 30% (due to the introduction) relative to currently available locally adapted breeds and can monitor production performance?  | N/A               |   |
| 4.1.2   | Would this project introduce genetically altered organisms, e.g. through selective breeding, chromosome set manipulation, hybridization, genome editing or gene transfer and/or introduce or use experimental genetic technologies, e.g. genetic engineering and gene transfer, or the products of those technologies? | N/A               |   |
| 4.2   | Would this project introduce a non-native or non-locally adapted species or breed for the first time into a country or production system?  | N/A               |   |
| 4.3   | Would this project introduce a non-native or non-locally adapted species or breed, independent whether it already exists in the country?   | N/A               |   |
| 4.4   | Would this project ensure there is no spread of the introduced genetic material into other production systems (i.e. indiscriminate crossbreeding with locally adapted species/breeds)?   | N/A               |   |
| <b>Q.</b>   | <b>Collection of wild genetic resources for farming systems</b>  | <b>Risk level</b> | <b>Comments</b>   |

|  |  |                   |  |
|--|--|-------------------|--|
| 4.5  | Would this project collect living material from the wild, e.g. for breeding, or juveniles and eggs for on growing?   | N/A               |  |
| <b>Q.</b>  | <b>Modification of habitats</b>  | <b>Risk level</b> | <b>Comments</b>  |
| 4.6  | Would this project modify the surrounding habitat or production system used by existing genetic resources?   | N/A               |  |
| 4.7  | Would this project be located in or near an internationally recognized conservation area e.g. Ramsar or World Heritage Site, or other nationally important habitat, e.g. national park or high nature value farmland?  | Low               | Kuk World Heritage (KWH) site, located in WHP, consist of 116ha of swamps that have been worked on for 7,000+ years. If practical, the Project will consider providing support to improving farming practices in and near the KWH site, with a view to protecting its outstanding universal values. These elements would be developed and captured in a Kuk Management Plan. |
| 4.8  | Would this project block or create migration routes for aquatic species?   | N/A               |  |
| 4.9  | Would this project change the water quality and quantity in the project area or areas connected to it?   | Low               | The Project aims to develop appropriate land-use planning and monitoring, biodiversity and forest conservation and ecological restoration. This will reduce the risk of flooding and landslides as well as maintaining water quality and steady supply within the Project's areas and the surrounding areas.   |
| 4.10   | Would this project cause major habitat / production system changes that promote new or unknown chances for gene flow, e.g. connecting geographically distinct ecosystems or water bodies; or would it disrupt habitats or migration routes and the genetic structure of valuable or locally adapted species/stocks/breeds? | N/A               |  |
| 4.11   | Would this project involve the intensification of production systems that leads to land- use changes (e.g. deforestation), higher nutrient inputs leading to soil or water pollution, changes of water regimes (drainage, irrigation)?   | Low.              | Project activities under Component 1 (outputs 1.1.10 and 1.1.11) seek to develop integrated land-use plans that support biodiversity and climate change objectives including areas where deforestation and ecosystem degradation should be avoided. Outcome 2.1 is also designed to strengthen/establish key value chains for sustainably harvested products.                |
| <b>SAFEGUARD 5. PEST AND PESTICIDE MANGEMENT</b> |  |                   |  |
| <b>Q.</b>  | <b>Supply of pesticides by FAO</b>   | <b>Risk level</b> | <b>Comments</b>  |
| 5.1  | Would this project procure, supply and/or result in the use of pesticides on crops, livestock, aquaculture or forestry?  | Low               | Under Component 2, strengthening the key value chains for sustainably harvested products may involve the Project using pesticides on crops or forestry.  |
| 5.2  | Would this project provide seeds or other materials treated with pesticides (in the field and/or in storage)?  | Low               | Under Component 2, strengthening the key value chains for sustainably harvested products may involve the Project using seeds or other materials treated with pesticides.   |
| 5.3  | Would this project provide inputs to farmers directly or through voucher schemes?  | Low               | The Project may provide inputs to MFFs and FFPOs through activities planned to achieve Outcome 2.1. There are many certified nutrient inputs available in PNG that the Project may use.  |

|   |   |                   |   |
|---|---|-------------------|---|
| 5.4   | Would this project lead to increased use of pesticides through intensification or expansion of production?  | Moderate          | In order to improve productivity, increase scales and intensification, Project activities under Component 2 would use pesticides. However, it is recommended to also use closed circle nutrient enhancements where practicable.   |
| 5.5   | Would this project manage or dispose of waste pesticides, obsolete pesticides or pesticide contaminated waste materials?  | Low               | Project activities are not likely to directly manage or dispose of waste pesticides. However, if there are instances where waste pesticides will have to be managed the appropriate disposal methods will be employed by the Project in line with the FAO and national safety standards.  |
| <b>SAFEGUARD 6. INVOLUNTARY RESETTLEMENT AND DISPLACEMENT</b> |   |                   |   |
| <b>Q.</b>   |   | <b>Risk level</b> | <b>Comments</b>   |
| 6.1   | Would this removal be voluntary?  | N/A               |   |
| <b>SAFEGUARD 7. DECENT WORK</b>                               |   |                   |   |
| <b>Q.</b>   |   | <b>Risk level</b> | <b>Comments</b>   |
| 7.1   | Would this project displace jobs? (e.g. because of sectoral restructuring or occupational shifts)   | Low               | Most people in the two provinces are involved in the informal economy (primarily agriculture). One of the key objectives of the Project is to support and improve livelihoods, so it is not likely that beneficiaries would experience job displacement.  |
| 7.2   | Would this project operate in sectors or value chains that are dominated by subsistence producers and other vulnerable informal agricultural workers, and more generally characterized by high levels “working poverty”?  | Low               | The Project is aimed at improving local value chains, and to some degree global value chains (e.g. coffee) which are dominated by subsistence farmers who are involved in the informal sector. Poverty in the two provinces is mainly caused by factors such poor access to markets (mainly with lack of road access) and little formal job opportunities.            |
| 7.3   | Would this project operate in situations where youth work mostly as unpaid contributing family workers, lack access to decent jobs and are increasingly abandoning agriculture and rural areas?   | Low.              | The Project will ensure that youth and marginalized groups that perform work directly in relation to the implementation of activities will be paid fairly, with the view to also improve their income-earning opportunities within the value chains/agriculture sector.   |
| 7.4   | Would this project operate in situations where major gender inequality in the labor market prevails? (e.g. where women tend to work predominantly as unpaid contributing family members or subsistence farmers, have lower skills and qualifications, lower productivity and wages, less representation and voice in producers’ and workers’ organizations, more precarious contracts and higher informality rates, etc.) | Moderate          | Due to strong socio-cultural values and beliefs about women and the gender roles they perform in the two provinces, the Project will be operating in situations where there is significant gender equality in the labor market. Hence, gender mainstreaming is a crucial element to incorporate into Project activities, which is captured in the Gender Action Plan. |
| 7.5   | Would this project operate in areas or value chains with presence of labor migrants or that could potentially attract labor migrants?   | Low.              | Most of the workers in the Project’s two target provinces reside within the specific locality (i.e. Protected Areas). It is not likely that there will be labor migrants from other provinces.  |
| 7.6   | Would this project directly employ workers?   | Low               | The Project will incorporate the PNG Minimum Rates and Conditions as the baseline reference for workers employed to specifically implement Project activities.  |



|                                     |  |                   |   |
|-------------------------------------|--|-------------------|---|
| 7.7                                 | Would this project involve sub-contracting?  | Low               | Project sub-contractors will undergo a prior screening to ensure their gender, occupational safety and health (OSH), and employment conditions are in line with FAO safeguards and PNG's laws.  |
| 7.8                                 | Would this project operate in a sector, area or value chain where producers and other agricultural workers are typically exposed to significant occupational and safety risks?                       | Moderate          | Activities under Component 2 will introduce productivity enhancements such as fertilizers and certain tools may pose a threat to workers. Any newly introduced inputs, chemical or work practices will be required to have field training and safeguards as an integral part of the introductions. The Project will also ensure ongoing monitoring and evaluation to be built into these activities.  |
| 7.9                                 | Would this project provide or promote technologies or practices that pose occupational safety and health (OSH) risks for farmers, other rural workers or rural populations in general?               | Low               | Activities under Component 2 may provide or promote technologies or practise that pose OSH risks for beneficiaries including MFFs. However, as mentioned above, any newly introduced inputs, chemical or work practices will be required to have field training and safeguards as an integral part of the introductions. The Project will also ensure ongoing monitoring and evaluation to be built into these activities.  |
| 7.10                                | Would this project foresee that children below the nationally defined minimum employment age (usually 14 or 15 years old) will be involved in project-supported activities?                          | Low               | It is not likely that children below PNG's minimum employment age (16 years old) will be involved in Project-supported activities.  |
| 7.11                                | Would this project foresee that children above the nationally-defined minimum employment age (usually 14 or 15 years old), but under the age of 18 will be involved in project-supported activities? | Low               | No.   |
| 7.12                                | Would this project operate in a value chain where there have been reports of child labor?  | Low.              | No.   |
| <b>SAFEGUARD 8. GENDER EQUALITY</b> |  |                   |   |
| <b>Q.</b>                           |  | <b>Risk level</b> | <b>Comments</b>   |
| 8.1                                 | Could this project risk reinforcing existing gender-based discrimination, by not taking into account the specific needs and priorities of women and girls?   | Moderate          | Due to the male dominated customs and beliefs that reinforce inequality and social inclusion of women and girls, the Project may risk reinforcing these existing gender- based discrimination while implementing activities. Hence, gender mainstreaming and awareness on gender equality and social inclusion is incorporated in the Project's Gender Action Plan (GAP).   |
| 8.2                                 | Could this project not target the different needs and priorities of women and men in terms of access to services, assets, resources, markets, and decent employment and decision-making?             | Moderate          | The continued lack of sex-disaggregated data in collection of information management systems to develop spatial planning (data systems), as well as mechanisms for analysing data, means that men's and women's differentiated needs, uses, skills, and knowledge on forests and natural resources are not being identified and included. This can adversely affect the successful planning and implementation of the project and have a more disproportionate impact on women because they perform the core labor in activities such as collection of firewood and gardening. The Project GAP outlines approaches to ensure that the different needs and priorities of women, men and vulnerable groups are addressed. |

| <b>SAFEGUARD 9. INDIGENOUS PEOPLES AND CULTURAL HERITAGE</b> |  |                   |  |
|--|--|-------------------|--|
| <b>Q.</b>  |  | <b>Risk level</b> | <b>Comments</b>  |
| 9.1  | Are there indigenous peoples living outside the project area where activities will take place?   | Low               | Yes.   |
| 9.1.1  | Do the project activities influence the Indigenous Peoples living outside the project area?  | Low               | Yes.   |
| 9.2  | Are there indigenous peoples living in the project area where activities will take place?  | Low               | The project has been designed under the assumption that all customary landowners are Indigenous Peoples.   |
| 9.3  | Would this project adversely or seriously affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area? | Low               | The Project will respect customary landowner rights and activities are designed to strengthen their natural resources, land management, livelihoods, local governance systems and traditional heritage both within and surrounding the PAs. Activities under Components 1 and 2 also note a participatory approach with customary landowners (women, men and youth) to land-use planning and conservation as well as scaling up landscape-level actions for sustainable supply chain development respectively. |
| 9.4  | Would this project be located in an area where cultural resources exist?   | Moderate          | Yes, all of the legally recognized PAs have existing cultural resources and sacred sites.  |

## Annex 3: Stakeholder meeting summaries

The reports for the National Inception Workshop and Western Highlands Provincial Inception Workshop are available upon request.

## Annex 4: Grievance Redress Mechanism – SOP

The purpose of the GRM is to:

- i) Receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively “*Grievance*”) alleging actual or potential harm to affected person(s) (the “*Claimant(s)*”) arising from the Project;
- ii) Assist in resolution of Grievances between and among stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and other natural resource users (collectively, the “*Stakeholders*”) in the context of the Project;
- iii) Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

### 1) Process

The GRM process includes the following stages:

- In the instance in which the Claimant has the means to directly file the claim, he/she has the right to do so, presenting it directly to the GRM Focal Point in the Project Working Group (PWG) in the respective province. The process of filing a complaint will consider anonymity as well as any existing traditional dispute resolution mechanisms.
- The complainant files a complaint through the GRM Focal Point, who will aim to resolve the grievance at the field/provincial level. The GRM Focal Point will be responsible for recording the grievance and how it has been addressed if a resolution was agreed.
- If the Complainant is still not satisfied with the outcome of the at the field/provincial level, they can raise their Complainant to the Project Management Unit (PMU) at the national level. The GRM Focal Point must ensure that the confidentiality of the complaint is preserved during the process.
- The PMU will be responsible for recording the grievance and how it has been addressed if a resolution was agreed.
- If the situation is too complex, or the complainer does not accept the resolution, the complaint must be sent to a higher level, until a solution or acceptance is reached.
- For every complaint received, a written proof will be sent within five (5) working days; afterwards, a resolution proposal will be made within thirty (30) working days.
- In compliance with the resolution, the person in charge of dealing with the complaint, may interact with the complainant, or may call for interviews and meetings, to better understand the reasons.
- All complaint received, its response and resolutions, must be recorded and registered.
- Upon acceptance of a solution by the Complainer, a document with the agreement clearly stating the resolution should be signed with the agreement.

### 2) Institutional Arrangements

The following are the levels at which the GRM will operate:

**Level 1:** GRM Focal Point (embedded in the PWG at the provincial level). The complaint must be in writing to the GRM Focal Point or PWG directly. At this level, received complaints will be registered, investigated and solved by the PWG.

**Level 2:** Project Management Unit (PMU). The complaint must be in writing to the PMU. At this level, received complaints will be registered, investigated and solved by the PMU.

**Level 3:** If the complaint has not been solved and could not be solved in level 1 or 2, then the Project Manager elevates it to the FAO Representative of PNG.

**Level 4:** Project Steering Committee (PSC). The assistance of the PSC is requested if a resolution was not agreed in levels 1, 2 or 3.

**Level 5:** FAO Regional Office for Asia and the Pacific. FAO will request if necessary the advice of the Regional Office to resolve a grievance, or will transfer the resolution of the grievance entirely to the regional office, if the problem is highly complex.

**Level 6:** Only on very specific situations or complex problems, the FAO Regional Representative will request the assistance of the FAO Inspector General, who pursues its own procedures to solve the problem.

**Table 9. Levels at which the grievances can be raised and/or referred.**

|  |   |
|--|---|
| GRM Focal Point (Project Working Group)      | Must respond within 5 working days of receipt of the Grievance.   |
| Project Management Unit (PMU)                | Must respond within 5 working days of receipt of the referral of the Grievance.   |
| FAO Representation in PNG                    | Anyone in the FAO Representation may receive a complaint and must request proof of receipt. If the case is accepted, the FAO Representative must respond within 5 working days in consultation with FAO's Representation and Project Team.<br>FAO Representative: ADD<br>e-mail: _____ Tel:_( |
| Project Board                                | If the case cannot be dealt by the FAO Representative, he/she must send the information to all Project Board members and call for a meeting to find a solution. The response must be sent within 5 working days after the meeting of the Board.   |
| FAO Regional Office for Asia and the Pacific | Must respond within 5 working days in consultation with FAO's Representation.<br>FAO Regional Representative: FAO Assistant-Director General and Regional Representative for Asia and the Pacific<br>e-mail:FAO-RAP@fao.org Tel:_ (+66 2) 697 4000  |
| Office of the Inspector General (OIG)        | To report possible fraud and bad behavior:<br>By confidential fax: (+39) 06 570 55550<br>By e-mail: Investigations-hotline@fao.org<br>By confidential hotline: (+ 39) 06 570 52333  |

### 3) Functions

The functions of the GRM Focal Point will be to:

- i) Receive, log and track all Grievances received at the provincial/field level;
- ii) Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PWG);
- iii) Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PWG took an appropriate administrative action to deal with a complaint;
- iv) Provide regular status updates on Grievances to Claimants, the PWG, PMU and other relevant Stakeholders, as applicable;
- v) Process and propose solutions and ways forward related to specific Grievances within a period not to exceed thirty (30) days from receipt of the Grievance;
- vi) Receive and service requests for, and suggest the use of, mediation or facilitation;
- vii) Refer the grievance/dispute to independent mediation, while maintaining oversight; or

- viii) Determine that the request was outside the scope and mandate of the PWG and refer it elsewhere (e.g. Department of Justice and Police or to the courts).
- ix) Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process;
- x) Collaborate with partner institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;
- xi) Ensure continuing education of PWG members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM;
- xii) Monitor follow up to Grievance resolutions, as appropriate.

#### **4) Communicating a Grievance**

##### **i) Who can Submit a Grievance?**

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project. If a Grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the Claimant must identify the individual and/or people on behalf of who the Grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the Claimant the authority to present the Grievance on their behalf. The GRM Focal Point will take reasonable steps to verify this authority.

##### **ii) How is the Grievance Communicated?**

The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM Focal Point by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PWG members' institutions, District Commissioners, etc.

##### **iii) What information should be included in a Grievance?**

The Grievance should include the following information:

- the name of the individual or individuals making the Complaint (the "Claimant");
- a means for contacting the Claimant (email, phone, address, other);
- if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf;
- the description of the potential or actual harm;
- Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity);
- what has been done by Claimant thus far to resolve the matter;
- whether the Claimant wishes that their identity is kept confidential; and
- the specific help requested from the GRM.

#### **5) Logging, Acknowledgment, and Tracking**

- i) All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.
- ii) Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.

iii) Each Grievance file will contain, at a minimum:

- the date of the request as received;
- the date the written acknowledgment was sent (and oral acknowledgment if also done);
- the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders;
- any requests, offers of, or engagements of a Mediator or Facilitator;
- the date and records related to the proposed solution/way forward;
- the acceptance or objections of the Claimant (or other Stakeholders);
- the proposed next steps if objections arose;
- the alternative solution if renewed dialogues were pursued;
- notes regarding implementation; and
- any conclusions and recommendations arising from monitoring and follow up.

#### **6) Maintaining Communication and Status Updates**

Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested. The GRM will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

#### **7) Monitoring and Evaluation**

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding: measures that can be taken to avoid future harms and Grievances; and improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

#### **8) Mediation**

- i) For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:
  - professional experience and expertise in impartial mediation;
  - knowledge of project type and activities in the country and the region, including an understanding of indigenous and tribal culture and practices;
  - national and local language, as appropriate proficiency;
  - availability in principle for assignments of up to 20 days; and
  - willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.
- ii) If mediation succeeded in resolving the dispute or grievance, the outcome would be documented by the GRM Focal Point and reviewed by the PWG. If it were unsuccessful, stakeholders would have the option to return to the PWG for assistance.

#### **9) Without Prejudice**

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under

national or international law or the rules and regulations of other institutions, agencies or commissions.

## Annex 5: Gender Action Plan

The Gender Action Plan (GAP) describes project-specific actions to address gender differences and gaps, gender-differentiated impacts and risks, and to develop opportunities to promote the empowerment of women that support project objectives and outcomes. Activities are centred on:

- **Prevention:** Addressing the barriers related to gender norms, women’s time and other structural constraints, and gender leadership gaps.
- **Promotion:** Supporting institutions and policies to become more representative and inclusive of women’s decisions in planning, biodiversity landscape and corridor management, and other sustainable solutions.
- **Minimizing:** Identify and reduce likelihood of potential gender disparities because of the implementation of the specific project activities and key interventions.
- **Empowering:** Increase capacity of women in the pilot sites to develop skills sets, access techniques and knowledge required to empower and increase their ability to be participate in the development and management of their natural resources and enhance the potential livelihood options available to them.
- **Advocacy:** Positively transform the negative cultural beliefs that exaggerate gender inequality practices in target provinces, especially the belief that women have no voice or power and therefore cannot have decision making powers.

**Table 10 Gender Action Plan**

| <b>Component 1: Improving spatial data and strengthening integrated land use planning, coordination and management</b>  |   |                          |                               |
|---|---|--------------------------|-------------------------------|
| <b>Outcome 1.1:</b> Investment and land use decision making in EHP and WHP enhanced by using participatory and transparent decision support systems (DSS), backed by comprehensive land use and biodiversity information, and improved access to spatial data |   |                          |                               |
| <b>Project activities</b>   | <b>Targets</b>  | <b>Timeline</b>          | <b>Responsibilities</b>       |
| <b>Output 1.1.1:</b> Biodiversity assessments conducted in the (2) target provinces, including forest assessments supplementing the National Forest Inventory   |   |                          |                               |
| Support key stakeholder agencies to undertake the assessments and associated GIS work and enter the data into the agreed data bases   | Women’s knowledge and views on biodiversity and forests sought as an element of the biodiversity/forest assessments | Throughout the project   | PMU                           |
| <b>Output 1.1.2:</b> Spatial data including gender disaggregated socio-economic data, customary landowner aspirations, development plans and historical land use and land use change in the two target provinces. key gaps and trends identified.             |   |                          |                               |
| Support key stakeholder agencies to undertake the assessments and associated GIS work and enter the data into the agreed data bases, including gender-disaggregated data on access to and control of biodiversity resources                                   | Spatial data systems integrate data on women’s access and control of forest and biodiversity resources.             | Year 1-2                 | PMU, CEPA, PNGFA and partners |
| <b>Output 1.1.3:</b> Biodiversity, socio-economic and historical land use and land use change information of the target provinces is made available through web-interface database systems  |   |                          |                               |
| Incorporate gender disaggregated data sets and search criteria into the web portal  | PNG web portal includes gender disaggregated data   | Year 1 and 2 and ongoing | PMU, CEPA                     |
| <b>Output 1.1.4:</b> Integrated decision support system developed and tested for the Eastern and Western Highlands, based on adaptation of lessons learned on decision support systems elsewhere in PNG.  |   |                          |                               |

|  |   |                 |                         |
|--|---|-----------------|-------------------------|
| Develop detailed design specifications, build and test prototype DSS, ensuring the DSS incorporates gender information.  | Gender information incorporated in the decision support system  | Year 1 to 3     | PMU                     |
| <b>Output 1.1.5:</b> Applications in existing platforms for improved coordination and land use planning are operating  |   |                 |                         |
| Support key stakeholder agencies to strengthen existing platforms for improved coordination and land use planning – including supporting women in these agencies to participate in these platforms   | Women play an effective role in the operation of coordination and land use platforms                          | Year 1-2        | PMU, CEPA               |
| <b>Output 1.1.6:</b> Capacity to undertake integrated planning built amongst at least 100 planners (women and men) at provincial, district, local and ward levels  |   |                 |                         |
| Undertake training of planners [including women] in spatial data and land use map preparation (OpenForis), and participatory land use planning and monitoring  | 40-50 women planners at provincial, district, and LLG level trained   | Year 1 to 3     | PMU                     |
| <b>Output 1.1.7:</b> Priority areas and species for conservation and mainstreaming biodiversity defined through participatory planning with customary landowners and key partners.   |   |                 |                         |
| Involve women customary land custodians in defining priority areas and species for conservation and mainstreaming biodiversity   | Priority areas and species for conservation and mainstreaming biodiversity as defined by women are identified | Year 1          | PMU                     |
| <b>Output 1.1.8:</b> Participatory land and conservation planning assessments and mapping of up to 200,000 hectares of priority areas for agricultural improvement, conservation and forest/grassland restoration.   |   |                 |                         |
| Involve women customary land custodians in participatory land and conservation planning assessments and mapping  | Planning assessments and mapping captures women's knowledge and views   | Year 1 to 2     | PMU                     |
| <b>Output 1.1.9:</b> Land use monitoring systems for the two target provinces established.   |   |                 |                         |
| Incorporate relevant gender and youth information in the land use monitoring system  | Land use monitoring system includes data on gender and youth  | Year 1 to 3     | PMU                     |
| <b>Output 1.1.10:</b> Integrated decision support system used by stakeholders to identify sites of high importance for global biodiversity for at least four existing and potential Community Conservation Areas (CCA) and other protected areas, areas where deforestation and ecosystem degradation should be avoided, areas for restoration, and areas for economic development.  |   |                 |                         |
| Involve women in processes to identify sites of high importance for global biodiversity  | Capture women's knowledge and views on sites of high importance for global biodiversity                       | Year 1 to 3     | PMU                     |
| <b>Output 1.1.11:</b> Integrated land use plans and updated forest plans for two target provinces, that support both biodiversity and climate change objectives, prepared through highly participatory stakeholder processes involving both women and men.   |   |                 |                         |
| Engage women in participatory stakeholder processes for developing land use plans and updated forest plans that support biodiversity and climate change objectives   | Capture women's Knowledge and views in land use plans and updated forest plans                                | Year 1 to 3     | PMU                     |
| <b>Component 2:</b> Scaling up landscape-level action for integrated conservation & sustainable supply chain development<br><b>Outcomes for Component 2:</b><br>2.1 Key value chains for sustainably harvested products strengthened/established and financial and market support mechanisms for forest and farm producer organizations made available.<br>2.2 Improved biodiversity conservation in targeted protected areas (including CCAs) |   |                 |                         |
| <b>Project activities to</b>   | <b>Targets</b>  | <b>Timeline</b> | <b>Responsibilities</b> |



|  |  |              |          |
|--|--|--------------|----------|
| <b>Output 2.1.1:</b> A review of the farming and forest use systems (gender disaggregated) of the target provinces has identified options for gender sensitive, biodiversity friendly and climate resilient practices and approaches.  |  |              |          |
| Assess farming and forest use systems (gender disaggregated) and options for gender sensitive, biodiversity friendly and climate resilient practices in priority sites. Facilitate targeted communities to identify women lead farming families.                                   | The review of farm and forest use systems incorporates women's knowledge   | Year 1-2     | PMU      |
|  | Options for biodiversity friendly and climate resilient practices and approaches identify how women and men access and differentially utilize biodiversity and ecosystem services. | Year 1-2     | As above |
| <b>Output 2.1.2:</b> 1,000 model farming families (MFFs) are promoting improved farming and forest management systems, including forest restoration and agroforestry, and biodiversity friendly and climate resilient practices amongst farming families within their MFF cluster. |  |              |          |
| 20,000 women in farming families in the target provinces supported to improve their farming and forest management systems  | 41,000 farming families (men and women) adopt improved management practices.   | Years 2 to 4 | PMU      |
| <b>Output 2.1.3:</b> Assessments of specific gender sensitive, biodiversity friendly and climate resilient value chains in each MFF cluster conducted, and improvement plans prepared  |  |              |          |
| Design assessment framework and compile data for sectoral or value chain analysis that prioritize women's economic opportunities and incentives  | 100% of the assessments include benefits from biodiversity conservation and SFM for local women's groups.  | Year 2-3     | PMU      |
| Support MFFs and their FFPOs to develop value chain improvement that are central to women's needs, interests, and expertise  | 100% of improvement plans include women stakeholders' needs and interests.   | Year 2-3     |          |
| <b>Output 2.1.4:</b> MFFs and their FFPOs in each MFF cluster have developed bankable business plans for biodiversity friendly and climate-resilient products and their related technologies.  |  |              |          |
| Involve women stakeholders in identifying and selecting preferred forest and farm product value chains   | At least 50% of the MFFs and their FFPOs include women as key actors.  | Year 3-4     | PMU      |
| Enable women to participate in developing bankable business plans for biodiversity friendly and climate-resilient products   | All bankable business plans include women stakeholders' needs and interests.   | Year 3-4     |          |
| <b>Output 2.1.5:</b> MFFs and their FFPOs in each MFF cluster have developed their biodiversity friendly and climate-resilient production options into small-scale farm enterprises  |  |              |          |
| Support targeted women to develop their small-scale farm enterprises   | 250 women led small-scale forest enterprises successfully operating.   | Year 1-2     | PMU      |
| <b>Output 2.2.1.</b> Review of the five existing gazetted protected areas in the two target provinces conducted and Statements of Management Intent (SMI) developed, and management plans prepared   |  |              |          |
| Support women to engage in the review of protected areas and communicate their concerns to the management (improvement) plans  | Review of five existing (gazetted) protected areas and preparation of management plans involves effective participation of women stakeholders                                      | Year 1-2     | PMU      |
| <b>Output 2.2.2.</b> Targeted customary landowners (women, men and youth) supported to identify and plan five community conserved areas (CCAs) under relevant policies and laws, and to manage their areas effectively.  |  |              |          |
| Support Women to identify needs from CCAs. Develop capacity and  | CCA's capture women and youth needs as well as men.  | Year 1-2     | PMU      |

|   |   |                        |                               |
|---|---|------------------------|-------------------------------|
| capabilities of women stakeholders to identify, plan and manage CCAs  |   |                        |                               |
| <b>Output 2.2.3.</b> Management effectiveness of five existing protected areas, (including existing CCA) improved.  |   |                        |                               |
| Support Women to develop capacity to manage CCAs  | Improved CCA plans have 30% women and youths playing effective roles.   | Year 1-2               | PMU                           |
| <b>Component 3:</b> Strengthening the enabling environment and governance structures for integrated landscape/land use planning, coordination and management<br><b>Outcome for Component 3:</b> Integrated decision support systems for land use management of the targeted landscapes enabled by adequate policies and methodologies |   |                        |                               |
| <b>Project activities</b>   | <b>Indicators and Targets</b>   | <b>Timeline</b>        | <b>Responsibilities</b>       |
| <b>Output 3.1.1:</b> Strengthened national and provincial regulatory frameworks for the conservation and sustainable use of multi-functional landscapes   |   |                        |                               |
| The regulatory frameworks for conservation and sustainable use of multi-functional landscapes support effective participation of women and marginalized groups to address gender gaps.  | Review of existing regulatory frameworks is gender sensitive and enables effective participation from women and marginalized groups.                                | Year 1-2               | PMU, CEPA, PNGFA and partners |
| <b>Output 3.1.2:</b> National and provincial policy and regulations (4) on agricultural, fisheries and forestry commodity trading strengthened to support gender sensitive, biodiversity friendly and climate resilient practices and approaches  |   |                        |                               |
| Support women and marginalized groups to identify gender gaps in the review of policy regulations on agricultural, fisheries and forestry commodity trading and develop gender equality practices and approaches.   | National and provincial policy and regulations on agricultural, fisheries and forestry commodity trading must have gender equality practices and approaches         | Year 1-2               | As above                      |
| <b>Component 4:</b> Effective knowledge management, monitoring and evaluation<br><b>Outcome for Component 4:</b> Stakeholders and the project benefit from the project's knowledge management and monitoring and evaluation systems   |   |                        |                               |
| <b>Project activities</b>   | <b>Targets</b>  | <b>Timeline</b>        | <b>Responsibilities</b>       |
| <b>Output 4.1:</b> Monitoring and evaluation of project progress on a regular basis using harmonized, gender disaggregated, monitoring and learning approaches (at local and national level.  |   |                        |                               |
| Design project monitoring and evaluation (M&E) system that incorporate monitoring women's access and control of biodiversity and forest resources management as well as socio-economic benefits. Keep track of relevant data and stories on women farmers and/or leaders  | Gender elements incorporated into monitoring system for biodiversity and socio-economic indicators  | Throughout the project | PMU, M&E, and gender expert   |
| Integrate gender elements or responsibilities in staff ToRs, recruitment, and performance appraisal processes   | 100% of project staff TORs include gender equality performance appraisal<br>Staff recruitment processes include gender requirements or gender awareness/sensitivity | Year 1 - 4             | PMU                           |
| Train project staff and partners on gender mainstreaming and sensitivity  | Project and partner staff demonstrate knowledge of gender sensitivity and   | Year 1 - 4             | PMU and partners              |

|   |  |              |  |
|---|--|--------------|--|
|   | importance of mainstreaming gender equality practices.<br>20-30 % of staff in partner agencies trained to identify women's rights to access and control over resources and ways to address the gaps. |              |  |
| Design and utilize a gender-disaggregated project database system using national and international criteria which are consistent and do not contradict    | Gender disaggregated project data base functioning that includes gender information on access, control, and decision-making mechanisms in resource management.                                       | Year 1- 4    | PMU  |
| <b>Output 4.1.2: Knowledge sharing strategy developed, and lessons and best practices disseminated in appropriate formats at local and national level</b> |  |              |  |
| Enable local women and youth leaders or champions to present and share their knowledge and lessons/best practices   | At least 4 knowledge products on gender equality in biodiversity corridor and forest management shared at national and regional platforms with women's participation                                 | Year 3 and 4 | Project team, communication, and gender expert |
| Organize and publish women and youth stories through various knowledge communication products   | Stories published should include sharing with relevant government departments or implementing partners   | Years 1-4    | PMU  |

## Annex 6: Stakeholder Engagement Plan

No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of project; the diverse interests of stakeholders; the scale of the project's potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

A "simplified" stakeholder engagement plan has been described in the body of the Project Document (no separate plan is needed).

The project will consider the need to elaborate a more strategic plan in the first six months of inception. This plan will outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and consent processes and the needs for monitoring and evaluation. A detailed stakeholder engagement plan will address basic minimum criteria that consider the following checklist.

**Table 11. Key questions for developing a stakeholder engagement plan.**<sup>53</sup>

|   |
|---|
| Who/which stakeholder groups and individuals are to be engaged based on the stakeholder analysis? |
| Have potentially marginalized groups and individuals been identified among stakeholders?          |
| Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?      |
| What is the breadth and depth of stakeholder engagement at each stage of the project cycle?       |
| What decisions need to be made through stakeholder engagement?                                    |
| How will stakeholders be engaged (strategy and methods, including communications)?                |

<sup>53</sup>

As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43

|  |
|--|
| Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?   |
| When What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?   |
| Responsibilities How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)? |
| What role will stakeholder representatives play?   |
| Are stakeholder engagement facilitators required?  |
| Resources What will the stakeholder engagement plan cost and under what budget?  |

Building mutual trust and ensuring meaningful and effective engagement will be facilitated by stakeholder ownership of the relevant processes. All efforts will be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes. Cultural understanding and awareness are central to meaningful stakeholder engagement.

#### Indicative Outline of a Comprehensive Stakeholder Engagement Plan.

- 1) **Introduction:** Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area
- 2) **Regulations and Requirements:** Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.
- 3) **Summary Of Any Previous Stakeholder Engagement Activities:** If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
  - i. the type of information disclosed, in what forms and languages and how it was disseminated;
  - ii. locations and dates of any meetings;
  - iii. individuals, groups, and organizations that have been consulted;
  - iv. key issues discussed and key concerns raised;
  - v. responses to issues raised, and the process undertaken for documenting these activities and reporting back to stakeholders.
- 4) **Project Stakeholder:** List and describe the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
  - i. Are directly and/or indirectly affected by the project;
  - ii. Have “interests” in the project that determine them as stakeholders;
  - iii. Have the potential to influence project outcomes or operations;
  - iv. Examples of potential stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labour unions, academics, religious groups, national environmental and social public sector agencies, and the media;
  - v. Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited;
  - vi. Identify project-affected marginalized and disadvantaged stakeholders, including persons with disabilities;

- vii. Identify limitations for understanding project information and participating in consultation process (e.g., language differences, lack of transportation, accessibility of venues, disability);
  - viii. Develop measures to support and accommodate engagement (e.g., provide information in accessible formats, choose convenient locations for consultations, ensure venues are accessible, provide transportation to meetings, change time of meetings to accommodate needs, provide facilitation and explain complex issues and terminology, provide support workers for assisting participants with disabilities, provide simultaneous interpretation (language, signing).
- 5) Stakeholder Engagement Plan
- i. Summarize the purpose and goals of the stakeholder engagement plan
  - ii. Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified.
  - iii. Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4.
  - iv. Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
  - v. Where relevant, define activities that require prior consultation and FPIC from customary landowners and local communities
  - vi. Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
  - vii. Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders.
- 6) **Timetable:** a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken
- 7) **Resources And Responsibilities:** Indicate who will be responsible for carrying out the specified stakeholder engagement activities and Specify the budget and other resources allocated toward these activities
- 8) **Grievance Mechanism:** Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant?
- 9) **Monitoring and Reporting**
- i. Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
  - ii. Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

### **Specific Guidance for Customary Landowners and Local Communities**

Special provisions for customary landowners and local communities must be integrated into the overall Stakeholder Engagement Plan, recognizing and accounting for the diversity of customary landowners and traditional local populations. The following sections should be included into the SEP:

- 1) **Description of Affected Customary Landowners/Groups:** A description of affected customary landowners, groups and local community(ies), and their location including
- a) Description of the community or communities constituting the affected people (e.g. tribes, clans, dialects, estimated numbers, etc.)

- b) Description of the resources, lands and territories to be affected and the affected communities connections/relationship with these resources, lands and territories; and
  - c) An identification of any vulnerable groups within the affected peoples (uncontacted and voluntary isolated communities, women and girls, the disabled and elderly, others).
- 2) **Summary of Substantive Rights and Legal Framework:** A description of the substantive rights of customary landowners and traditional peoples and the applicable legal framework, including:
- a) Applicable domestic and international laws affirming and protecting the rights of customary landowners and traditional communities'
  - b) Analysis as to whether the Project involves activities that are contingent on establishing legally recognized rights to lands, resources, or territories that customary/traditional peoples have habitually owned, occupied or otherwise used or acquired. Where such contingency exists include:
    - Identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and
    - List of the activities that are prohibited until the delimitation, demarcation and titling is completed.
  - c) Analyze whether the Project involves activities that are contingent on the recognition of the juridical personality of the affected customary/traditional peoples<sup>54</sup>. Where such contingency exists:
    - Identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected customary/traditional peoples; and
    - List of prohibited activities until the recognition is achieved.
- 3) **Summary Of Social And Environmental Assessment And Mitigation Measures**
- a) A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. limited assessment, ESA, as applicable) – specifically those related to customary/traditional peoples, their rights, lands, resources and territories. This should include the manner in which the affected peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.
  - b) Where potential risks and adverse impacts to customary/traditional peoples, their lands, resources and territories are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Identify the special measures to promote and protect the rights and interests of the customary/traditional peoples including compliance with the affected peoples' internal norms and customs.
  - c) If the Project will result in the relocation of customary/traditional peoples from their lands and territories, a description of the consultation and FPIC process leading to the resulting agreement on relocation and just and fair compensation, including the possibility of return.
  - d) A description of measures to protect traditional knowledge and cultural heritage in the event that the Project will result in the documentation and/or use and appropriation of such knowledge and heritage of the customary/traditional peoples and the steps to ensure FPIC before doing so.
- 4) **Participation, Consultation, And FPIC Processes**
- a) A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples' which led to the customary/traditional peoples' support for the Project.

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<sup>54</sup> Example, an Incorporated Land Group.

- b) A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the Project. Identify particular Project activities and circumstances that shall require consultation and FPIC.
- 5) **Appropriate Benefits:** And identification of the measures to be taken to ensure that customary/traditional peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.
- 6) **Capacity Support**
  - a) Description of Project activities aimed at increasing capacity within the government and/or the affected customary/traditional peoples, and facilitating exchanges, awareness, and cooperation between the two.
  - b) Description of measures to support social, legal, technical capabilities of customary/traditional peoples' organizations in the project area to enable them to better represent the affected customary/traditional peoples more effectively
  - c) Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country's duties and obligations under international law with respect to the rights of indigenous peoples.

## Annex 7: Community Surveys

Community-level questionnaires were prepared and results of the surveys incorporated.

## Annex 8: Indicative Outline of Environmental and Social Analysis

Executive summary

- a. Project description
- b. Significant risks/issues
- c. Stakeholder engagement
- d. Mitigation

Introduction

- a. Project overview and justification
- b. ESA process
  - 1. Project description
    - 1.1 Project location and siting
    - 1.2 Description of project activities with associated infrastructure
    - 1.3 Identification of stakeholders/beneficiaries
    - 1.4 Supply chains
  - 2. E&S baseline
    - 2.1 Current state of the environment and current socio-economic conditions in the project site area
    - 2.2 Potential future changes foreseen as a result of the planned activities
  - 3. Impact assessment
    - 3.1 Significant E&S impacts
    - 3.2 Ranking of risks/impacts by significance
    - 3.3 Alternatives to project to avoid/minimize impacts

3.4 Unintended outcome: impacts beyond the project's area of influence

#### 4. Mitigation

4.1 Discussion of mitigation hierarchy opportunities

4.2 Indicators to monitor mitigation effectiveness

4.3 Review of applicable legislation

4.4 Particular attention to FAO ESS 1 to 9

#### 5. Stakeholder consultation

5.1 Scoping consultation

5.2 Consultations on significant risks/impacts

5.3 Mitigation consultations

5.4 Grievance mechanism

#### 6. Recommendations

6.1 Proceed/do not proceed with project

6.2 Recommendations

The contents of the ESA will significantly vary depending on the specific characteristics of each project. This provides schematic outline of the key elements.

## Annex 9: Indicative Outline of Environmental and Social Management Plan

### Part I

#### 1. Mitigation action plan

1.1 Mitigation measures from the E&S analysis/ESA

1.2 Justification of mitigation hierarchy<sup>72</sup>

### Part II

#### 2. Mitigation implementation

2.1 Recipients institutional/organizational structure to implement mitigation

2.2 Roles and responsibilities

2.3 Budget

2.4 Time frames specified for each mitigation action

#### 3. Monitoring and reporting

3.1 Mitigation indicators to be monitored

3.2 Time frame agreed

3.3 Report on findings template

3.4 Reporting time frame

#### 4. Adaptive management

4.1 Where project changes occur, unforeseen circumstances arise, or monitoring determines a need to change mitigation plan, it is changed in accordance with an agreed adaptive management process.



## Annex 10: Project Activities

The following activities<sup>55</sup> will be implemented throughout the Project.

### **Component 1: Strengthening integrated land use planning, coordination and management through improved spatial data and decision support systems**

1. This component will strengthen the linkages between conservation planning and production landscapes by improving access to spatial data (including information on high conservation values, suitability of land for development activities and current and proposed development) and the use of decision support systems (DSS) that promote integrated land use planning, coordination, and management. The resulting improvements to spatial data and DSS will enable decision makers to identify and analyze opportunities to protect biodiversity, encourage climate resilient and gender sensitive approaches, promote sustainable land use and mitigate harmful development impacts.

#### **Outcome 1.1: Investment and land use decision-making in EHP and WHP enhanced by using highly participatory and transparent decision support systems (DSS), backed by comprehensive land use and improved access to biodiversity information and linked spatial data.**

2. Currently, there is limited participation in decision-making over land use and development in the EHP and WHP. This situation is exacerbated by limited access to information and, for most rural PNG communities, a lack of access to markets and technology. Strengthening access to information, including relevant technical data, through information systems based on appropriate technology, supported by adequate staffing is vital to improving the situation. This Outcome assumes that participatory data collection, mapping and monitoring will help improve land use planning at farm, local, district and provincial levels, leading to better decision-making.
3. **Outcome indicator:** The extent to which investment and land use decisions in EHP and WHP is enhanced using DSS and improved data sets (disaggregated by type, location and scale of investment).
4. This Component has 11 Outputs. i) The first output aims to collect information on the state and trend of biodiversity and forests in the two target provinces that is critical for the other components of the project. ii) The second output collects additional spatial data that is required for land use planning and seeks to identify key gaps and trends in spatial data. iii) The third output takes the information from the first two outputs and makes it available through a web portal. iv) The fourth output uses the data from the first three outputs to develop an integrated DSS. v) The fifth output focuses on improving applications in existing platforms for improved coordination and land use planning so that they can use the information from the first two outputs and integrate with the third and fourth outputs, to enable scaling up and greater sustainability. vi) The sixth output develops capacity of planners to use the data and systems established in the previous outputs. vii) The seventh output draws on the spatial data, the DSS and developed capacity to identify priority areas and species for conservation and mainstreaming biodiversity. viii) The eighth output draws on the spatial data, the DSS and developed capacity to enable stakeholders, and particularly customary landowners, to undertake participatory land and conservation planning assessments and mapping for agricultural improvement, conservation, and forest/grassland restoration. ix) The ninth output further develops land use monitoring systems for WHP and EHP that will use the spatial data and DSS that has been developed. x) The tenth output uses the DSS to identify sites of high importance for global biodiversity. xi) The eleventh output draws on the spatial data, the DSS and developed capacity to develop integrated land use plans and update forest plans for WHP and EHP.

#### **Output 1.1.1: Biodiversity/forest assessments conducted in two target provinces, including forest assessments supplementing the National Forest Inventory.**

5. The Government of PNG conducted a national-scale forest and land use change assessment between 2001 and 2015, and the results were used for planning the National Forest Inventory as well as for

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<sup>55</sup> Extracted from the ProDoc dated 10 September 2021.

international reports such as the Forest Reference Level (FRL) and the Biennial Update Report (BUR) Technical Annex to the UNFCCC. The Government of PNG has conducted a similar assessment between 2016 and 2019 to update the results and reports. The assessments used the point sampling method and there was no mapping data prepared. Several national-scale mapping assessments have been undertaken in the past, including in 2012 by the PNGFA, supported by JICA, and in 2015 by CCDA, supported by FAO (called TerraPNG using the Brazilian TerraAmazon system), but these assessments have not been updated. There are no updated mapping data with the level of detail required to support land use planning at provincial, district or community levels. Recent development of innovative technology enables mapping assessments based on remote sensing which overcomes many of the difficulties previously faced in mapping tropical rainforest. The project will use the approaches developed for PNG's multipurpose National Forest Inventory (NFI) and collect information on timber volume, non-timber forest products, carbon stock, soil characteristics, biodiversity (both flora and fauna), and socio-economic aspects of PNG forests.<sup>56</sup>

6. This Output will provide key information and data necessary for the other Outputs, particularly for identifying priority species and areas of globally important biodiversity (Output 1.1.7). Activities to deliver this Output include:
  - Activity 1.1.1.1 Review lessons learned on biodiversity/forest assessments from past and current projects and programs, published literature and other sources.
  - Activity 1.1.1.2 Support stakeholder agencies to develop plans for undertaking the two biodiversity/forest assessments, including a stakeholder engagement plan.
  - Activity 1.1.1.3 Support key agencies to identify data sources and gaps, logistic, material/equipment and human resource needs for the assessment, recruit and build capability of survey teams.
  - Activity 1.1.1.4 Support key agencies to secure support from customary land owners, undertake the assessments and associated GIS work and enter the data into the agreed data bases.
  - Activity 1.1.1.5 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** Multipurpose provincial biodiversity/forest assessments that incorporate gender-based knowledge completed in WHP and EHP.

**Indicators:** Number of multipurpose provincial biodiversity/forest assessments that incorporate gender-based knowledge completed.

**Output 1.1.2:** Spatial data including gender disaggregated socio-economic data, customary landowner aspirations, development plans and historical land use and land use change in the two target provinces, and key gaps and trends in data identified.

7. This Output focuses on identifying spatial data, gaps and trends in locations that are considered by CEPA as priorities for biodiversity conservation. Such data provides a critical input for decision support systems (Output 1.1.4) and for integrated land use plans and forest plans (Output 1.1.11).
8. Key activities to deliver this Output include:
  - Activity 1.1.2.1 Support key agencies to collect, and review gaps in existing, spatial data including gender disaggregated socio-economic data, customary landowner aspirations, development plans and historical land use and land use change in the two target provinces and lessons learned on land and conservation planning assessments from past and current projects and programs, published literature and other sources.
  - Activity 1.1.2.2 Support key agencies to develop plans for securing additional spatial data and undertaking participatory land and conservation planning assessments, including securing agreement on the scale of the assessments the scope of a stakeholder engagement plan and identifying capacity and capability needs.

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<sup>56</sup> <http://www.fao.org/in-action/png-multipurpose-national-forest-inventory/fr/>

- Activity 1.1.2.3 Support key agencies to develop capacities and capabilities for undertaking participatory land and conservation planning assessments.
- Activity 1.1.2.4 Support key agencies to secure support from customary land owners, undertake the assessments and associated GIS work and enter the data into the agreed data bases, including gender-disaggregated data on access to and control of biodiversity resources.
- Activity 1.1.2.4 Communicate best practices and lessons from the process to support evidence-based policy making and action and promote replication.

**Target:** Gender disaggregated spatial data for EHP and WHP collected, analyzed, and stored. Key gaps and trends in data identified.

**Indicators:** Number and type of data sets available and being used (including gender disaggregated)

**Output 1.1.3:** Biodiversity, socio-economic and historical land use and land use change information of the target provinces is made available through web-interface database systems.

9. While Output 1.1.1 and 1.1.2 are focused on collecting data and information, this output focuses on integrating this data into a web-based Environment Management Information System (EMIS) that is accessible to stakeholders with internet access (e.g. national, provincial, district and some local partners). This system will enhance the existing web-based portal (PNG REDD+ and Forest Monitoring Web-Portal, hereinafter called the existing Web-Portal) that is co-managed by CCDA and PNGFA. Through the project, management of the EMIS will be expanded to include CEPA and other relevant agencies. The through the project will be hosted by FAO and supported by a global cloud server, which guarantees sustainability of the system and ensures it is accessible to PNG users through the internet. In terms of sustainability and expansion of the system the emphasis will be on maintaining a national system, while enhancing provincial and sub-provincial level information. This output will develop historical time-series and current land use maps and plans for WHP and EHP that integrate with the national system. Key activities to deliver this Output include:
- Activity 1.1.3.1 Support key agencies to analyse lessons on EMIS from past and current projects and programs, published literature, web sites and other sources.
  - Activity 1.1.3.2 Support key agencies to use the lessons learned and information from provincial biodiversity/forest assessments (Output 1.1.1) and spatial data collected through Output 1.1.2 to identify the basic design criteria for the EMIS.
  - Activity 1.1.3.3 Support the upgrading of the web-platform that hosts spatial data (PNG REDD+ and Forest Monitoring Web-Portal) and the development of the Near Real-time Deforestation Alerts and Monitoring System for operational Decision Support System (DSS).
  - Activity 1.1.3.4 Update the EMIS Web-Portal with collected data and land use maps.
  - Activity 1.1.3.5 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** PNG web portal operational with gender disaggregated spatial data from WHP and EHP.

**Indicators:** PNG web portal enhanced and populated with data including land use maps. Gender search criteria available in the web portal.

**Output 1.1.4:** Integrated decision support system developed and tested for the Eastern and Western Highlands, based on Adaptation of lessons learned on decision support systems elsewhere in PNG.

10. A decision support system (DSS) combines databases, analytical and knowledge management tools and inputs from stakeholders, often through web-based systems. DSSs enable the integrated analysis of a wide variety of spatial data that can help stakeholders to a) consider the scale, location and trend of existing and planned activities that impact on or are likely to impact livelihoods, gender equity and conservation values and b) make more informed investment and lands use decisions. A wide variety of DSS tools exist that can be readily adapted for the PNG context.
11. The National Forest Monitoring System (NFMS) has Monitoring, Measurement, Reporting, and Verification (MRV) functions within the REDD+ and Forest Monitoring Web-Portal, Near Real-time Deforestation Alerts and Monitoring System, and Open Foris: Collect Earth & SEPAL. These

systems link with other systems in PNG, such as the PNG Data Portal (Environment Information for Decision Making) under CEPA, the Satellite Land Monitoring System (SLMS) under CCDA, and the Forest Resource Information Management System (FRIMS) and Decision Support System (DSS) under PNGFA. The system will collaborate with other existing systems under DAL, Mineral Resources Authority (MRA), DLPP, and the National Statistical Office (NSO).

12. This output will build on these existing systems and seek to build a DSS to be used at provincial and sub provincial levels. It will use data and information provided through Outputs 1.1.1 and 1.1.2 and link to the Environment Management Information System (Output 1.1.3). This Output is a critical input to Component 3. Key activities to deliver this Output include:
  - Activity 1.1.4.1 Support key stakeholder agencies to analyse lessons on Decision Support Systems (DSS) from past and current projects and programs, published literature and other sources.
  - Activity 1.1.4.2 Support key stakeholder agencies to use the lessons learned and information from provincial biodiversity/forest assessments to identify the basic design criteria for the DSS.
  - Activity 1.1.4.3 Develop detailed design specifications, build and test prototype DSS with key stakeholders.
  - Activity 1.1.4.4 Develop guidelines and training modules for use of the DSS and provide the DSS, guidelines and training to targeted stakeholders.
  - Activity 1.1.4.5 Communicate lessons from the DSS development and roll-out process to support evidence-based policymaking and action and promote replication.

**Target:** DSS systems that draw on the provincial biodiversity/forest assessments and gender information available for integrated land use and investment decision making.

**Indicators:** Number and type of decision support systems in use.

**Output 1.1.5: Applications in existing platforms for improved coordination and land use planning are operating.**

13. The PNG REDD+ and Forest Monitoring Web-Portal<sup>57</sup> provides access to information on forests, land use, environment, climate change, soils, geology, agriculture, and infrastructure. The web portal was developed jointly by the Climate Change and Development Authority (CCDA) and PNGFA. Various government agencies and private sector actors are responsible for providing data for the web-portal. The Capacity Building Initiative for Transparency (CBIT) project has supported updating of the Web-Portal and its contents. This Project will provide further support to the web portal by supporting the improvement of applications in existing platforms for improved coordination and land use planning.
14. The project will collaborate with several agencies and projects to upgrade the web-platform for hosting spatial data (PNG REDD+ and Forest Monitoring Web-Portal) and developing Near Real-time Deforestation Alerts and a Monitoring System for the DSS. Despite some challenges in attributing differential contributions of particular land-uses to the state and trend of biodiversity and ecosystem services, the approach that the project will take with spatial data, DSS, the web portal and land use planning holds great potential for improving the planning of multifunctional landscapes and for attracting the necessary resources, collaboration and partnerships. The approach will utilize the information presented by stakeholders who have a mutual interest to develop a shared platform for improved land use management and conservation planning.
15. This output focuses on Barriers A - Information and knowledge, and C - Capacity and Capability. It provides a means for a) sharing the spatial data generated through Outputs 1.1.1 and 1.1.2, and b) enhancing the Web portal developed in Output 1.1.4 and the DSS developed in output 1.1.4. Key activities to deliver this Output include:

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<sup>57</sup> <http://png-nfms.org/portal/>

- Activity 1.1.5.1 Review lessons learned on applications within existing platforms for improved coordination and land use planning from past and current projects and programs, published literature and other sources.
- Activity 1.1.5.2 Support key agencies to develop plans for developing/improving applications existing platforms for improved coordination and land use planning.
- Activity 1.1.5.3 Support key agencies to identify data sources and gaps, logistic, material/equipment and human resource needs and strengthen applications in existing platforms for improved coordination and land use planning. Including improving the functionality and operation of the Web-Portal and Deforestation Alerts.

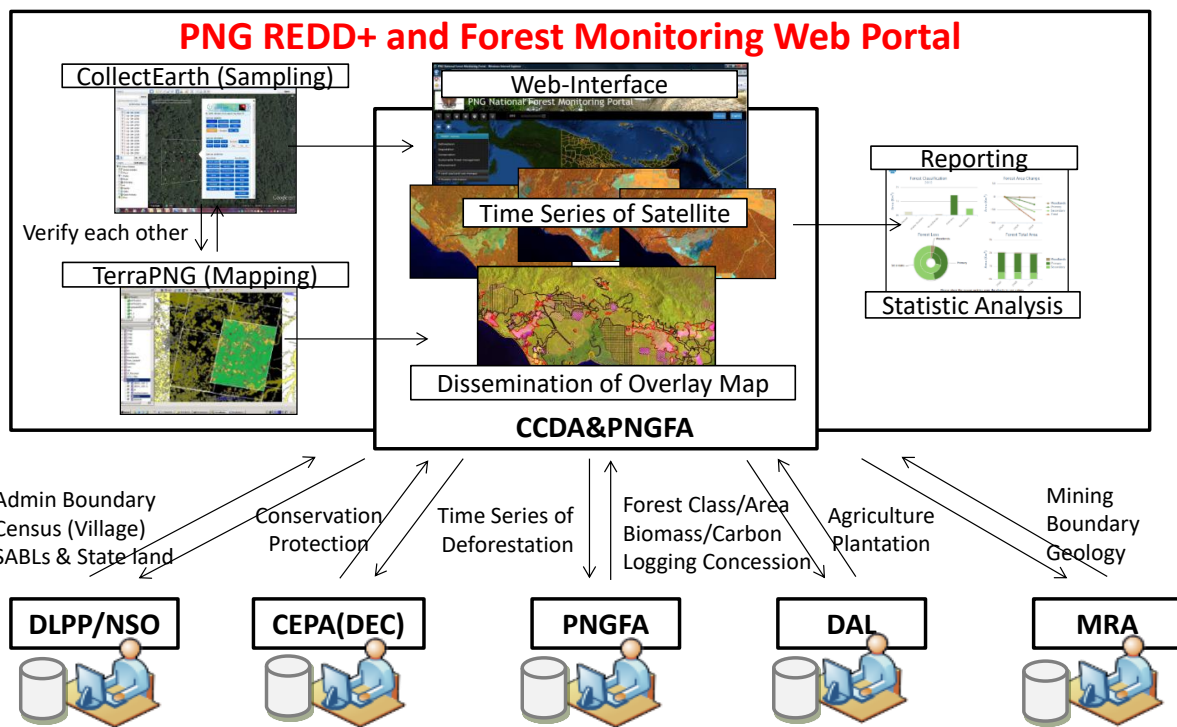


Figure 4 Overview of the PNG REDD+ and Forest Monitoring Web-Portal

**Target:** Eight applications in existing platforms (2 provincial, 2 district, 4 local) operational for improved coordination and land use planning.

**Indicators:** Number of applications in existing platforms operational for improved coordination and land use planning for improved coordination and land use planning.

**Output 1.1.6:** Capacity to undertake integrated planning built amongst at least 100 planners (women and men) at provincial, district, local and ward levels.

16. The utility of the data and tools developed through Outputs 1.1.1 to 1.1.5 depend on addressing Barrier C capacity and capability. Output 1.1.6 focuses on developing capacity at provincial, district, local and ward levels to use the spatial data, web portal, apps DSS to undertake integrated planning. The approach that the project will take to integrated planning differs from the conventional, and largely unsuccessful, top-down planning by government agencies and instead aims to match local knowledge, interests and needs of customary landowners with national and provincial goals for conserving globally important biodiversity, sustainable development and improving livelihoods and human well-being. Output 1.16 is critical to the success of outputs 1.1.7 to 1.1.11 and Components 2 and 3. Key activities to deliver this Output include:

- Activity 1.1.6.1 Support key agencies to collect and review lessons learned on integrated planning capacity building from past and current projects and programs, published literature and other sources.

- Activity 1.1.6.2 Through participatory processes with key agencies, design, test and refine training modules on spatial data and land use map preparation (OpenForis), and participatory land use planning and monitoring.
- Activity 1.1.6.3 Undertake training of planners in spatial data and land use map preparation (OpenForis), and participatory land use planning and monitoring.
- Activity 1.1.6.4 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** 100 planners have skills to undertake integrated planning (10 provincial officers in the two provinces, 24 personnel from 12 district administrations, and 66 representatives of 33 local level governments, including ward levels).

**Indicators:** Number of planners who have skills to undertake integrated planning.

**Output 1.1.7: Priority areas and species for conservation and mainstreaming biodiversity defined through participatory approaches with customary landowners and key partners.**

17. Output 1.1.7 will use the data, tools and capacity developed in Outputs 1.1.1 to 1.1.6 to support participatory approaches with customary landowners and key partners to identify priority areas and species for conservation and mainstreaming biodiversity. These priority areas will be the primary locations for site specific project interventions for biodiversity conservation (Component 2). Key activities to deliver this Output include:

- Activity 1.1.7.1 Support key agencies to analyse lessons on participatory processes for identifying priority areas and species for conservation and mainstreaming biodiversity from past and current projects and programs, published literature and other sources.
- Activity 1.1.7.2 Support key agencies to develop plans for undertaking participatory approaches with customary landowners and key partners, including logistic, material/equipment and human resource needs, an agreement on the scale of the assessments and a stakeholder engagement plan.
- Activity 1.1.7.3 Support key agencies to undertake participatory approaches with customary landowners, including women and youth, and key partners to identify priority areas and species for conservation and mainstreaming biodiversity.
- Activity 1.1.7.4 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** Six priority areas and species for conservation and mainstreaming biodiversity defined.

**Indicators:** Number and type of priority areas and species for conservation identified (HCV: High Conservation Value probability maps provide a base for planning).

**Output 1.1.8: Participatory land and conservation planning assessments and mapping of up to 200,000 hectares of priority areas for agricultural improvement, conservation and forest/grassland restoration.**

18. Output 1.18 complements Output 1.17, but focuses on identifying priority areas for agricultural improvement, conservation, and forest/grassland restoration within the overall primary locations (high conservation value areas) identified in Output 1.1.8. These priority areas will be the primary locations for site specific project interventions for improving farm and forest management, notably in buffer zones. Key activities to deliver this Output include:

- Activity 1.1.8.1 Support key agencies to analyse lessons on land and conservation planning assessments and mapping from past and current projects and programs, published literature and other sources.
- Activity 1.1.8.2 Support key agencies to develop plans for undertaking participatory land and conservation planning assessments, including an agreement on the scale of the assessments and a stakeholder engagement plan.
- Activity 1.1.8.3 Support key agencies to recruit and build capability of teams and secure resources for participatory land and conservation planning assessments.

- Activity 1.1.8.4 Support key agencies to secure support from customary land owners and undertake the participatory assessments and associated GIS work, enter the data into agreed data bases and develop maps.
- Activity 1.1.8.5 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** Assessments and maps that identify priority areas for improving agriculture, forest and grassland management in and near priority areas for biodiversity conservation completed in both provinces.

**Indicators:** Number of assessments and maps completed in and near priority areas for biodiversity conservation.

**Output 1.1.9:** Land use monitoring systems for the two target provinces established.

19. Longer term sustainability of the land use planning systems, spatial data management and DSS will be improved if a long-term monitoring, evaluation and learning (MEL) system is put in place. Monitoring will provide information on the impact and effectiveness of efforts to conserve biodiversity and improve livelihoods. This output takes the data and tools developed in Outputs 1.1.1 to 1.1.5 and through a participatory process with key stakeholders to develop a MEL system that will help a wide range of users. Key activities to deliver this Output include:

- Activity 1.1.9.1 Support key stakeholder agencies to analyse lessons on land use monitoring systems from past and current projects and programs, published literature and other sources.
- Activity 1.1.9.2 Support key stakeholder agencies to use the lessons learned and information from provincial biodiversity/forest assessments to identify the key requirements for a land use monitoring system.
- Activity 1.1.9.3 Develop detailed design specifications (including information on gender and youth), build and test the land use monitoring system with key stakeholders.
- Activity 1.1.9.4 Develop guidelines and training modules for use of the land use monitoring system and provide the land use monitoring system, guidelines and training to targeted stakeholders (linking to Outcomes 2.2 and 3.1).
- Activity 1.1.9.5 Communicate lessons from the land use monitoring system development and roll-out process to support evidence-based policymaking and action and promote replication.

**Target:** Operational land use monitoring systems, including gender-disaggregated data, of target areas being used effectively at provincial level.

**Indicators:** Land use monitoring systems being used effectively at provincial level.

**Output 1.1.10:** Integrated decision support system used by stakeholders to identify sites of high importance for global biodiversity for at least four potential Community Conservation Areas (CCA) and other protected areas, areas where deforestation and ecosystem degradation should be avoided, areas for restoration, and areas for economic development.

20. The DSS developed in Output 1.1.5 will provide the tools for stakeholders to identify areas of high conservation value, areas where deforestation and ecosystem degradation should be avoided, and areas for economic development. This project will use this information to support customary landowners and other stakeholders to prepare land use plans (Output 1.1.11) and to improve the management of protected areas, farms and forests (Component 2). Key activities to deliver this Output include:

- Activity 1.1.10.1 Support key stakeholders, including women and youth customary land owners and CEPA, to use DSS to identify sites of high importance for global biodiversity for at least four new Community Conservation Areas (CCA) and other protected areas, areas where deforestation and ecosystem degradation should be avoided, areas for restoration, and areas for economic development.
- Activity 1.1.10.2 Monitor and evaluate the use of DSS and prepare a report on lessons learned.

- Activity 1.1.10.3 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** At least four CCAs and other areas using the DSS

**Indicators:** Number of CCAs using DSS.

**Output 1.1.11: Integrated land use plans and updated forest plans for two target provinces, that support both biodiversity and climate change objectives, prepared through highly participatory stakeholder processes involving both women and men.**

21. Output 1.1.11 will use the data, tools and capacity developed in Outputs 1.1.1 to 1.1.6 to support participatory approaches with customary landowners and key partners to develop integrated land use plans and update forest plans, building on existing achievements and using the latest technology available in PNG. These plans will help guide efforts to conserve biodiversity and support sustainable value chains based on forest and farm products. Key activities to deliver this Output include:

- Activity 1.1.11.1 Support key agencies to collect and review lessons learned on integrated land use plans and forest plans from past and current projects and programs, published literature and other sources.
- Activity 1.1.11.2 Support key agencies to identify capacity and capability needs for developing integrated land use plans and updating forest plans and develop these capacities and capabilities.
- Activity 1.1.11.3 Support key agencies to develop integrated land use plans and update forest plans, using information and tools from the other Outputs in Component 1.
- Activity 1.1.11.4 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** Two provincial integrated land use plans developed, and Two forest plans updated.

**Indicators:** Number of integrated land use plans developed, and Number of forest plans updated.

**Component 2: Scaling up landscape-level action for integrated conservation and sustainable supply chain development.**

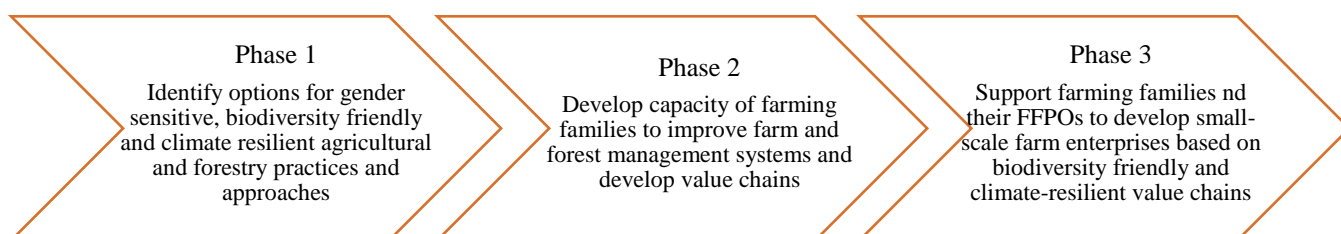
22. While Component 1 focuses on improving land use planning and identifying priority areas for the project to focus interventions, Component 2 focuses on using the outputs from Component 1 to mainstream biodiversity conservation across the landscape within agriculture, forest and grassland management in and near areas of high conservation value (HCV), including areas that are critical for the recovery and survival of threatened species.
23. Interventions aimed at conserving biodiversity are unlikely to succeed unless the sustainable livelihoods and well-being of people are addressed. An integrated landscape approach offers potential to strengthen biological corridors and protected areas whilst supporting sustainable forest and agricultural systems (for example, by using canopy crops such as coffee), building climate resilience and improving the livelihoods of communities.
24. An integrated landscape approach will support sustainable forest and agricultural systems, build climate resilience and improve livelihoods and well-being. In recent years, several agricultural projects have sought to improve the small holder productivity of coffee and cocoa by empowering clusters of 500-1,000 farmers. These clusters are provided subsidized inputs (e.g., tools, insecticides, coffee pulpers), training and opportunities for marketing through a lead partner. Component 2 will draw on the experience of these projects and consider whether the WHP and EHP can benefit from the major feeder road programs that aim to connect businesses to urban coffee markets.
25. Component 2 comprises two linked outcomes. The first outcome focuses on developing biodiversity friendly and climate resilient agricultural and forest product value chains within the priority areas



(buffer zones) identified through Output 1.1.5. The second outcome focuses on improving management effectiveness of HCV sites (as identified in Output 1.1.4).

**Outcome 2.1: Key value chains for sustainably harvested products strengthened/established and financial and market support mechanisms for forest and farm producer organizations made available**

26. This Component comprises five outputs that will be phased in over the life of the project. Phase one will be undertaken in the first and second years of the project and involve identifying options for gender sensitive, biodiversity friendly and climate resilient agricultural and forestry practices and approaches (Output 2.1.1) within the priority areas identified in Output 1.1.5.
27. In years two and three of the project, phase two will use the analyses from Output 2.1.1 to focus on identifying and building the capacity of farming families (FFs) and their forest and farm producer organisations (FFPOs) within the identified buffer zones (5-10 km) with a view to improving farm and forest management systems and developing improvement plans for the most promising value chains (Output 2.1.3).
28. In the third and final years of the project, phase three focuses on supporting FFs and their FFPOs to develop bankable business plans and build small-scale farm enterprises based on biodiversity friendly and climate-resilient value chains (Outputs 2.1.4 and 2.1.5).

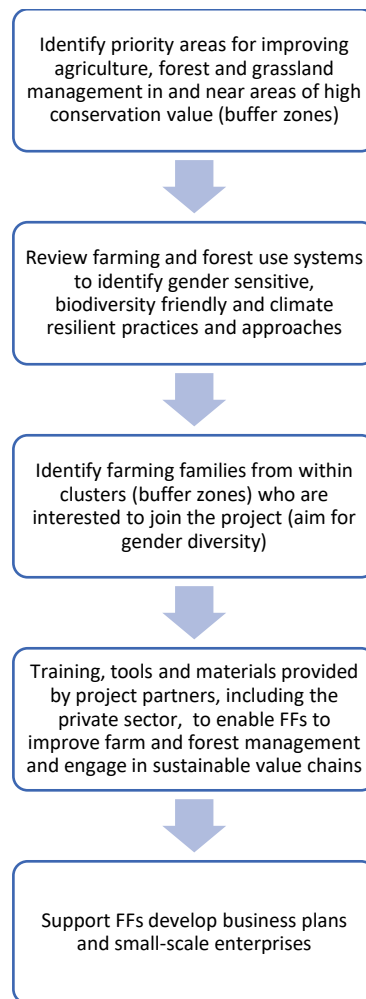


29. **Outcome indicators:** Farming families and forest and farm producer organisations are demonstrably benefiting from improved gender sensitive, biodiversity friendly and climate resilient value chains in WHP and EHP. The number of small-scale farmers with improved business arrangements.
30. As the scale of the Project is not sufficient to achieve transformational change across the entire area of the two provinces, the project will focus on supporting farming families in and near protected areas (including buffer zones) and other sites identified in Output 1.1.5 as priorities for biodiversity conservation. The emphasis will be on supporting farming families who have self identified as willing and able to improve their farming and forest management systems and to develop gender sensitive, biodiversity friendly and climate-resilient production options into small-scale farm enterprises. The Project will examine whether it can further support clusters of coffee farmers that have been trained by existing projects and build on existing knowledge for commodities such as honey.
31. The longer-term impact of the project will depend on the Government and the private sector improving the enabling conditions for biodiversity-friendly, climate resilient value chains, including developing transport infrastructure, and providing accessible communications and affordable finance. While the project cannot readily directly affect the enabling conditions, it will:
  - Support the national and provincial levels to improve regulatory frameworks a) for the conservation and sustainable use of multi-functional landscapes and b) that enable value chains of selected forest and farm products (Outcome 3).
  - Collaborate closely with other projects and programs, including the private sector, that have a common interest in achieving transformational change, including by sharing data and lessons learned and collectively promoting improvements to enabling conditions and infrastructure. Such collaboration will help enable the scaling up of coffee clusters as coffee exporters, drawing on the knowledge that existing stakeholders have of coffee quality standards and export market requirements.

- Enable knowledge exchange networks (Farmer Field Schools, Forest and Farm Producer organizations, training of trainers) within the targeted provinces and link these to other national and regional networks (Output 4.1.2).
  - Implement an effective project communications and knowledge management strategy.
32. Under this Outcome, farming families from each of the priority conservation sites (see Output 1.1.5) who are interested in improving farm and forest management and engaging in biodiversity friendly, climate resilient value chains will be asked to self identify. The approach will empower and incentivize farming families to be the principal agents of change in their own communities within the sites identified in Outputs 1.1.4 and 1.1.5. The project will emphasize the need for proportionate representation of relevant agricultural and horticultural crops, livestock and forest products and the need, as far cultural values allow, for gender balance.
33. Relevant government agencies, NGOs and the private sector will be supported to train FFs in best practices in location-specific clusters<sup>58</sup> and to adopt sustainable conservation agriculture and agroforestry. A cluster level approach to training has several advantages including:
- 1) Training, and associated provision of tools and materials, can be tailored to suit local conditions and sustainability parameters, needs and interests.
  - 2) Training can be designed to suit the needs and availability of women and youth farmers to encourage their participation.
  - 3) Successful practices within the cluster can be used as demonstrations for building the capacity of large numbers of farming families in the local area, without the need for complicated transport and logistics arrangements. Once surrounding communities see that farming families have benefited from intensification, value chain development, and improved financial services, then the adoption of these strategies and approaches will become the norm for the community. Experience in PNG has shown that the farming family approach provides opportunities for recognizing men and women in a household as joint leaders in improving farming practices and linking to sustainable markets and providing appropriate, and differentiated, training and materials to men and women.
34. It is assumed that by enabling increased productivity (intensification), increased marketed produce (value chain development), and increased incomes (livelihoods and wellbeing), supported by improved financial services (delivered on a fair and equitable basis across genders), the project will generate benefits for both people and biodiversity.

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<sup>58</sup> The cluster level training approach has been described by the Bougainville Cocoa Families Support Project (BECOMES), 2020.



**Figure 5 Farming Families Process**

**Output 2.1.1: Options for gender sensitive, biodiversity friendly and climate resilient practices and approaches have been identified by a review of the farming and forest use systems (gender disaggregated) of the target provinces.**

35. This Output geographically focuses on the priority areas identified in Output 1.1.5 (areas in and near protected areas and sites identified as priorities for biodiversity conservation, including in buffer zones) and reviews existing and potential value chains and associated gender sensitive, biodiversity friendly and climate resilient practices and approaches. Using FPIC, the review will identify current and potential demand, sustainable off-take parameters, values and marketability of key farm and forest products and assess key existing and prospective practices and approaches in terms of their impacts on biodiversity, gender equity and resilience to climate change. The assessment will seek to identify new or emerging sources of food, fiber and extracts. The most suitable options will be ranked using FAO guidelines, including for gender equity, sustainability, and potential for scaling up and securing market share. Constraints to gender sensitive, biodiversity friendly and climate resilient practices and approaches will be documented and shared with partner projects and agencies and other stakeholders. Key activities to deliver this Output include:

- Activity 2.1.1.1 Develop the capacity and capability of, and equip, partner organization staff to deliver extension services to FFs and support Outcome 2.1.
- Activity 2.1.1.2 Review lessons learned on farming and forest use systems (gender disaggregated) and gender sensitive, biodiversity friendly and climate resilient practices from past and current projects and programs, published literature and other sources.
- Activity 2.1.1.3 Through highly participatory processes, assess gender sensitive, biodiversity friendly and climate resilient practices in priority sites.

- Activity 2.1.1.4 Enable extension services staff of partners to identify farming families that are interested in gender sensitive, biodiversity friendly and climate resilient practices, with an emphasis on women farmers where practicable.
- Activity 2.1.1.6 Communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Targets:** Gender sensitive, biodiversity friendly and climate resilient practices and approaches identified in up to 30 sites in and near areas identified as priorities for biodiversity conservation (in Output 1.1.4 and 1.1.5).

**Indicators:** Number and type of options for gender sensitive, biodiversity friendly and climate resilient practices and approaches identified.

**Output 2.1.2:** At least 1,000 farming families (FFs) are implementing improved farming and forest management systems, including forest restoration and agroforestry, based on biodiversity friendly and climate resilient practices.

36. This output uses the information from Output 2.1.1 to develop the capacity of at least 1,000 FFs to be apply gender sensitive, biodiversity friendly and climate resilient farming and forestry practices (whether for semi-subsistence or commercial purposes) around targeted protected areas and areas of HCV (as identified in Output 1.1.4). This output assumes that successful landscape level interventions require the establishment of a change agency:

*“The success of any agricultural transformation relies on how well millions of smallholders and small- and medium-size enterprises can be helped to change farming practices as quickly and effectively as possible. The critical enabler, without which an agricultural transformation is likely to fail, is a frontline “change agent” that helps farmers modify their practices. Change agents are people who farmers trust and interact with regularly. The high-level objectives of a transformation are realized in practice only when they are effectively translated to smaller, on-farm shifts... Change agents provide the critical interface with farmers. To catalyze this, a change agent might be the person providing extension knowledge, offering financing for farming inputs such as fertilizer, aggregating crops, or facilitating marketing services.”<sup>59</sup>*

37. To achieve this output, the extension services of government, NGOs and the private sector will be harnessed as change agents for the project. The change agents will be tasked with the responsibility for enabling farming families to make improvements to farming and forest management systems in support of the project’s target of 190,000 ha of landscapes under improved practices. Key activities to deliver this Output include:

- Activity 2.1.2.1 Enable extension staff of partners to support farming families in each cluster to identify:
  - Their aspirations for developing/improving farming and forest management systems, including forest restoration and agroforestry.
  - Their current capacity (production, processing, storage, handling, marketing, branding, certification, business, financial, and management skills) and financing (credit, insurance, investment, markets and price premiums) and their needs for biodiversity friendly and climate resilient farming and forest management practices (e.g., improvements to livestock husbandry, seed stock, planting material, crop cycles, nutritional requirements).
- Activity 2.1.2.2 Train, equip and support FFs in each cluster to improve farming and forest management systems, focused on needs identified in Activity 2.1.2.1.

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<sup>59</sup> Boettiger S Denis N. Sanghvi, S 2017 Successful agricultural transformations: Six core elements of planning and delivery. Agriculture and Chemicals Nov 2017 <https://www.mckinsey.com/industries/chemicals/our-insights/successful-agricultural-transformations-six-core-elements-of-planning-and-delivery#>

- Activity 2.1.2.3 Identify and promote supportive enabling conditions for, and remove constraints to, biodiversity friendly and climate resilient farming and forest management practices.<sup>60</sup>
- Activity 2.1.2.4 Monitor and evaluate and communicate best practices and lessons from the process to support evidence-based policymaking and action and promote replication.

**Target:** At least 1,000 model farming families adopt improved management practices.

**Indicator:** Number of men and women farmers that adopt improved management practices.

**Output 2.1.3:** Assessments of specific gender sensitive, biodiversity friendly and climate resilient value chains in each FF cluster conducted, and improvement plans prepared.

38. This Output focuses on assisting FF clusters (a cluster refers to the group of farming families within a buffer zone) to develop targeted improvement plans for gender sensitive, biodiversity friendly and climate resilient value chains in each of the FF clusters identified in Output 2.1.2. It takes the information generated in Output 2.1.1 and focuses on a) assessing specific value chains within each FF cluster and b) supporting clusters of FFs and their FFPOs to develop improvement plans for the most promising value chains. This includes identifying opportunities for marketing products and services from farms, forests and protected areas, and identifying needs for improving the enabling environment. Potential value chains to be explored include:

- 1) Commodities: bulk coffee and specialty/high value niche coffee. Supporting the Coffee Industry Corporation, grower co-operatives, private industry extension services, and microfinance for new and improved technology such as de-mucilage machines. The PNG Women in Coffee Association based in Mount Hagen has expressed keen interest in collaborating with the Project in both EHP and WHP.
- 2) Produce: bulk sweet potato, vegetables (peanuts, corn, banana, cassava, potato), and niche markets for honey, tea, fruit (apples, citrus, grapes, passionfruit), and NTFPs such as *Karuka* (*Pandanus julianettii*), and *Marita* (*Pandanus conoideus*).
- 3) Agroforestry: for timber and protein, e.g., *Moringa* (*Moringa oleifera*), aromatics/oils, florals for honey bee food, bamboo for food and structural use, and artisanal products (mats, baskets, wall panels, roofing, fencing and firewood). Some traditional forest products have cultural, medicinal and/or structural attributes that may have potential to be marketed.
- 4) Livestock: beef, mutton, goats, pigs, chickens and aquaculture. These commodities readily value add and can complement vegetable production by providing a market for stockfeed and supplements and reduce wastage of vegetables.

39. Key activities to deliver this Output include:

- Activity 2.1.3.1 For each FF cluster (Output 2.2.2), assess the potential for improving specific value chains or groups of value chains, including by using the knowledge gained in Output 2.1.1 and from lessons learned in past and current projects and programs, published literature and other sources.
- Activity 2.1.3.2 Through a facilitated participatory process, identify the most promising value chains or groups of value chains for each FF cluster.
- Activity 2.1.3.3 In each FF cluster, support FFs and their FFPOs to develop value chain improvement plans that include:
  - Needs for improving enabling conditions for specific value chains (e.g., cold chain improvements for perishables, centralized buying and processing facilities, communications (mobile and data provision), use of decision support systems; accessing finance (microfinance, underwriting of loans based on incentives to grow crops sustainably), accessing weather and climate data (linking local weather stations to provide real time information to improve forecasting).

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<sup>60</sup> This will require a dedicated extension services team, provision of production, processing, storage, handling, marketing (including niche markets), branding, and certification information.)

- Capacity (leadership, governance, technical, business, financial, and management skills) and financing (credit, insurance, investment, markets and price premiums) needs for improving production values.
- Activity 2.1.3.4 Support the development of Provincial and Produce Marketing Offices for the EHP and WHP, stabilization funds (e.g., Growers Associations), and levies for research and development that enable the improvement plans and the associated small-scale enterprises (Output 2.1.4).
- Activity 2.1.3.5 Support FFs and their FFPOs to lobby for improved enabling environments (e.g., road maintenance and communications).
- Activity 2.1.3.6 Communicate lessons on farm and forest improvement plans to support evidence-based policy making and action and promote replication.

**Target:** At least 10 cluster-level improvement plans prepared.

**Indicators:** Number of value chain assessments completed. Number of value chain improvement plans prepared

**Output 2.1.4:** FFs and their FFPOs in each FF cluster have developed bankable business plans and used these plans to develop viable, gender sensitive, biodiversity friendly, climate resilient small-scale farm enterprises.<sup>61</sup>

40. This Output builds on the improvement plans developed in Output 2.1.3 and on lessons learned and capacity built in Output 2.1.1 and to 2.1.4. The project will support relevant government agencies, NGOs and private sector entities to partner with targeted commercial entities that are operating in EHP and WHP. Private sector entities in particular have substantial extension services, training and mentoring programs for farmers, have established value chains, experience with verification and certification schemes and have the financial capability to encourage and enforce sustainable practices.

41. Through the combined effort of government agencies, NGOs and relevant commercial entities, FFs and their FFPOs will be supported to develop bankable business plans that will assist them to secure finances, market access and business support services and develop viable, gender sensitive, biodiversity friendly, climate resilient small-scale farm enterprises. This output assumes that at least 50 per cent of FFs supported in Output 2.1.2 will be interested in developing small-scale farm enterprises. Key activities to deliver this Output include:

- Activity 2.1.4.1 Identify government agencies, NGOs and commercial entities that are willing to support FFs and their FFPOs to develop biodiversity friendly and climate-resilient production options into small-scale farm enterprises.
- Activity 2.1.4.2 Review lessons learned on small-scale farm enterprises and business plans and related technologies for biodiversity friendly and climate-resilient products from Output 2.1.1 and 2.1.2 and past and current projects and programs, published literature and other sources.
- Activity 2.1.4.3 Support government agencies, NGOs and commercial entities to assist up to 500 FFs and their FFPOs to develop bankable business plans for biodiversity friendly and climate-resilient products and their related technologies;
- Activity 2.1.4.4 Support government agencies, NGOs and commercial entities to assist up to 500 FFs and their FFPOs to develop/improve their small-scale farm enterprises.
- Activity 2.1.4.5 Communicate lessons on business plans for forest and farm product value chains to support evidence-based policymaking and action and promote replication.

**Target:** Up to 500 bankable business plans prepared and their small-scale farm enterprises operating successfully.

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<sup>61</sup> The project will review and adapt relevant, existing and past efforts in PNG to develop value chains including but not limited to the work of USAID on conservation enterprise to help develop strong theories of change and value chains underlying the activities

**Indicators:** Number and type of bankable business plans developed by FFs and their FFPOs (gender disaggregated). Number and type of small-scale farm enterprises successfully operating (gender disaggregated).

**Outcome 2.2: Improved biodiversity conservation in targeted protected areas (including CCAs)**

42. Whilst Outcome 2.1 focuses on promoting biodiversity friendly farming and forest use systems, Outcome 2.2 focuses on addressing governance and capacity barriers to the effective management of protected areas. The Outcome draws on the data, decision support systems and planning generated under Outcome 1.1 (addressing information and knowledge barriers) to support stakeholders to a) develop protected area (including CCA) plans and b) develop capacity and capabilities to effectively manage these areas. It also draws on Output 3.1.3 which aims to strengthen national and provincial policy and regulations which guide the management of protected areas. It is assumed that the improved management of protected areas will help conserve threatened species and habitats while providing new and more sustainable livelihood opportunities for local people.

**Outcome indicators:** Trend of globally threatened indicator species and habitats in targeted protected areas are improved.

43. This Outcome has three Outputs. The first output prepares management plans for the gazetted protected areas in the targeted provinces. The second helps communities plan community conserved areas. The third seeks to improve the management effectiveness of the protected areas.

**Output 2.2.1: Review of the five existing gazetted protected areas in the two target provinces conducted and Statements of Management Intent (SMI) developed, and management plans prepared.**

44. This output draws on the data and methodologies generated in Component 1 and focuses efforts on developing SMI and management plans for the protected areas within WHP and EHP. Having clear and achievable SMIs and management plans is a prerequisite for identifying and addressing capacity and capability barriers to protected area staff and other stakeholders effectively managing protected areas. A critical element of this component is to ensure that the SMI and management plans are developed in a highly participatory manner and negotiated with all customary landowners who are likely to be affected by any change in management of the protected area. The output will ensure that local arrangements governing use of natural resources in protected areas are fair and sustainable, and continue to support traditional livelihoods, that communities, customary landowners and protected area staff are enabled to sustainably manage the protected areas, and that Conservation and Benefit Sharing Agreements with customary landowners are developed. It is anticipated that the outputs under Outcome 2.1. will help mitigate and compensate customary landowners for any agreed reduction in access to resources in protected areas. This output directly contributes to improving management effectiveness - Output 2.2.3. Key activities to deliver this Output include:

- Activity 2.2.1.1 Review lessons learned on management effectiveness of targeted protected areas in EHP and WHP from past and current projects and programs, published literature and other sources (see also Output 2.2.3).
- Activity 2.2.1.2 Using participatory approaches with CEPA, CCDA, PNGFA and relevant provincial, local or district level government staff and local communities from the targeted provinces undertake management effectiveness reviews of protected areas including a review existing protected area METT Summaries to develop the Statement of Management Intent and guide the preparation of the management plans for the targeted protected areas (see also Output 2.2.3).
- Activity 2.2.1.3 Assist CEPA, CCDA, PNGFA and relevant provincial, local or district level government staff and local communities from the targeted provinces to identify and promote supportive enabling conditions for improved management of targeted protected areas.
- Activity 2.2.1.4 Support stakeholders to identify capacity (leadership, governance, technical, business, financial budgeting, project planning and management skills), financing (credit,

insurance, investment, markets and price premiums) and other needs for improving the management of targeted protected areas.

- Activity 2.2.1.5 Develop capacity and capabilities of targeted stakeholders to prepare Statements of Management Intent and management plans for the targeted protected areas through highly participatory negotiated processes, obtain approval and mobilize resources for implementation of the plans (capacity is used in Output 2.2.2), including ensuring arrangements for use of natural resources in protected areas are fair and sustainable, and continue to support traditional livelihoods, and Conservation and Benefit Sharing Agreements with customary landowners are developed.
- Activity 2.2.1.6 Communicate lessons on protected area management effectiveness and planning to support evidence-based policymaking and action and promote replication.

**Target:** Review of five existing gazetted protected areas conducted, Statement of Management Intents (SMI) developed and management plans prepared or revised (2 plans in EHP and 3 WHP).

**Indicators:** Number of reviews completed, number of Statement of Management Intents and management plans prepared or revised.

**Output 2.2.2:** Targeted customary landowners (women, men and youth) supported to plan five Community Conserved Areas (CCAs) under relevant policies and laws, and to manage their areas effectively.

45. This output draws on the data and methodologies generated in Component 1 and focuses efforts on supporting communities to develop plans for the effective management of the CCAs identified in Output 1.1.10. This output directly contributes to improving management effectiveness - Output 2.2.3. Key activities to deliver this Output include:

- Activity 2.2.2.1 Review lessons learned on identification, planning and management effectiveness of community conserved areas (CCAs) from past and current projects and programs, published literature and other sources.
- Activity 2.2.2.2 In each prioritized site, facilitate community consultation workshops for customary land owners to identify their aspirations for developing and managing CCAs and to identify a) the state and trend of and threats to environmental, cultural, social and economic values of the proposed CCAs, and b) risks to and opportunities for establishing and managing the CCAs.
- Activity 2.2.2.3 Support targeted customary land owners to identify capacity (leadership, governance, technical, business, financial, and management skills), financing (credit, insurance, investment, markets and price premiums) and other needs for establishing and managing CCAs and develop capacity and capabilities of targeted stakeholders.
- Activity 2.2.2.4 Use participatory approaches with customary land owners, other stakeholders and CEPA to seek gazettal of existing CCAs, to develop and obtain approval for new CCA management plans and secure resources for implementation of CCA management plans.
- Activity 2.2.2.5 Communicate lessons on CCAs to support evidence-based policy making and action and promote replication.

**Target:** Five CCA land use and management plans prepared, their management system approved, and the areas are under improved management.

**Indicators:** Number of community conserved area (CCA) land use plans prepared and area under improved management.

**Output 2.2.3:** The management effectiveness of five existing protected areas, including existing CCAs improved.

46. There is a pressing need to further develop the enabling conditions for the effective management of CCAs. This includes supportive policy, appropriate incentives and financing mechanisms, adequate technical advice, suitable approaches to addressing social, cultural, environmental and economic challenges, and mechanisms for integrating traditional knowledge and Western science.



47. This Output focuses on priority areas and species for conservation that were identified in Outcome 1 and draws on the information collected in Outcome 1 and Outputs 2.2.1 and 2.2.2 to address governance, and capacity barriers to achieving the effective management of the prioritized protected areas. It identifies governance, capacity, financing and other needs for improving the management of targeted protected areas, including CCAs. It contributes information on governance needs to Output 3.1.1 which aims to strengthen national and provincial regulatory frameworks. It also aims to assist stakeholders to secure necessary resources for improving management effectiveness.
48. Similar to Output 2.2.2, this output will involve highly participatory, negotiated processes with customary landowners and will ensure that local arrangements governing use of natural resources in protected areas are fair and sustainable and that Conservation and Benefit Sharing Agreements with customary landowners are developed. Key activities to deliver this Output include:
- Activity 2.2.3.1 Review lessons learned on management effectiveness and management structures of protected areas (including CCAs) within the two provinces from METT and from past and current projects and programs, published literature and other sources (see also Output 2.2.1).
  - Activity 2.2.3.2 Support stakeholders to identify governance, capacity (leadership, technical, business, financial, and management skills), financing and other needs for improving the management of targeted protected areas, including CCAs and develop capacity and capabilities of targeted stakeholders to manage and report on these areas effectively.
  - Activity 2.2.3.3 Use participatory approaches with relevant customary land owners, CEPA, CCA and PNGFA staff, relevant provincial, district and local staff, and targeted protected area managers to undertake or update management effectiveness reviews based on a new or revised METT (see also Output 2.2.1).
  - Activity 2.2.3.4 Assist CEPA, CCA and PNGFA staff, relevant provincial, district and local staff, targeted protected area managers, and customary land owners, to identify and promote supportive enabling conditions for improved management of PAs.
  - Activity 2.2.3.5 Use PNG's National Protected Areas Forum and other avenues to communicate lessons on protected area management effectiveness to support evidence-based policymaking and action and promote replication.

**Target:** Five (275,000ha) protected areas (including existing CCA) under improved management for conservation.

**Indicators:** Number of PAs applying effective management tools (using the revised METT).

In addition, the following indicators have been identified for individual protected areas:

- Baiyer river
  - Population of invasive species reduced by 60 per cent
  - Animal protein sales [from wildlife] reduced to 60 per cent
  - Management Plans and Budget allocation through an MOA/MOU with WHP and Baiyer District Authority implemented as planned
  - At least 40 per cent of communities are educated on climate change awareness and mitigation measures.
- Crater Mountain
  - About 40 per cent of the beneficiaries linked to CMWA are benefiting from improved livelihoods
  - Population of tree kangaroo species improved by 60 per cent
  - Population of invasive species reduced by 60 per cent
  - Number of people illegally hunting reduced to 10 per cent
- Jimi valley
  - Population of invasive species reduced by 60 per cent
  - Animal protein sales [from wildlife] reduced to 60 per cent

- Management Plans and Budget allocation through an MOA/MOU with WHP and Baiyer District Authority implemented as planned
- At least 40 per cent of communities are educated on climate change awareness and mitigation measures.
- Mt Gahavisuka PP
  - At least 60 per cent of communities are educated on climate change awareness and mitigation measures
  - More than 60 per cent of the PA is managed and monitored for invasive species
  - More than 60 per cent of the people are educated on visitor management
  - More than 60 per cent of the youth and young people are educated on their culture and participate in cultural activities.
- Hogave CA
  - Road impacts reduced by 30 per cent
  - 50 per cent (1,000ha) of forests are protected from unsustainable agricultural practices and proper land use and management systems are in place
  - 50 per cent of people living within the PA are informed of human footprints on environment and PA resource use and management systems are in place.

**Component 3: Strengthening the enabling environment and governance structures for integrated landscape/land use planning, coordination and management**

49. This component addresses land use governance and regulatory barriers in the target Provinces (Barrier B). The emphasis of this component is not on supporting the development of new policies, laws and regulations but on identifying and addressing gaps and overlaps in existing policy and law and encouraging more effective implementation of, and synergies between, these policies and laws, including between national, provincial and local levels.

**Outcome 3.1:** Integrated decision support systems for land use management of the targeted landscapes are enabled by adequate policies and methodologies.

50. Developing a clear understanding of the state, trend and causes of land degradation and unsustainable land use practices is an essential step to mitigating direct and root causes of environmental degradation. Such an understanding helps stakeholders to build their confidence to plan and implement changes gradually and cost effectively. Decision support systems can also help with the identification of incentives that are most likely to encourage farming families to adopt more productive, biodiversity friendly, climate resilient and sustainable land use practices.

51. However, the benefits of integrated decision support systems can only be realized through effective and complementary policies, institutional arrangements and methodologies across sectors, including agriculture, forestry, infrastructure development, biodiversity conservation, and climate change. This Outcome seeks to improve policies, institutional arrangements and methodologies that enable the effective use of integrated decision support systems for land use planning and management.

52. **Outcome indicator:** The extent to which integrated decision support systems at national and provincial levels (WHP and EHP) are supported effectively by improved policies and methodologies.

53. This Component has two linked Outputs. The first output focuses on improving the regulatory frameworks for the conservation and sustainable use of multi-functional landscapes. The second seeks to improve national and provincial policy and regulations on agricultural, fisheries and forestry commodity trading.

**Output 3.1.1:** Strengthened provincial (2) regulatory frameworks for the conservation and sustainable use of multi-functional landscapes.

54. The project will collaborate with existing programs and projects to a) strengthen coordination and alignment between national and subnational levels and b) provide support to improve existing provincial regulatory frameworks for the conservation and sustainable use of multi-functional landscapes. The National REDD+ strategy emphasizes the importance of integrated sub-national planning through strengthening provincial, district and community level planning, which is core to this project. As both WHP and EHP share a border with Madang Province, effective collaboration between projects will enable ridge to reef biodiversity conservation in the north-central part of PNG. Key activities to deliver this Output include:

- Activity 3.1.1.1 Analyse lessons learned on national and provincial regulatory frameworks and land use systems for the conservation and sustainable use of multi-functional landscapes from past and current projects and programs, published literature and other sources.
- Activity 3.1.1.2 Support key agencies and other targeted stakeholders to assess the need, and potential, for improving relevant provincial regulatory frameworks for the conservation and sustainable use of multi-functional landscapes.
- Activity 3.1.1.3 Support participatory, consultative processes that promote improvements to targeted provincial regulatory frameworks for conservation and sustainable use of multi-functional landscapes.

**Target:** Two provincial regulatory frameworks, including the Protected Areas Policy Implementation Plan (PAPIP), support integrated decision support systems for the conservation and sustainable use of multi-functional landscapes.

**Indicators:** Number of strengthened provincial regulatory frameworks for the conservation and sustainable use of multi-functional landscapes.

**Output 3.1.2: Provincial policy and regulations (4) on agricultural, fisheries and forestry commodity trading strengthened to support gender sensitive, biodiversity resilient practices and approaches.**

55. While Output 3.1.1 is focused on strengthening regulatory frameworks for the conservation and sustainable use of multi-functional landscapes, Output 3.1.2 plays a complementary role by enabling key government agencies and other stakeholders to support improvements to laws, policies, and regulations governing value chains of selected forest and farm products. Securing sustainable value chains of selected forest and farm products can provide strong incentives for farming families to adopt more productive, biodiversity friendly, climate resilient and sustainable land use practices. Value chains that are socially responsible, ecologically sustainable, and economically viable and that support gender equity and provide opportunities for youth employment and women's empowerment require effective laws, policies, and regulations. Accordingly, this Output seeks to improve understanding of the enabling environment required for Outputs 2.1.1, 2.1.2, 2.1.3, 2.1.4 and 2.1.5 which are focused on promoting biodiversity friendly and climate-resilient production options for small-scale farm enterprises. Key activities to deliver this Output include:

- Activity 3.1.2.1 Review and assessment of the effectiveness of relevant laws, policies, and regulations governing value chains of selected forest and farm products, including an analysis of impacts on women and youth.
- Activity 3.1.2.2 Support key stakeholder agencies to identify needed improvements to laws, policies, and regulations governing value chains of selected forest and farm products, using participatory processes.
- Activity 3.1.2.3 Support participatory, consultative processes that promote improvements to targeted regulatory frameworks for value chains of selected forest and farm products.
- Activity 3.1.2.4 Communicate lessons from the process to support wider policies and action that promote replication.

**Target:** Four provincial policies and regulations on agricultural, fisheries and forestry commodity trading strengthened.

**Indicators:** Number and type of provincial policies and regulations on agricultural, fisheries and forestry commodity trading strengthened.

*Component 4: Effective knowledge management, monitoring and evaluation*

**56.** Component 4 promotes the scaling up and sustainability of project outcomes by ensuring that lessons are captured and shared and that systems developed with the support of the project, including a monitoring, evaluation and learning system, are relevant and useful to stakeholders.

**Outcome 4.1:** Stakeholders and the project benefit from the project's knowledge management and monitoring and evaluation systems.

**57. Outcome indicator:** Key stakeholders at local, provincial, national and global levels benefit from project knowledge.

**58.** There are two Outputs under this Outcome. The first output is the establishment of a monitoring, evaluation and learning (MEL) system that will be useful beyond project end. The second output focuses on disseminating lessons and best practices from the project to a broad range of stakeholders, including through development of farmer field schools. The second output focuses on sharing knowledge and encouraging scaling up and sustainability of project outcomes.

**Output 4.1.1: Monitoring and evaluation of project progress on a regular basis using harmonized, gender disaggregated, monitoring and learning approaches (at local and national level).**

**59.** Key activities to deliver this Output include:

- Activity 4.1.1.1 Assess the strengths and weaknesses of existing baseline information and monitoring methodologies and develop a comprehensive monitoring, evaluation and learning (MEL) system that draws on relevant information collected, and tools and approaches developed, in Components 1 to 3 and lessons learned from other projects and programs.
- Activity 4.1.1.2 As necessary, complete the baseline spatial, socio-economic and environmental analyses of project area, using tools such as the Open Foris toolkit and building on existing monitoring systems established in CEPA and through REDD+.
- Activity 4.1.1.3 Conduct training in MEL and the need for gender disaggregated data for targeted partners.
- Activity 4.1.1.4 Support the continuous management and operation of the MEL system for the duration of the project and establish mechanisms to enable the sustainable operation of the system.
- Activity 4.1.1.5 Support key agencies to establish a mechanism to regularly communicate findings and trends with key stakeholders, including policymakers, senior bureaucrats, civil society groups, the private sector and development partners.
- Activity 4.1.1.6 Support the mid term and final evaluations and other audits of the project and the preparation of a final project report that summarizes project results, highlights impact on social, economic and environmental conditions and outlines lessons learned.

**Targets:** One functioning MEL system that is suited to national and local contexts. Mid term and final evaluations completed.

**Indicators:** Functioning MEL system that is suited to national and local contexts. Mid-term review completed. Final Evaluation completed.

**Output 4.1.2: Knowledge sharing strategy developed and lessons and best practices disseminated in appropriate formats at local and national level**

**60.** The relatively small scale of the Project compared to the challenges faced by communities and biodiversity in West Highland Province and East Highland Province means that to stimulate transformational change at a landscape scale the project must include actions that enable scaling up and sustainability of project outcomes. This Output focuses on developing and implementing the knowledge strategy. One key element will focus on farmer families, enabling them to engage in two-way knowledge sharing with other farmers and key stakeholders, as a means to promoting

biodiversity friendly and climate-resilient production options for small-scale farm enterprises. Key activities to deliver this Output include:

- Activity 4.1.2.1 Review lessons learned from past and current projects and programs, published literature and Outcome 2 of this project on knowledge management and exchange networks including lessons from Farmer Field Schools and Forest and Farm Producer organizations.
- Activity 4.1.2.2 Develop and communicate a project communications and knowledge management strategy.
- Activity 4.1.2.3 Develop and maintain a project website (bilingual), implement regular media outreach, including bi-annual press releases, and support bi-annual exchange events between project beneficiaries and other key projects and programs in PNG.
- Activity 4.1.2.4 Using participatory approaches with CEPA, CCDA, PNGFA and relevant provincial, local and district level government staff and local communities from the targeted provinces, identify existing knowledge exchange networks of Farmer Field Schools and Forest and Farm Producer organizations and assess their potential, and as necessary support the establishment of new networks.
- Activity 4.1.2.5 Develop capacity and capabilities of targeted knowledge exchange networks of Farmer Field Schools and Forest and Farm Producer organizations.
- Activity 4.1.2.6 Support knowledge exchange network activities within the targeted provinces and link these to other networks nationally and regionally, including through bilingual articles published on the website and through information disseminated via social media, publications, and provincial, national and regional conferences and workshops.
- Activity 4.1.2.7 Communicate lessons on knowledge exchange network to support evidence-based policymaking and action and promote replication.

**Target:** Eight major project outputs disseminated. Five Two-way knowledge exchange networks of Farmer Field Schools and Forest and Farm Producer organizations operating.

**Indicators:** Number and type of project outputs disseminated. Number and type of knowledge exchange networks of Farmer Field Schools and Forest and Farm Producer organizations operating