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## Inception Report

### Mapping and Enhancing Natural Resource Governance in Small Island Communities



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Report Prepared by UNEP  
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**COBSEA**  
COORDINATING BODY ON  
THE SEAS OF EAST ASIA



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## **1. Introduction**

The two-year regional project "Mapping and Enhancing Natural Resource Governance in Small Island Communities" is funded by Mangroves for the Future (MFF), and is targeting four countries (Maldives, Seychelles, Thailand, and Sri Lanka). The project is implemented by the United Nations Environment Programme (UNEP) and the Coordinating Body of the Seas of East Asia (COBSEA) in collaboration with National Partner Institutions in the four countries: United Nations Development Programme (UNDP) Maldives, the Seychelles National Parks, IUCN Sri Lanka, and IUCN Thailand.

The project seeks to enable and support natural resource governance on small islands that integrates and builds on the respective strengths of local and community-based management as well as national policy and legal frameworks at different levels.

The project was developed in response to the request of the 7<sup>th</sup> MFF Regional Steering Committee (RSC) for a regional initiative to be developed focusing on "mapping of coastal resource governance in small island communities". UNEP prepared the proposal in collaboration with partners from Maldives, Seychelles and later on Thailand. A full proposal was presented to the 8th MFF RCS meeting in the Maldives, October 2011. At that meeting Sri Lanka also indicated the commitment to participate in this initiative, joining Maldives, Seychelles and Thailand. The RSC approved the proposal and advised UNEP to finalize the proposal in collaboration with all four countries, thus ensuring it reflects the national context and addresses the actual needs of each country.

The financial contribution by MFF is USD 200,000, paired with a planned co-financing of approximately USD 78,000 as an in kind contribution from the project partners. The project officially started in January 2013, with a three-month inception phase for re-visiting and detailed planning of project activities, and will be implemented until the end of 2014.

## **2. Inception Workshop Summary**

The Project Inception Workshop was held 4-5 March 2013 in Bangkok, Thailand. It provided a venue for lead project partners meet to review and agree on project implementation mechanisms, and marked the end of the inception phase.

Inception Workshop Objectives:

- Review the project log frame including activities, outputs, results and indicators;
- Revise and agree on the project work plan and roles and responsibilities, including modalities for implementation, time-frame and deliverables;
- Discuss monitoring, learning and evaluation arrangements as well as communication of activities and results.

Twenty eight participants, representing the implementation partners (lead National Partner Institutions and UNEP), relevant government agencies, initiatives and projects in each of the target countries, and the MFF Secretariat (Annex 1: Inception Workshop Participants). The participants from Maldives, Seychelles, Sri Lanka and Thailand, outlined the key processes underway in their countries that would benefit from the project, as well as to contribute to the uptake and mainstreaming of the project outputs and findings.

The workshop included plenary presentations, discussions and group work (Annex 2: Inception Workshop Agenda). It provided participants a chance to raise and address relevant issues and

identify concrete immediate and long-term steps. Through constructive discussion during the two-day workshop all expected outputs were achieved:

- Common understanding about the project objectives, activities and outputs;
- Draft version of the scope and format for conducting the national reviews;
- Commonly agreed criteria for the target-site selection;
- Revised work plan, and detailed plan for the first phase, including implementation arrangements and reporting schedule;
- Agreement on the project budget, including co-financing requirements and opportunities;
- Sufficient information and agreement on steps for finalizing the Inception Report

Key decisions reached at the workshop are summarized below and more details are provided in the relevant sections of this Inception Report:

1. While the overall objective of the project was re-confirmed as timely and relevant for all participating countries, following the presentation and discussion on the scope of the main project outputs it was decided to **revise the objectives** to better reflect the intent and scope of the outcomes.
2. The **guidelines for selection of the target sites** were discussed and accepted by all partners. Sri Lanka and Thailand already identified their target-site. Representatives from Seychelles and Maldives will follow with information on the target sites after discussion with the NCBs and other partners. MFF stated the need to build upon completed initiatives where relevant.
3. The countries have taken the first steps towards forming the **country teams**, which in all cases will comprise of the lead National Partners, representatives from the relevant government agencies at both national and local level, and civil society representatives from the target site. National consultants that might be contracted to conduct the national review will also be part of the country teams.
4. The project will be **steered through a simple mechanism** based on the communication between the focal point from the lead National Partners, UNEP team, and MFF Secretariat. The **role of NCBs** in steering the project was discussed and it was agreed to provide regular updates on the project progress and outputs (including different project reports) to the NCBs by the National Partners, and utilize NCB guidance for implementing the project. Legal contracts between UNEP and the National Partners will be signed to facilitate the implementation of the activities at national level.
5. The **national reports on governance and Integrated Coastal Management (ICM) prepared through MFF support in 2005-2007** will be used as the basis for the national reviews. In preparation for the workshop, the country reports were shared with the participants. During the first day presentations and group work the participants started outlining the key changes. **Updating the 2005-2007 reports** will be the first task for the national reviews.
6. The **governance assessment grid** developed through the 2005-2007 assessment was presented and tested at the workshop. It was agreed that National Partners will use this grid as the basis to conduct rapid assessment of the major governance issue(s) at national level and to carry out stakeholder consultations and assessment of the major governance issue(s) at the target sites. **Focus groups with representatives** of different stakeholder groups will be used to provide information for completing the assessment grid.
7. During the presentations and discussion the participants outlined number of **risks and challenges** resulting from the overall political and economic context in each country and/or target site.
8. Based on the plenary discussion, the **general work plan for the project was revised** and a **detailed work plan for 2013** was shared with the participants. The **roles and responsibilities** of the project implementing partners according to specific outputs were also discussed and agreed.

9. Following the presentation and discussions on the project budget, it was agreed that UNEP will prepare a **budget template that includes the co-financing commitments** from project partners and reflect the regional consultant's time spent on different activities. Information on calculating co-financing for MFF's large-scale grants could be used by the project partners.
10. UNEP has the overall responsibility for monitoring project implementation, and this will follow standard UNEP procedures. **Detailed schedules including delivery and reporting plans** will be included in contracts between UNEP and National Partners as well as between UNEP and consultants. **Final evaluation** of the project will be done by MFF, 3 months before the end of the project.
11. Based on discussion and analysis of specific examples key terminology was agreed. For the purposes of this project **Governance is Strategic** whereas **Management is Operational**. I.e. if in a given context a strategic decision is required, it is a governance issue, if it requires and operational measure it is a management issue. The agreed working definition of governance of natural resources is:

*Natural resource governance is the **interaction** of the **government** and its **citizens** to **make and implement decisions** affecting natural resources and natural resource users. Governance comprises **statutory and customary norms, institutions, and processes**, and the **principles** of accountability, transparency, predictability and participation.*

### 3. Overview of the Project

#### 3.1 Project Objectives

The **Overall Objective** of the project was reaffirmed as timely and relevant for all participating countries:

The project seeks to enable and support natural resource governance on small islands that integrates and builds on the respective strengths of local and community-based management as well as national policy and legal frameworks at different levels.

The **Specific Objectives** were revised as follows:

**Objective 1:** To generate a detailed understanding of natural resource governance frameworks and identify opportunities for governance change on small islands in target countries.

**Objective 2:** To support governance reforms by building capacity and supporting processes of change in governance at appropriate levels in the target countries.

The changes in the objectives resulted from the discussion on the resource toolkits and training materials, when it was agreed that the actual focus of the project is on strengthening the understanding of natural resource governance frameworks and building capacity to support on-going processes. Despite the change in the objectives, all activities, outputs, and key deliverables remain same. Changes in the objectives are reflected in the revised Log frame (Annex 3) and the revised Roles and Responsibilities table (Annex 4).

#### 3.2 Project Outputs:

Project outputs were discussed in more details during the first day of the workshop, as summarized below:

- National review reports (Maldives, Seychelles, Sri Lanka & Thailand) and a regional synthesis report on natural resource governance frameworks including opportunities for specific natural resource governance reform, and capacity needs assessment focusing on communities and local government.

The focus of the first year will be on conducting the national reviews, and the stakeholder consultation at the target sites. This process is based on updating the 2005-2007 governance assessments and ICM reports and is described in more details in section 8. The review process will also focus on identifying the opportunities for governance change on small islands in the target countries, thus setting the foundation for detailed planning of the specific capacity building and/or pilot scale interventions that will be implemented in 2014. Based on the four national reviews, the regional consultant will prepare one regional synthesis report.

- Resource toolkit for community involvement in natural resource governance in small islands. The resource toolkit and the training materials will be developed to address the specific gaps identified during the review processes. Although it was generally agreed that the resource toolkit will provide guidance and framework for integration of community stakeholders and practices into local and provincial planning/decision making, the exact scope of the toolkit is yet to be defined. UNEP will take the lead in compiling the resource toolkit (in close consultations with NPs and the regional consultants), while the NPs will lead the design of the training materials.
- Report on capacity building and pilot-scale demonstration interventions for small island natural resource governance reform. Based on the capacity gaps and capacity building needs identified during the review process, training workshops for specific target groups will be organized during the second year of the project. National Partners will lead the design and logistic arrangements for the trainings and will decide on the number of trainings, participants and training topics, with support for the regional consultant and UNEP. The scope of the potential pilot-scale interventions will also be based on the identified opportunities during the national reviews and will aim to support on-going processes at local level aiming at increased public participation in natural resource governance (both at government and civil society level. It was also discussed and agreed that due to the limited budget, the countries can decide to focus on implementing only a training workshop or a pilot intervention, or a combination of the two.
- Communication materials that synthesize project lessons and outputs. This is a regional initiative that should strengthen the understanding of natural resources governance on small islands for the whole region. Synthesizing lessons learnt and communicating the project findings is therefore very important, and will be considered from the early stages of the project. Targeted communication with selected stakeholder groups is necessary as there is limited budget for producing and translating communication materials. Identifying the target groups was therefore emphasized as an important step that will help shape the communication tools and materials that will be produced by the project.

#### **4. Description of the project sites**

In each of the project countries, target sites will be selected in order to focus the analysis as well as the interventions and to identify and address common features or challenges, thus contributing to building the regional knowledge base on governance of natural resources on small islands.

During the discussion on the target-site selection guidelines (Annex 5), the Seychelles participants identified the possibility to select only one part of an island. Acknowledging the diverse use of the islands, and considering the importance of different economic sectors for local community livelihoods was identified as important by the Maldives. Land-use overlaps at the target sites are likely to pose challenge in all countries, and this should be considered in more details during the stakeholder consultation and the target-site reviews.

Sri Lanka and Thailand identified their target sites based on discussion with different project partners. Brief description of the two target sites follows bellow. Maldives and Seychelles will discuss the potential target sites with the NCBs and other partners and will follow with their

proposals by the end of March, 2013. Completed and on-going initiatives related to the project objectives will be considered when deciding on the target site. It was agreed that UNEP will prepare guidance for describing the target sites.

**Maldives Target Site Description** – at the time of finalizing the inception report, the Maldives NPs were not able to provide information on the selected target site. Although the actual target site activities will not happen until the second year of the project, it is important to identify it early and to involve the different stakeholders from the target site in the assessments and the consultations scheduled for the first year of the project. This is particularly relevant for identifying the actual training needs and the potential pilot interventions. The delays with the target site identification in the Maldives are linked to the overall delays with starting the project (see section 9).

A project revision might be necessary if no target site for the Maldives is identified by the time of the first reporting period to MFF (end July) in order to avoid further delays. Adjustment in the activities in the Maldives should be discussed with the NPs and the NCB of MFF in the Maldives and officially proposed to MFF. These adjustments could encompass a decision to work at national level only (with a focus on coastal areas) and review the capacity gaps and training needs accordingly. This might be a useful approach with the view of the recent proposal for proclaiming the whole territory of the Maldives as a biosphere reserve. The project could focus on the implications of such decision and particularly on the role of communities in governing their coastal resources.

#### **Seychelles Target Site Description**

The selected target site for the Seychelles is the district of Bel Ombre, which is located in the North of Mahe Island. With a total area of 9.2 km<sup>2</sup>, and around 3,500 inhabitants, the site can be considered as densely populated (384 hab/km<sup>2</sup>). The site is a home to natural sites of national and international significance, including Mare Aux Cochons (Ramsar site wetland) and Anse Major (turtle nesting beach). The district of Bel Ombre has several important economic activities including artisanal fisheries (with a functioning fisherman association), farms and developed tourism industry, including well established hotels such as the Meridien and Berjaya Hotels. These hotels have started to build collaborative relationship with the local community.

The newly created Bel Ombre Action Group is active in coastal management issues, and the environmental NGO Sustainability for Seychelles is implementing a project funded by the European Union with the objective to empower the citizens of Bel Ombre to effectively participate in decision-making and policy-making for sustainable development in their community and in Seychelles. Another dynamic stakeholder within the community is the The Bel Ombre School with 250 students and over 40 staff.

#### **Sri Lanka Target Site Description**

The selected target site for Sri Lanka, Delft Island, is the largest island in the Palk Bay in Northern Sri Lanka; with area of 4,034 ha. Delft has been inhabited from historical times, and in recent history its population has fluctuated due to disturbances in the past, reducing from around 12,000 inhabitants in 1960 to 4124 in 2007 during the peak of the conflict. Currently it has around 5,000 inhabitants and it's a very unique island with preserved traditional and customary practices. Its vegetation is semi-arid tropical consisting of Palmyra palms, thorny scrubs and grasses. Its soil is porous with ancient coral limestone and freshwater is scarce especially during the dry season. After the end of the conflict in Sri Lanka the island is facing rapid development and inflow of tourists. The government of Sri Lanka is already working on different assessments and planning for sustainable development for Delft Island, and would benefit from focusing the attention of this project here on natural resources governance on the island. With rapid development the island and its marine environment would be subject to pressures that the island did not experience in the past and impacts of development would be highly damaging to its sensitive ecosystems.

The main economic activity of the Delft Islanders is fishing; today 15% of the population are engaged in this sector. The catch is purchased by five Fisheries Cooperative Societies which has a long history of existence. The Fisheries Cooperative Societies are vital for the people. They are benefitted through the supply of fuel, fishing gear and also credit facilities. These societies are also involved in constructing roads and building houses. Other activities are agriculture and cottage industries such as handlooms, coir production and handicrafts from Palmyrah trees. Some activities such as toddy tapping, home gardening, vegetable cultivation and livestock have not shown much improvement. About 1/3 of the population receives financial assistance from the government. About three hundred and fifty families lack permanent houses and 205 families lack sanitary facilities.

The Island comes under a single Divisional Secretary Divisions and has been divided into six Grama Niladari Divisions. The Assistant Government Agents office lacks the required service staff. Administrative services such as housing, urban planning, environmental and livestock matters are provided from the Divisional Secretariat located on Kayts Island to the west of Jaffna Peninsula.

There are many threats to the island's ecosystems and biodiversity. Overgrazing of pastures, impacts of introduced species that have becomes invasives, inadequate freshwater are some of the major land use issues. Water is a scarce commodity on the island there is significant mortality of Delft Ponies and cattle during the drought. In addition the marine environment may be severely affected of pollution increases from waste water discharge due to increased development and the harvesting of marine resources to cater to a growing economic need.

#### **Thailand Target Site Description**

Koh Tao, a small island (21 km<sup>2</sup>) in the Gulf of Thailand is the selected target site for Thailand. Each year, Koh Tao attracts 300,000 to 400,000 tourists and generates USD 62 million of revenue from tourism. The island's future is threatened by rapid development, over-exploitation of the fisheries and coral reef resources and increased sedimentation due to deforestation. Waste water treatment systems are not sufficient and nutrient and sewage pollution is increasing in the bays where algae out compete corals.

Major success to date has been the development of the "Koh Tao Integrated Coastal Management Strategic Plan" in partnership with the Department of Marine and Coastal Resources (DMCR), Prince of Songkla University, local government, and the Office of National Environmental Policy and Planning. Koh Tao is now considered "environmental protection area", and has been selected by DMCR as a pilot site of locally-managed protected areas, and the findings from this process are being utilized for the discussion on the proposed Promotion of the Marine and Coastal Resources Management Bill. Another interesting initiative has been supported by the Sukothai Dhammatirat University and Thailand Research Fund, which developed a model of Koh Tao Conservation Trust Fund as a Payment for Ecosystems Services (PES) mechanism for financing protection, restoration and conservation of the island's natural resources.

Local resident have increasingly been working on island restoration. Through its social networks, the "Save Koh Tao" group is sharing information and knowledge across different stakeholders. A major challenge has been balancing the needs of individuals against the collective good of the community and the environment and more work is needed to increase capacity and involve all stakeholders. In addition, land tenure and land ownership problems are complex and reduce the effectiveness of the master plan. Selecting Koh Tao as a target site for this project is seen as an opportunity to build upon on-going initiatives and strengthen the public participation in natural resources governance.

#### **5. Stakeholders and Partners**



This project will involve wide-range of stakeholders to a varying degree in all project countries. Among the initial activities as part of the national reviews, detailed mapping of the stakeholders at national and target site level will be conducted, and a plan to involve them in the interviews and focus groups will be developed. During the workshop, the participants started initially listing some of the key partners and stakeholders that generally fit into the following categories:

Table 1: Overview of Stakeholders and Partners in the four project countries

STAKEHOLDERS				PARTNERS
Government Institutions (National level)	Government Institutions (District and local level)	Local communities and community-based organizations	Private sector	
<b>Seychelles</b>				
Ministry of Land-use and housing  Ministry of Environment and Energy, which is also the parent ministry of the Seychelles National Park Authority  Ministry of Natural Resources and Industries, which is the parent Ministry of the Seychelles Agricultural Agency  Seychelles Fishery Authority  Ministry of Community Development Department	District offices of relevant Ministries (as listed in column 1), including the Ministry of Community Development Youth, Sports and Culture	Bel Ombre Action Group  NGO Sustainability for Seychelles  The Bel Ombre School  Fisherman association  Church group	Hotels (e.g. Meridien and Berjaya Hotels that are collaborating with local communities)  Artisanal fisherman  Farms	European Union – funded project, working to empower the citizens of Bel Ombre to effectively participate in decision-making and policy-making for sustainable development
<b>Sri Lanka</b>				
Coast Conservation and Coastal Resources Management Department (primary state agency responsible for coastal zones management)  Ministry of Planning and National Development  Ministry of Fisheries	Municipal Councils: Divisional Secretariat, located on Kayts Island oversees Delft's island administrative issues such as housing, urban planning, environmental and livestock matters	Fisheries Cooperative Society	Fisherman  Subsistence farmers, handicrafts makers, toddy collectors	Government programs for Delft Island (tbi in more details)

and Agriculture				
Ministry of Housing and Environment				
Ministry of Tourism				
<b>Maldives</b>				
Department of Fisheries and Aquatic Resources	Local Government Authority, Atoll, Island and City Councils	Local NGOs and associations		GEF projects, UNDP Maldives activities
Ministry of Environment and Renewable Energy	Island Development Committee			Live and Learn
Ministry of Construction and Public Infrastructure	Woman Development Committee			
Central Environmental Authority				
Department of Wildlife Conservation Forest Department				
<b>Thailand</b>				
Ministry of Natural Resources and Environment – primarily the Department of Marine and Coastal Resources	Koh Tao Municipality in Thailand (recently established) and Koh Pha-ngan district office	Save Koh Tao community group	Hotels Scuba diving providers	Prince of Songkla University
Other departments such as Department of Fisheries, Department of Land Development and Royal Forestry Department and Department of Treasury				Sukothai Dhammatirat University
Ministry of Interior				Thailand Research Fund
Office of the National Economic and Social Development Board				On-going IUCN (and other) projects

## 6. Implementation Arrangements

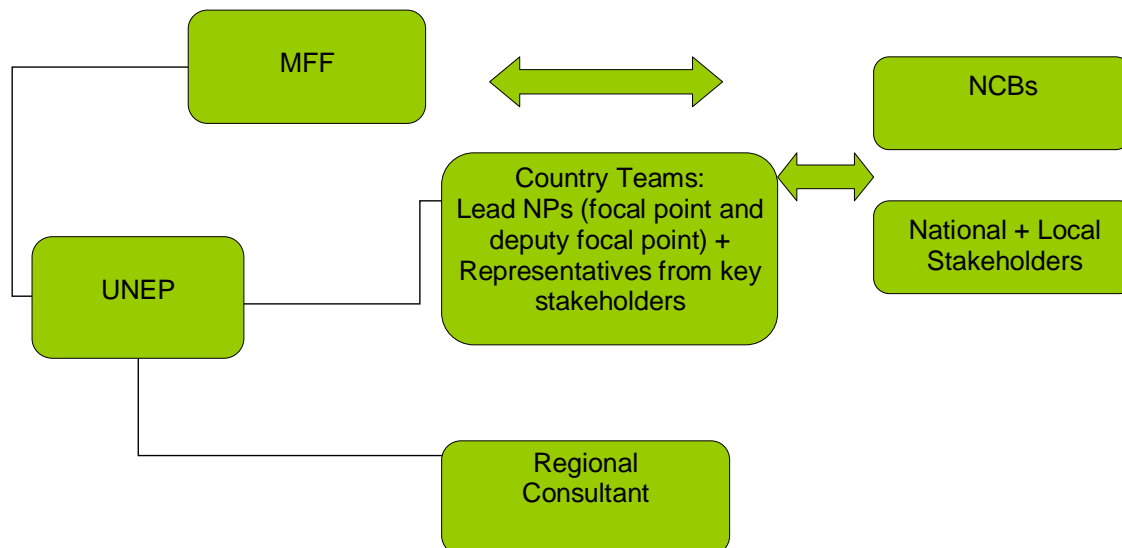
UNEP is the primary project proponent and a donor agreement between MFF and UNEP has been signed, under which UNEP has the overall responsibility for delivering the project outputs. Specific responsibilities for UNEP / COBSEA team: 1) Ensure overall coordination and communication among project implementing partners, 2) Monitor and ensure timely delivery of project activities, 3) Ensure quality of outputs, 4) Prepare and submit periodic progress reports to MFF, according to the agreed reporting schedule (Table 4), 5) Monitor and revise the budget according to the actual implementation needs, 5) Ensure communication of project results, 6) Identify and bring to appropriate attention any challenges with implementing the project activities. In addition, UNEP's team will be responsible for compiling the resource toolkit and for providing inputs in the design of the training materials.

The project will be implemented through a partnership approach, by the lead National Partners in each country, under the guidance of UNEP. The project will be steered through a simple mechanism based on periodic review of the project progress, challenges and plans by the focal point from the lead National Partners, UNEP, and MFF Secretariat. (Annex 7: Project focal points) The timing of the review will follow the implementation of the main project activities, the detailed work plan for each year and the deadlines set for delivery of the project outputs. The reviews will be done through e-mail correspondence or telephone communication to reduce costs. The first periodic review will be organized after the first progress report is submitted to MFF on 15 July.

Minor changes in terms of activities, implementation or administration, will be decided by UNEP in consultation with MFF National Coordinating Bodies (NCBs) and partners. Should significant revision of project objectives, outputs, activities, timelines or budgets be required or requested, a suitable amendment will be agreed jointly by project partners, NCBs and UNEP, and approval will be requested from the MFF Secretariat by UNEP.

Country teams are currently being formed by the National Partners, based on a subset of NCB member organization and ensuring direct participation of local government/administration, local NGOs and community organizations in target areas. This will create a direct liaison with NCBs, and in addition, the NCBs in each country will be kept updated through the focal points regarding the project progress. All main reports and deliverables for the project will be shared with the NCBs and their feedback and guidance will be feed back to project implementing partners.

Figure 1: Project Implementing Mechanism



Project activity budgets will be allocated to national partner institutions through appropriate contractual arrangements with UNEP (following UNEP administrative and financial procedures), to support them in undertaking project activities. Contract types used for this project:

- **Consultant Contract** with Individual Consultants:

**Regional Consultant** – to provide technical backstopping and guidance to the lead National Partners and/or national consultants and the country teams for conducting the national reviews, identifying opportunities for governance change on small islands and during the capacity building and/or pilot interventions. It was decided to have one contract with the Regional Consultant for completing the activities in phase 1 and phase 2, and a second consecutive contract for phase 3 and 4. The decision was based on the budget availability as well as to ensure that the technical inputs provided by the Regional Consultant during phase 3 and 4 are tailored according to the specific needs identified in the first year of the project. The duration of the first contract is from 07 March 2013 to 08 March 2014 (TOR provided in Annex 8)

**National Consultant, Thailand** – the lead NP in Thailand (IUCN, Thailand) in consultations with the main project stakeholders identified that the most feasible option for implementing phase 1 and phase 2 activities in Thailand is to contract an individual consultant. As stated in the TOR (Annex 9) the consultant will work in close collaboration with the Thailand country team. Contract duration is from 15 May 2013 to 14 February 2014.

National Consultant, Maldives – considering the fact that the initial plans for signing an inter-agency agreement with the lead NP in the Maldives (UNDP, Maldives) were significantly delayed and were putting the overall project implementation at risk, it was proposed to contract a National Consultant, who would be working under overall supervision on UNEP but in close consultation with UNDP Maldives (e.g. draft outputs would have to be approved by UNDP Maldives before submitting to UNEP). The contract for the National Consultant and the detailed TOR were being finalized and discussed with UNDP Maldives at the time of finalizing this inception report.

- **Small Scale Funding Agreement (SSFA)** with National Partners in the Seychelles and Sri Lanka:

SSFA 1 for implementing phase 1 and phase 2 activities (i.e. conducting the national reviews and stakeholder consultations, identifying the specific capacity building and/or pilot interventions, and for designing and/or adapting training materials). The detailed scope and the activity implementation plan for these SSFAs is provided in Annex 10. The duration of the first SSFA is from mid-June 2013 to end of February 2014.

SSFA 2 for Implementing the capacity building and/or pilot interventions and ensuring project communication of project results at appropriate levels.

## 7. Summary of studies done so far and the expectations of the stakeholders

As part of the preparations for the inception workshop, the main outputs from the 2005-2007 governance and ICM reviews<sup>1</sup> (country reports and briefs, framework and literature review) were shared with the project partners. They were tasked to summarize the key findings from the 2005-2007 reviews and to outline the main changes at national and/or local level that took part since, and should be considered by the project. Short summary of their presentations is given below.

**Maldives** is undergoing a decentralization process and island, atoll and city councils have been created to provide for a decentralized administration. ICM approach is integrated in the decentralization plan, but its actual implementation is a challenge, as there is limited funding and capacity at local level. Often there is overlap and conflict over responsibilities, and many councilors are inexperienced. There is a lack of participation of women in governance processes. While local councils are obliged to provide information to the public, lack of capacity and funding is often preventing this. Therefore, this project is well placed to contribute to the overall decentralization processes in the Maldives.

In the **Seychelles**, there has been a shift in the institutions responsible for ICM, and currently there are multiple laws and institutions dealing with ICM issues with somewhat unclear mandate. At the same time, a number of laws relevant for the scope of this project are currently under review, including: Environmental Protection Act - for the environmental impact assessment process influencing the establishment of sensitive areas, coastal zone management, and waste management, the Town and Country Planning Act, the National Land Use Plan, National Parks and Nature Conservancy Ordinance, and the State Land and River Reserves Act. There has also been increased number of training opportunities through different initiatives that the project needs to consider during the capacity needs assessment and in the design of training and pilot scale interventions.

In **Sri Lanka**, a number of positive changes in governance indicators have been identified since the MFF governance assessment was completed in 2008. The mandate of several relevant institutions has changed, along with their names, including the Marine Pollution Protection Authority, which under the Marine Pollution Prevention Act No. 35 of 2008 was re-named to Marine Environment Protection Authority; The Fauna and Flora Protection Ordinance was amended in 2009; and under the Coast Conservation (Amendment) Act No. 49 of 2011, the Coast Conservation Department was re-named as Coast Conservation and Coastal Resources Management Department. Following the end of the conflict, Sri Lanka has been facing with a mounting pressure for rapid economic development that inevitably puts under pressure the country coastal environment.

In **Thailand**, there haven't been any significant changes in processes at national level. The 2007 constitution sets the basis for public participation in natural resources governance and management. A major challenge for Thailand is the actual implementation of the legislative framework for citizen participation and transparent and accountable government. The draft

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<sup>1</sup> These include: 1) Maldives: Assessment of National Institutional Mechanisms and Programmes for Integrated Coastal Management (ICM) To Identify and Operationalise Appropriate, Inclusive and Sustainable MFF Governance Mechanisms, Prepared by Environment Research Centre, Male, Maldives, January 2008; 2) Seychelles: Governance performance in integrated coastal management, Prepared by UNDP Seychelles, October 2008; 3) Sri Lanka: Governance performance in integrated coastal management, Prepared by the International Water Management Institute, March 2008, and 4) Thailand: Assessment of National Institutional Mechanisms and Programmes for Integrated Coastal Management (ICM) to Identify and Operationalise Appropriate, Inclusive and Sustainable MFF Governance Mechanisms, Prepared by the Thailand Environment Institute, March 2008.

promotion of the Marine and Coastal Resources Management Bill that is currently under way is expected to support such processes in the area of integrated coastal management.

## **8. Description of methodologies**

Updating the 2005-2007 reports is the first task for the national reviews. The revised review frameworks were shared with the country representatives shortly after the workshop. The National Partners (or national consultants) will work on updating the literature review and the different sections of the 2007 reports, and identifying the changes occurring since then.

MFF's cross-cutting themes (gender, climate change and communication) will be fully considered when conducting the reviews.

Existing provisions in national laws that address **gender equality** will be identified, along with identifying the institutions with mandate that includes gender equality, particularly in the context of natural resource governance. The reviews will also look at the processes that have been instituted to address issues of gender equality, particularly in the context of natural resource governance.

The reviews will assess if and how national laws consider **climate change**, and whether climate change impacts, adaptation and mitigation strategies have been integrated in wider governance frameworks. Constraints and opportunities for integrating climate change issues in governance of natural resources on small islands will also be identified.

The reviews will assess and identify how information is **communicated** under the existing governance frameworks, both within the responsible institutions and the wider public. This assessment is relevant not only for identifying pathways for sharing information and project findings, but also for identifying the mandate overlaps and coordination issues among the relevant institutions. More information on the project's communication plans is provided in Section 12.

The governance assessment grid developed through the 2005-2007 assessment was presented at the inception workshop. The participants had a chance to discuss the grid and to test how it could be used for filling in their country-specific information.

It was agreed to use this grid as the basis for conducting rapid assessment of the major governance issue(s) at national level and to carry out stakeholder consultations and assessment of the major governance issue(s) at the target sites. In addition to the governance indicators used in 2007, the project partners agreed to add one more element specific for this project – Capacity required to address the identified issues.

Using the governance grid will be the second step of the review process, through which major issues at national and target site level will be identified, with a focus on capacity required to address each issue and identification of any national-level and target site issues that are within the scope of this project. The reviews will also outline recommendations for addressing issues that are not within the scope of this project but which will influence the short-term, medium-term, and long-term impact of activities at pilot site level.

Table 2: Revised Governance Assessment Grid

	Issues at National Level					Capacity Required to address each issue identified
	Transparency	Accountability	Predictability (“rule of law”)	Public participation	Access to justice	
<b>Laws and other norms</b>						
<b>Institutions</b>						
<b>Processes</b>						

Focus groups with representatives of different stakeholder groups will be used to provide information for completing the assessment grid. The composition and the size of the focus groups will be defined by National Partners/consultants in consultation with the regional consultant and UNEP.

The methodologies for the capacity building and/or pilot scale interventions will be developed further in the project, as they will depend on the identified capacity gaps and opportunities for specific actions. Existing toolkits and training manuals will be reviewed in details in order to extract specific information relevant for the identified topics and target groups. The trainings will be largely based on an experiential learning approach that allows participants to involve and reflect on their experiences and to make decisions that would lead to practical problem solving. The trainings might be incorporated into pilot-scale interventions that are directly targeted at supporting on-going processes for strengthening public participation in natural resources governance.

## 9. Description of projects risks and mitigation plan

During the project preparation two main areas of risks were identified and listed in the project document: 1) Obstacles to collaboration between stakeholder groups may exist due to conflicting interests and perceived inequalities, and 2) Coordination and communication between different levels of government and other stakeholder groups might be a challenge.

The national reviews of natural resources governance processes are designed to provide a platform for collating information and views of all stakeholders. Active participation will have to be ensured by different stakeholder representatives in completing the assessment grid and any indications of potential difficulties due to lack of communication or conflicting interests should be considered in the design and the final decision of capacity building and/or pilot interventions. The project risks were further broadened during the presentations and discussions at the inception workshop, and are summarized as follows:

1. An immediate risk for the Maldives identified during the inception workshop were the upcoming presidential election (September 2013), which is anticipated to affect the on-going decentralization process, by probable halting of many of the on-going activities and changes in personnel at both national and local level.

2. However, following the inception workshop, there was a delay with initiating the activities in the Maldives. This was primarily driven by delays with organizing the NCB meeting, but has nevertheless posed a direct risk for the overall project implementation.
3. Another risk identified as very important by all four countries is the lack of coordination at institutional level. There are multiple laws and institutions dealing with management of marine and coastal resources with somewhat unclear mandate. The authority and land-use overlaps will pose a particular risk when dealing at target site level. For example, in the Seychelles there is a boundary overlap of areas assigned for management vs. areas for conservation. Similar issue is relevant for Koh Tao, Thailand's target site as the development and zoning regulations are out of date and made at central level under the jurisdiction of the Thai Department of Treasury. This makes decision-making at local level difficult and while local initiatives may work to get the community involved, they cannot solve the systemic problems of poor development decisions.
4. Failing to adequately involve the private sector might pose a risk for some of the countries, e.g. in Sri Lanka where there is an increased interest for private sector investments in the coastal areas, or in the Seychelles where there is a legislation on Corporate Social Responsibility, but no clear incentives for private sector engagement.

#### Risk mitigation

These identified risks will have to be fully considered during the national reviews, by ensuring comprehensive overview of mandate, mandate overlaps and coordination challenges, based both on literature and legislation review and discussions with wide range of stakeholders. Specific risk mitigation strategies discussed and agreed during the Inception Workshop include:

1. During the inception workshop it was discussed and agreed that in order to avoid delays, it's important to plan and conduct the national reviews of natural resources governance frameworks in the Maldives before the presidential elections. However, given the overall delays with starting the project implementation on time in the Maldives, different mitigation strategy should be considered. In order to move the process forward faster it was proposed to contract a National Consultant that would work in close collaboration with UNDP, Maldives, with a clearly defined TOR.
2. The national reviews should clearly identify the mandate and responsibility overlaps among different agencies and should propose recommendations for addressing this for consideration by the relevant national institutions.
3. The stakeholder mapping and consultation processes should pay specific attention to the private sector players and involve them in the capacity building and/or the pilot interventions. Also, lessons from other areas or projects with a successful engagement of the private sector should be made available to the project implementers, and MFF and UNEP can support this.

A general concern shared by all project partners is that it might be difficult to achieve an actual change in natural resources governance on small islands within project period, as this depends on action by specific authorities with the legal mandate to enforce such changes. However, as outlined in the revised log frame (Annex 3), there are certain actions that can be undertaken through this project to ensure that long-term positive changes in natural resource governance can be achieved beyond the life of this project.

#### **10. Budget and financial disbursement arrangements**

Following the Inception Workshop discussions, it was agreed to prepare a budget template that includes the co-financing commitments from project partners and reflects the regional consultant's time spent on different activities. Summary of the co-financing commitments for all project partners is provided below.



**Maldives Contribution (USD 10,000):** In addition to the inputs for implementing the project activities in Sri Lanka already budgeted in the project, UNDP Maldives will provide in-kind contribution through staff time for providing management and technical support: Staff time for overseeing the outputs of the National Consultant, providing guidance and ensuring exchange of information with the NCB members. Logistic support (meeting and/or training facilities) for conducting the stakeholder consultations and for any training/capacity building activities.

**Sri Lanka Contribution (USD 10,000, in kind):** In addition to the inputs for implementing the project activities in Sri Lanka already budgeted in the project, IUCN Sri Lanka will provide in-kind contribution through staff time for providing management and technical support: Acting Country Representative IUCN Sri Lanka estimated at additional 0.5 day/month for a period of 2 years (USD 6,600) and National Focal Point estimated at additional 1 day/month for a period of 2 years (USD 1,200). Meeting room and office rent for a period of 2 years (USD 2,200).

**Seychelles Contribution (USD 10,000, in-kind):** In addition to the inputs for implementing the project activities in the Seychelles already budgeted in the project, Seychelles country team will provide the following in-kind support: Technical inputs and logistic support from the Seychelles National Park Authority and from the NGO Sustainability for the Seychelles, as well as meeting and training facilities at the target site. Total in-kind contribution can be estimated at USD 10,000 (USD 7,000 for technical and logistic support and USD 3,000 for meeting and training facilities).

**Thailand Contribution (USD 10,000 in-kind):** In addition to the inputs for implementing the project activities in Thailand already budgeted in the project, Thailand country team will provide the following in-kind support: Technical inputs from the DMCR officers and the Prince of Songkla University, as well as logistic and operational support from Koh Tao Municipality staff and Save Koh Tao Community Group. Meeting and training facilities at the site will also be provided as in-kind contribution. Total in-kind contribution can be estimated at USD 10,000 (USD 7,000 for technical and logistic support and USD 3,000 for meeting and training facilities).

**UNEP Contribution (USD 38,000, in-kind):** In addition to the overall project coordination that is already budgeted in the project, UNEP will provide technical support in developing the project outputs, in particular compiling the resource toolkit and developing communication products. This will be enabled through an in-kind contribution of UNEP staff time: Ecosystem Management Consultant estimated at additional 3 day/month spent on this project (app. USD 20,000 for a two-year period) and Coral Reef Unit Head estimated at additional 1 day/month spent on this project (app. USD 18,000 for a two-year period).

The 'methods for reporting leverage of MFF funds', prepared by the newly established MFF Management Committee, were mentioned, were shared among project partners. Due to the limited budget, the need to collaborate with on-going projects was emphasized, although this should be done through a careful assessment and by ensuring that the progress and the impact of the project are not put at risk.

Table 3: Project budget including co-financing contribution

Item	2013	2014	Total (USD)	In-kind co-financing contribution (USD)
National reviews: Regional Consultant's time and travel for national reviews support and regional synthesis)	31,000		31,000	UNEP: USD 10,000 NPs: 20,000
National reviews, stakeholder consultations and planning training and/or pilot interventions: Contracts with NPs / National Consultants	28,000			
Capacity building and/or pilot interventions: Regional Consultant's time and travel		14,000	14,000	UNEP: 14,000 NPs: 20,000
Capacity building and pilot interventions: Contracts with NPs		52,000	52,000	
UNEP's travel: monitoring, learning, documentation	8,000	9,000	17,000	
UNEP: Project Coordination	13,000	13,000	26,000	
Publications and Outreach	8,000	9,000	17,000	UNEP: USD 14,000
Programme support costs	7,500	7,500	15,000	
<b>TOTAL MFF Contribution (USD)</b>	<b>95,500</b>	<b>104,500</b>	<b>200,000</b>	
<b>TOTAL Budget (USD) Including in-kind contribution</b>				<b>278,000</b>

## 11. Work Plan

The overall project work plan and the detailed work plan for 2013 were discussed and adopted at the inception workshop (Annex 5 and Annex 6). It was also acknowledged that while this is a regional initiative, it is important to adjust the detailed work plan according to country needs as implementation arrangements for activities are being formalized. This was taken in consideration and is reflected in the activity implementation plans of the SSFAs and the TORs of the National Consultants.

Country partners will ensure that implementation of activities is done within the agreed general timeframe, and according to the budgetary allocations. Departures from the work plan may be possible, based on requests from National Partners and agreement with UNEP as well as MFF

where needed. Where such changes have implications for payment schedules (e.g. starting the trainings or the pilot interventions early) project and budget revision may be required.

## **12. Monitoring, Learning and Evaluation**

Monitoring of activities, deliverables and impact will follow UNEP procedures and practices for projects. Contracts with National Partners and regional consultant will include detailed monitoring schedules per outputs.

This project aims at identifying the opportunities for governance change and support governance reforms by building capacity at appropriate levels. The governance grid that will be used for the national reviews includes the key governance indicators that will be assessed at national and target-site level. As outlined in the roles and responsibilities table (Annex 4) the design of the capacity building and pilot interventions will have to include clear indicators for measuring and monitoring the impacts of the proposed actions. These indicators will be developed with support from the regional consultant and will consider inputs from previous work and available knowledge, and will serve as a basic monitoring tool for measuring the impacts of the capacity building and/or pilot-scale interventions that will follow.

In practical terms, a very important first step towards achieving measurable impacts is the identification of clear issues that can be addressed within the scope of this project and the capacity required to do so. National Partners and or national consultants, regional consultants and UNEP will have to ensure that these are fully captured in the national review reports. The reviews will also outline recommendations for addressing issues that are not within the scope of this project but are relevant for its scope. Documenting and communicating these recommendations is equally important for following up on the long-term impacts that will extend beyond the life of this project. Revised logical framework for the project that reflects the workshop discussion is provided in Annex 3.

Final project evaluation will be organized by MFF, three months before the official end of the project.

### **Communicating the project**

During the inception workshop, it was agreed that communicating project findings will be considered from the early stages of the project, and efforts to develop a clear communication strategy from the beginning will be made in order to adequately document and analyze the expected changes from the project. It was also pointed, that such strategy also makes synthesizing lessons learnt from the project more meaningful, because "stories of change" throughout the project are effectively identified and captured.

The following table outlines some of the key communication materials envisaged as part of this project. These will be updated and adjusted as needed during the first year of the project, to integrate information on the target audience and information dissemination pathways gathered with the national reviews of natural resources governance and the stakeholder consultation.

Table 4: Communication materials and mix

Target audience	Communication material	Message	Timing
Wide audience: government institutions at national, sub-national and local level, community organizations and private sector representatives at the target sites.	General Project brief	Introducing the project and providing short summary of anticipated activities, time frame and expected results	Project start (before June 2013)
Media at local and national level	Newspaper articles featuring the project	Introducing the project and providing summary of anticipated activities	Throughout the first year of the project (As notable achievement or event occurs)
National-level decision makers	Policy briefs	Sharing the key findings from the national review reports, including recommendations for natural resources governance changes	October – November 2013
Local, sub-national and national-level decision makers in each of the four targeted countries	Project briefs documenting the impacts of the capacity building/pilot level activities	Sharing the impacts (changes) in natural resources governance processes at the target site as a result of the project's capacity building/pilot activities	October – November 2014
Media at local and national level	Newspaper articles featuring the project	Summarizing the project results	Towards the end of the project
Regional project partners	Project completion brief (electronic version only)	Summarizing the project results, lessons learnt and possibilities for follow up	October – November 2014
Wide audience	Video clips (tbc)	Share information on project progress and ensure that project reports are available to the public	September – November 2014
Wide audience	Project information, updates and report are uploaded on MFF, UNEP, COBSEA web pages (Web Story; Project documents to be uploaded on web pages are listed in Annex 8)	Share information on project progress and ensure that project reports are available to the public	Throughout the project (Schedule identified in Annex 8)

Among the first steps, a general project brief will be developed by UNEP. National partners can tailor this if needed for national communication efforts, including through inclusion of complementary information on country specific activities. Similar project briefs will be developed during the project to inform on project progress, completed activities and achieved outputs.

The country teams will lead the identification of national pathways for disseminating the project lessons at national and local level, and (as described in section 5) this will be integrated in the

national reviews process. MFF, UNEP and COBSEA channels will be utilized for reaching regional audience. The MFF website has a project page dedicated to this project, <http://www.mangrovesforthefuture.org/grants/regional-initiatives/mapping-and-enhancing-natural-resource-governance-in-small-island-communities/>, where news, events and project updates will be posted regularly. MFF will also ensure that all project documents are stored in the password-protected "Exchange" page of the MFF website.

UNEP's Regional Office and COBSEA web pages will also allocate area for sharing information on the project, with links to the MFF web page.

### 13. Reporting

UNEP will be responsible for compiling the information from the project partners and reporting on the project progress to MFF according to the following schedule:

Table 5: Reporting schedule to MFF

Inception Report	Two weeks after the Inception Workshop
1 <sup>st</sup> progress report (for the period 1 January – 30 June 2013) including financial report	15 July, 2013
2 <sup>nd</sup> progress report (for the period 1 July – 31 December, 2013) including financial report	15 January, 2014
3 <sup>rd</sup> progress report (for the period 1 January – 30 June, 2014) including financial report	15 July, 2014
Terminal Report with final financial report	December 2014

In addition, a quarterly bulleting tracking the project progress will be compiled by UNEP based on input from National Partners and shared with all project implementing partners and other institutions electronically. The reporting schedules for the NPs and/or consultants will be included in the separate contracts. These include (but are not limited to):

- Quarterly progress reports
- Submission of deliverables according to agreed delivery date
- Final report
- Expenditure statement (for SSFAs and Inter-agency agreements)

### 14. Conclusions and next steps

The inception workshop provided excellent opportunity to review the project document, discuss and clarify the different project elements and agree on the detailed project implementation. Based on the final discussions, several immediate steps were identified and will be undertaken by the different project partners:

- Prepare the Inception Workshop Report (UNEP):
  - Draft and circulate the inception report (UNEP) – completed (shared with NPs and other workshop participants on 19 March 2013)
  - Provide comments and inputs as needed to the inception report (NPs and national partners, regional consultant) – completed (comments and inputs from NPs and other workshop participants were collated and integrated in the final report)
  - Finalize the inception report and submit to MFF (UNEP) – completed, inception report with consolidated inputs submitted to MFF on 1 May 2013.
  - Comments from MFF Secretariat received on 10 May 2013

- Address comments from MFF Secretariat, discuss project implementation issues with Maldives NPs and prepare revised inception report (UNEP) – completed, revised Inception Report submitted to MFF Secretariat on 20 June 2013.
- Prepare and share guidelines for target site description (UNEP) - completed
- Share the final inception report with the NCBs in each country (NCB focal points) – pending final approval by MFF
- Prepare and sign contracts for conducting the national reviews (NPs and UNEP) – partially completed (pending signing of contract with Maldives National Consultant)
- Agree on the national review format and methodology proposed by the regional consultant (NPS, UNEP) - completed
- Prepare a general project brief (UNEP) and tailor it according to the specific country needs (NPs) – currently developed by a designer
- Upload information on the project and the inception workshop on MFF, UNEP and COBSEA web pages – partially completed – pending final approval of the inception report by MFF as well as the final version of the project brief
- Provide information on the proposed target sites (Maldives and Seychelles) and/or provide more information on the already selected target sites (Sri Lanka and Thailand) – partially completed (Maldives have not identified a target site yet)

## **15. List of Annexes**

Annex 1: Inception Workshop Participants  
 Annex 2: Inception Workshop Agenda  
 Annex 3: Revised Logical Framework  
 Annex 4: Revised Roles and Responsibilities table  
 Annex 5: Project work plan - general  
 Annex 6: Detailed work plan for 2013  
 Annex 7: Project focal points  
 Annex 8: Terms of reference Regional Consultant  
 Annex 9: Terms of reference National Consultant, Thailand  
 Annex 10: SSFAs – activity implementation plan  
 Annex 8: List of project reports to be uploaded on the partners web pages

## Annex 1: Inception Workshop Participants

No.	Prefix	Name	Organization
1	Mr.	Mohamed Inaz	UNDP Maldives, UN Building Buruza Magu, Male Maldives Tel: +960 332 4501 / Fax: + 960 332 4504 Email: mohamed.inaz@undp.org
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14	Mr.	Pitoon Panchaiyabhum	Director of Marine and Coastal Resources Conservation and Rehabilitation Centre, DMCR Bangkok Thailand
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28	Ms.	Tanya Wattanakorn	IUCN 63 Sukhumvit Soi 39 Sukhumvit Road, Wattana Bangkok 10110 Thailand

## Annex 2: Inception Workshop Agenda

DAY 1 (March 4, 2013)		
Time	Activity	Resource Person
08.30 – 09.00	Registration in front of the Tubtim meeting room on the 2 <sup>nd</sup> floor	
<b>Introducing the project</b>		
09.00 – 09.30	Opening of the workshop and welcome remarks	DMCR, MFF UNEP
09.30 – 09.50	General Overview of the project and the workshop: Background/ Main activities /Expected outputs Workshop Objectives	UNEP
09.50 – 10.05	What does governance mean to you? Overview of the project terminology	Patti Moore, Regional Consultant (RC)
<b>Governance of natural resources in small island communities</b>		
10.05 – 10.20	MFF Governance and Integrated Coastal Management assessments: Overview and utility for the project	RC
10.20 – 10.40 Coffee break		
10.40 -11.30	Maldives, Seychelles, Thailand, Sri Lanka – brief review of country governance assessment findings and of governance changes since these assessments were undertaken	National Partners (NP)
11.30 – 12.30	Discussion on recent developments, with focus on updating needs and identifying the scope and focus points for the national reviews (country groups )	Facilitator: RC
12.30 – 13.30 Lunch		
<b>Planning for action</b>		
13.30 – 14.30	Present country group work in plenary and initiate discussion on the scope, focus and formats for the national reviews	Facilitator: UNEP/RC
14.30 – 15.30 (includes coffee break)	Target site discussion and review of the target site selection guidelines	UNEP / NP / RC
15.30 – 16.30	Project planning: Present the draft Work Plan and Roles and Responsibilities table, followed by discussion and general agreement on tasks by project partners	UNEP
16.30 – 17.00	Summary of day 1 and brief overview of plan for day 2	UNEP
DAY 2 (March 5, 2013)		
Time	Activity	Resource Person
<b>Planning for action</b>		
08.30 – 09.30	Discussion on project outputs: National Reviews - Summary of day 1 national reviews discussion and agreement on the scope, focus and formats for the national reviews	RC
09.30 – 10.30	Discussion on project outputs: <ul style="list-style-type: none"> <li>Resource toolkit(s) scope and functions</li> <li>National level capacity building/pilot interventions</li> </ul>	UNEP

10.30 – 11.30 (including coffee break)	<b>Project administration, reporting, and communication:</b> Budget overview Administrative/contractual requirements Agreeing on reporting schedule	UNEP
11.30 – 12.00	Finalize discussions and agree on the detailed work plan for the first phase	Facilitated by UNEP
12.00-13.00 Lunch		
13.00 – 14.00	<ul style="list-style-type: none"> <li>• MFF cross cutting themes in the project: climate change, gender, communication</li> <li>• National mechanisms and pathways for disseminating project findings; communication materials needed; translation requirements etc.</li> <li>• Risks and mitigation</li> </ul>	UNEP
<b>Closing the workshop</b>		
14.00 – 15.00	Synthesis of decisions Overview of inception report content Overview of immediate next steps	UNEP/ NP / RC
15.00 – 15.30	Official closure of the workshop	NP / UNEP

### Annex 3: Revised Logical Framework

Intervention Logic	Objectively Verifiable Indicators (OVIs)	Source of Verification (SoV)	Assumptions
<b>Goal / Expected Outcome</b>			
Increased understanding of natural resources governance processes and frameworks on small islands, support positive changes in natural resources governance during the project life-time and enable conditions for future governance reforms.			
<b>Overall Objective</b>			
Enable natural resource governance in small island environments in the Maldives, Seychelles, Sri Lanka and Thailand, that integrates and builds on the respective strengths of local and community-based approaches as well as national legal frameworks and government policies is enabled and supported.			
	<ul style="list-style-type: none"> <li>Coastal management and development plans at local, regional and/or national level reflect recommendations from this project.</li> </ul>	<ul style="list-style-type: none"> <li>Project reports document the changes in natural governance processes at appropriate levels in the target countries as a result of this project.</li> <li>Recommendations for natural resources governance reforms that are beyond the scope of this project, are documented and are drawing upon the processes and tools developed under this project.</li> </ul>	Countries are interested and have the capacity to address issues and recommendations proposed by the project.
<b>Objectives</b>			
1. To generate a detailed understanding of natural resource governance frameworks and identify opportunities for governance change on small islands in target countries.	<p>Review reports detailing natural resource governance frameworks, legislation, policies as well as mandates and responsibilities of relevant agencies, based on national and target-site review and stakeholder consultation, and including recommendations for addressing governance issues.</p> <p>§ Policy briefs targeting national-level decision makers</p>	<p>§ Published reports; 4 national reports that include country-specific opportunities for governance change and recommendations for action and 1 regional synthesis report available on MFF and project partner organization web pages;</p> <p>§ Reports and policy briefs received by country partners, acknowledged through correspondence;</p> <p>§ Reports validated by the NCBs in each country.</p>	<p>§ National pathways and target groups for distributing project findings clearly identified during the national review and stakeholder consultation processes;</p> <p>§ Relevant information and documents accessible to all project partners;</p>

Intervention Logic	Objectively Verifiable Indicators (OVIs)	Source of Verification (SoV)	Assumptions
	summarizing the national review reports recommendations;		
2. To support governance reforms by building capacity and supporting processes of change in governance at appropriate levels in the target countries.	<ul style="list-style-type: none"> <li>§ Resource toolkit for community involvement in natural resource governance in small islands encompassing both 'top-down' and 'bottom-up' guidance;</li> <li>§ Trainings and/or pilot-scale interventions implemented at the target-sites in all four countries, with participants encompassing national and sub-national decision makers, resource managers, as well as representatives of community and industry groups;</li> <li>§ Strengthened capacity/ability of key stakeholders to participate in natural resource governance, as reported by participants in project activities;</li> <li>§ Demonstrated changes in how local communities participate in natural resources governance at the target site.</li> </ul>	<ul style="list-style-type: none"> <li>§ Published resource toolkit available on project partners web pages;</li> <li>§ Reports and other documents from the trainings and/or pilot interventions, available on project partners web pages;</li> <li>§ Evaluation of trainings and/or pilot interventions and their impact, based on structured surveys among participants;</li> <li>§ Communication products documenting the impacts of the capacity building and/or pilot-scale interventions (including a before and after situation analysis) shared with local, sub-national and national decision makers;</li> </ul>	<ul style="list-style-type: none"> <li>§ Tools, trainings and/or pilot scale interventions enable stakeholders to effect governance change.</li> <li>§ Decision makers interested in replicating and mainstreaming impacts and findings from the project activities.</li> </ul>

**Annex 4: Revised Roles and Responsibilities Table**

Outputs	Key Activities	Responsibilities and detailed activities		
<b>Objective # 1:</b> To generate a detailed understanding of natural resource governance frameworks and identify opportunities for governance change on small islands in target countries.				
		<b>UNEP</b>	<b>Regional Consultant (RC)</b>	<b>National Partners (NP)</b>
<b>(a) Inception workshop</b>	(i) Plan and design the workshop activities	Organize inception workshop		
	(ii) Conduct inception workshop	Moderate inception workshop	Facilitate specific sessions; Provide suggestions regarding procedures for reviews, site consultations, compilation of reports.	Participate in workshop and provide input on national/local frameworks and context; Lead target sites selection based on commonly agreed criteria.
	(iii) Produce inception workshop report	Prepare IW report: prepare and circulate draft for comments and final version	Review and provide comments on draft inception WS report.	Review and provide comments on draft inception WS report.
<b>(b) Review reports on NRG</b>	<b>(a)</b> Identify and map natural resource governance (NRG)	Issue contract to regional consultant and national partners; Oversee the review process.	Develop an analytical framework and report format for desk review and stakeholder consultation processes; Guide and coordinate the desk review and provide backstopping support to national partners as needed.	Review and comment on analytical framework and report format for desk review; Compile and synthesize policy and legal documents based on guidance from RC and building on the national governance / ICM reports.
	<b>(b)</b> Conduct stakeholder consultation	Provide input and guidance as may be requested by regional consultant and national partners.	Develop with national partners, a common consultation methodology; Ensure consensus understanding of project terminology, e.g. “governance”, “participation”, “inclusion”, “community”, “stakeholder” etc.	Conduct community consultation including key informant interviews, open public meetings, focus group discussions and other methods according to agreed methodology; Compile findings as per agreed format, with regional consultant.

Outputs	Key Activities	Responsibilities and detailed activities		
			Support the stakeholder consultation processes.	
	<b>(c)</b> Prepare detailed national review reports and regional synthesis report	Support regional consultant, provide technical input to the national review reports and the regional synthesis report; Review draft reports; Approve final reports.	Prepare a regional synthesis report with recommendations, support and advice on the preparation of national reports.	Prepare national review reports including country-specific recommendations, based on commonly agreed formats; Ensure that national review reports are validated by the NCBs and/or other existing mechanisms in the country; Review the regional synthesis report and whenever necessary provide inputs.
<b>(c)</b> <b>Recommendations for governance change incorporated into review reports</b>	Elaborate common and country-specific approaches	Support NPs in elaborating country-specific approaches and share information across project partners	Support the NPs in identifying the policy gaps, challenges and opportunities, and in formulating recommendations for specific actions to enhance involvement of communities in NRG.	Ensure that the identified policy gaps, challenges and opportunities are reflected in the national review reports; Identify recommendations for specific (capacity building or other) actions that can enhance involvement of communities in NRG.
<b>Objective # 2</b> To support governance reforms by building capacity and supporting processes of change in governance at appropriate levels in the target countries.				
<b>(a)</b> <b>Resource toolkit for community leaders</b>	<b>(i)</b> Develop a resource toolkit for community participation in NRG in small islands.	Draft resource toolkit(s) based on existing approaches and findings from the review and stakeholder consultation processes, targeting <b>government decision makers and local level initiatives and community leaders;</b>	Provide inputs to the development of the drafts and support finalization of the resource toolkit(s) including technical review and input related to existing approaches and lessons as well as addressing needs and recommendations identified	Provide detailed review of and input to development of resource toolkit(s) to ensure relevance to local and national needs.

Outputs	Key Activities	Responsibilities and detailed activities		
		Finalize the toolkit(s).	through the project.	
<b>(b) Training workshops*</b>	(i) Develop training materials based on / associated with resource toolkit.	Review and comment on training materials; Approve final training materials; Develop contracts with NPs for training workshops.	Provide advice on development of training materials; Review and comment on training materials.	Develop locally targeted training materials based on assessed capacity gaps/ associated with the resource toolkit(s) (3.a.i); Revise training materials as needed based on review/comments.
	(ii) Organize training workshop logistics	Facilitate exchange of information between countries	Provide advice in organizing the trainings	Plan trainings in detail, including: Training methodology, content, logistic arrangements, participants, and monitoring plan.
	(iii) Conduct training workshops. Prepare training reports and one synthesized report with key findings	Track progress and provide backstopping support if needed; Facilitate exchange of experiences with workshops between national partners; Review training reports.	Attend training workshops as possible/ agreed with NPs; Follow up on training events progress and provide backstopping support; Review training reports from national partners and synthesize main finding and recommendations in one document.	Coordinate the delivery of training events; Prepare training reports including main findings and recommendations.
<b>(c) Pilot interventions*</b>	(iv) Agree on key recommendations to address through pilot-scale interventions	Support national partners in identification of recommendations to address through pilot – scale demonstration interventions.	Support national partners in identification of recommendations to address through pilot -scale demonstration interventions; Review plans, scope and objectives for interventions to ensure that sustainability and replicability assumptions and risks (as stated in the project document) are fully considered.	Prepare a detailed plan for pilot interventions in consultation with UNEP, bearing in mind project financial and time restrictions. Plans should include the following information: <ul style="list-style-type: none"> <li>• Clearly identified objectives, activities outputs, and results</li> <li>• Necessary inputs (e.g. expertise)</li> <li>• Logistic arrangements</li> <li>• Budget</li> </ul>



Outputs	Key Activities	Responsibilities and detailed activities		
				<ul style="list-style-type: none"> <li>Monitoring plan</li> </ul>
	(v) Implement pilot-scale interventions	Oversight of pilot interventions; Review and approve reports from pilot interventions.	Backstop national partners in implementing the pilot-scale demonstration interventions.	<p>Coordinate and facilitate the implementation of the agreed pilot-scale demonstration interventions, monitor and communicate the progress;</p> <p>Prepare intervention report(s) documenting findings, impact, and recommendations.</p>
<b>(d) Document and communicate project results</b>	(vi) Create communication materials that synthesize impacts and lessons learned (define at the Inception WS)	Lead preparation of communication materials that synthesize project impacts and lessons learned, in consultation with national partners and regional consultant.	Contribute to the development of communication materials and products.	<p>Lead the development of communication materials targeting national audiences, and/or local communities;</p> <p>Contribute to the development of communication materials (regional);</p> <p>Organize the translation of communication materials into national languages where needed and as agreed with UNEP.</p>
	(vii) Identify/ develop national mechanisms and pathways for disseminating project findings	Provide guidance to national partners identifying and/or developing national mechanisms and pathways for disseminating project findings and outputs.	Provide guidance to national partners identifying and/or developing national mechanisms and pathways for disseminating project findings and outputs.	Identify and/or develop national mechanisms and pathways for disseminating project findings and outputs, e.g. through strategic partnerships, trainings or meetings, awareness campaigns at target sites etc.
	(viii) Disseminate project outputs to regional stakeholders/ institutions	Disseminate project outputs to regional stakeholders and to relevant institutions.		Disseminate project outputs to national stakeholders and to relevant institutions.

**\*Due to resource limitations in the project country partners may choose to implement either a training workshop or a pilot intervention, or a combination of the two**

### Annex 5: Project Work Plan – General

Key Activities	Y1				Y2			
	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8
1. Conduct Inception Workshop	March							
2. Identify and map natural resource governance according to unified methodology and agreed formats: a. Update reviews b. Conduct stakeholder consultations and complete the assessment grid c. Share a draft national review reports d. Finalize and validate the detailed national review reports	March-Aug							
3. Prepare regional synthesis report	Aug							
4. Assess the capacity gaps and training needs and identify potentials for pilot-scale demonstration interventions				Dec				
5. Finalize the resource toolkit(s) for community participation in NR governance and management				Dec final ver.				
6. Develop training materials based on the identified training needs/ associated with resource toolkit					End Jan			
7. Prepare a detailed plan and agree on the scope of the pilot-scale interventions.					End Jan			
8. Organize training workshop logistics					Feb			
9. Conduct training workshops at the target-sites					Feb - Oct			

10. Facilitate the implementation of pilot-scale interventions at the target sites					Feb - Oct			
11. Create communication materials that synthesize the impacts and lessons learned								Oct-Nov
12. Identify and/or develop national mechanisms for disseminating project findings /outputs	Throughout the project							
13. Disseminate project outputs to regional stakeholders and to relevant institutions								Oct-Dec
<b>Phase 1: Initiation, assessment and consultation</b>								
<b>Phase 2: Developing resource toolkit and training materials</b>								
<b>Phase 3: Capacity building interventions</b>								
<b>Phase 4: Communication of results</b>								

## Annex 6: Detailed work plan for 2013

<b>Detailed Work Plan for 2013</b>			
<b>Deliverable 1: Inception Report (due 20 March 2013)</b>			
<b>Item</b>	<b>Deliverable</b>	<b>Who</b>	<b>When</b>
Organize Inception Workshop			4-5 March
Sign Contract with RC			8 March
Prepare draft Inception Report and share with project partners			12 March
Inputs from RC and NP to the Inception Report submitted (including final decision on target sites selection)	Written inputs (by e-mail)	RC and NPs	18 March
Inception Report finalized and submitted to MFF	Inception Report	UNEP	20 March
<b>Deliverable 2: National review reports and a regional synthesis report on natural resource governance frameworks (due 30 August 2013)</b>			
<b>Item</b>	<b>Deliverable</b>	<b>Who</b>	<b>When</b>
Prepare and sign contracts with NPs	4 Contracts with NPs signed	UNEP	20 March
Payment of first installment for the NPs			As soon as practicable after signing the contracts
Draft guidelines for national partners to conduct the desk review and stakeholder consultation		RC	15 March
Review and comment on guidelines for desk review and stakeholder consultation		NPs	25 March
Finalize guidelines		RC	30 March
Payment of first installment for the RC		UNEP	upon satisfactory submission of the guidelines
National review of natural resources governance frameworks, decision processes and community involvement practices.	NPs First Progress Report (per contract b/w UNEP and NPs) to UNEP	NPs	28 June
1 <sup>st</sup> progress report (for the period 1 January – 30 June 2013) including financial report submitted to MFF	UNEP First Progress Report to MFF	UNEP	15 July
Prepare national review reports (based on agreed formats) and submit to UNEP	4 National Review Reports submitted to UNEP	NPs	15 August
Synthesize findings from the national reviews, prepare regional synthesis report and submit to UNEP	Regional Synthesis Report submitted to UNEP	RC	20 August
Review and submit national reviews and the regional synthesis report to MFF	Final Reports (4 national and 1 regional synthesis) submitted to MFF	UNEP	30 August

<b>Deliverable 3: Resource toolkit for community involvement in natural resource governance in small islands</b>			
<b>Item</b>	<b>Deliverable</b>	<b>Who</b>	<b>When</b>
Written inputs to design draft resource toolkit(s) for community participation in natural resources governance and management	Written inputs (by e-mail) submitted to UNEP (n.b. inputs will be collected throughout the first year)	RC / NPs	30 August
Prepare and share draft resource toolkit(s) for community participation in natural resources governance and management	Draft Resource Toolkit shared with project partners	UNEP	15 September
Review the draft resource toolkit(s) and provide inputs in developing the final version	Written inputs (by e-mail) submitted to UNEP	RC / NPs	30 November
NPs: Submit second progress report (per contract with UNEP)	NPs second progress report to UNEP	NPs	30 November
Identify and summarize: - Capacity gaps and capacity building needs - Potentials for pilot-scale demonstration interventions	Written summary of initial proposals for capacity building and pilot-scale interventions submitted to UNEP and RC	NPs	15 December
Finalize the resource toolkit(s) for strengthening community participation in NR governance and management, targeting and submit final products to MFF	Final version of the Resource Toolkits submitted to MFF	UNEP	15 December
2 <sup>nd</sup> progress report (for the period 1 July – 31 December, 2013) including financial report	UNEP Second Progress Report to MFF	UNEP	<b><u>15 January 2014</u></b>

## Annex 7: Project focal points

Institution	Name and contacts
UNDP Maldives	Mr. Mohamed Inaz UNDP Maldives, UN Building Buruzu Magu, Male Tel: +960 332 4501 / Fax: + 960 332 4504 Email: mohamed.inaz@undp.org
Seychelles National Parks Authority	Mr. Denis Matatiken Director Seychelles National Parks Authority PO Box 445 Victoria, Mahe Email: boga@seychelles.net
IUCN Sri Lanka	Mr. Arjan Rajasuriya (focal point) IUCN – Sri Lanka Country Office No. 53, Horton Place Colombo 07 Sri Lanka E-mail: <a href="mailto:arjan.rajasuriya@iucn.org">arjan.rajasuriya@iucn.org</a> <a href="mailto:arjan.rajasuriya@gmail.com">arjan.rajasuriya@gmail.com</a>  Ms. Kumudini Ekaratne (deputy focal point) IUCN – Sri Lanka Country Office No. 53, Horton Place Colombo 7 E-mail: <a href="mailto:kumudini.ekaratne@iucn.org">kumudini.ekaratne@iucn.org</a>
IUCN Thailand	Ms. Siriporn Sriaram Thailand NCB Coordinator IUCN 63 Sukhumvit Soi 39 Sukhumvit Road, Wattana Bangkok 10110 E-mail: <a href="mailto:Siriporn.SRIARAM@iucn.org">Siriporn.SRIARAM@iucn.org</a>
UNEP	Mr. Jerker Tamelander (focal point) Head, Coral Reef Unit UNEP Freshwater and Marine Ecosystems Branch  UN, Rajdamnern Nok Av., Bangkok 10200, Thailand Tel: +66 2 288 1099   Fax: +66 2 281 2428   E-mail: <a href="mailto:tamelander@un.org">tamelander@un.org</a>  Ms. Marija Spirovska-Kono (deputy focal point) UNEP Rajdamnern Nok Av., Bangkok 10200, Thailand Tel: +66 2 288 2130  Fax: +66 2 281 2428   E-mail: <a href="mailto:spirovska-kono@un.org">spirovska-kono@un.org</a>
MFF Secretariat	Mr. Ranjith Mahindapala Programme Manager MFF IUCN 63 Sukhumvit Soi 39 Sukhumvit Road, Wattana Bangkok 10110 Tel (Switch Board): (+66 2) 662 4029; Mobile: +66 81 802 5350 Fax: (+66 2) 662 4388 E-mail: <a href="mailto:Ranjith.MAHINDAPALA@iucn.org">Ranjith.MAHINDAPALA@iucn.org</a>

## Annex 8: Terms of reference Regional Consultant



### TERMS OF REFERENCE – CONSULTANTS & INDIVIDUAL CONTRACTORS

<b>Name:</b> Ms. Patricia Carson Moore	<b>Contract No:</b> 6487	<b>Index No:</b> 679821	Consultant <input checked="" type="checkbox"/>
			Individual Contractor <input type="checkbox"/>

**1. Purpose.** A Regional Consultant will be hired to provide technical guidance and support the implementation of the envisaged activities for the two-year regional project “Mapping and Enhancing Natural Resource Governance in Small Island Communities, implemented by UNEP and the Coordinating Body on the Seas of East Asia (COBSEA), in collaboration with national partner institutions in four countries: Maldives, Seychelles, Thailand, and Sri Lanka. The project will be implemented from January 2013 until December 2014. This consultancy contract will cover primarily the first year of the project (2013) and the beginning of the second year (until end of February 2014), with a possibility for a follow-up contract based on actual project needs.

**Justification:**

The regional project “Mapping and Enhancing Natural Resource Governance in Small Island Communities” is funded by Mangroves for the Future (MFF) as part of their regional initiative studies. The project seeks to enable and support natural resource governance on small islands that integrates and builds on the respective strengths of local and community-based management as well as national policy and legal frameworks at different levels. The project will be implemented in three phases and focusing on three objectives:

1. To generate a detailed understanding of natural resource governance frameworks, including local and community-based management practices, on small islands in the target countries, identifying how decisions affecting natural resources and ecosystem services are made as well as gaps and complementarities between the “formal” and “informal” governance frameworks;
2. To support governance reforms and on-going processes of decentralization by identifying opportunities for governance change that reconciles overlaps, overcomes gaps, and harnesses the capacity and comparative advantage of different actors;
3. To build capacity among key stakeholder groups for natural resource governance and governance reform, with a primary focus on local communities and local government institutions/administration.

The main outputs of the project are: 1) review reports on natural resources governance frameworks, decision processes and community involvement practices; 2) a resource toolkit for community involvement in natural resource governance in small islands; and 3) reports from capacity building and/or demonstrations scale interventions.

In accordance to the project document, a regional consultant will be hired to support the project implementation. The consultant will provide backstopping support and technical expertise to the National Partners throughout the project. The consultant will ensure that MFF cross-cutting issues (climate change, gender equality, effective communications) are considered in the design of the review and stakeholders consultation processes, and in developing the resource toolkit and training materials;

**2. Objective.**

Specific objectives for the consultancy assignment:

- Develop unified methodology for reviewing the national resource governance frameworks and engaging local stakeholders, based on up-to-date findings and existing assessments, and a format for the national reports;
- Ensure that the review process is building upon available information (e.g. MFF national governance assessments) and is complementing already existing information with relevant updates, including on how regulatory and policy frameworks are applied at the target sites of the project;
- Revision and technical inputs to different project outputs (details listed below, in section 4).

Under supervision and guidance of UNEP and COBSEA, and in close collaboration with National Partners, the regional consultant will be responsible for completing the following tasks:

- Participate and contribute to the project inception workshop and to the inception workshop report (prepared by UNEP), in particular in the areas concerning the review and stakeholder consultation processes;
- Develop guidelines for the national project partners to conduct the desk review and the stakeholder consultation processes. Particular attention will be given to building upon the 2007-2008 MFF national governance assessments, i.e. ensuring there is no duplication, and reviewing, updating and complementing these assessment with relevant information, including on how regulatory and policy frameworks are applied at the target sites of the project. The guidelines will include a format for the four national review reports.
- Guide and coordinate the desk review and stakeholder consultation processes and provide backstopping support to national partners as needed;
- Prepare a regional synthesis report based on the four national reports (to be prepared by national partners based on guidance provided by the regional consultant), including a review of the recent developments in governance frameworks, decision processes and community involvement practices. Based on the identified gaps and needs, the report will outline recommendations for governance reforms in the four project countries;
- Lead the finalization of the Resource Toolkit for government decision-makers, prepared by UNEP. This Resource Toolkit will build the awareness of government decision-makers on the relevance and principles of community participation in natural resources governance and management.
- Contribute to the finalization of a Resource Toolkit for local community leaders, drafted by UNEP, based on the findings from the review and stakeholder consultation processes. This resource toolkit will provide local community representatives with practical frameworks for integrating community stakeholders and practices into local and provincial planning/decision making;

- Review the capacity building needs and potential pilot-scale interventions identified by the national partners, and ensure that sustainability and replicability assumptions and risks (as stated in the project document) are fully considered when deciding on the scope and objectives of the interventions;
- Review and provide inputs in developing training materials (to be developed by the National Partners base don the resource toolkit and the local needs assessment);
- Provide advice in organizing the trainings (e.g. methodology, activities, identifying facilitators, preparing training materials, etc.)
- Ensure that MFF cross-cutting issues (climate change, gender equality, effective communications) are considered throughout this consultancy; in particular in the design of the review and stakeholders consultation processes, and in developing the resource toolkit and training materials;
- Facilitate timely information exchange on project-related issues among all project partners.

4. **Outputs / Work Assignments** (must be tangible and/or measurable)

Outputs	Deliverables	Delivery Date (dd/mm/yyyy)
a. Inputs to the inception workshop report	Targeted inputs to the inception workshop report	20/03/2013
b. Guidelines for national partners to conduct the desk review and stakeholder consultation	Finalized guidelines including format for national review reports	30/03/2013
c. Synthesized findings from the national reviews and preparation of a regional report	Regional synthesis report including findings from national reviews and recommendations for governance reforms in project countries	30/08/2013
d. Technical inputs to the Resource Toolkit for government decision-makers on Community Participation in Natural Resource Governance and Management (drafted by UNEP)	Final Draft Guidance document for Community Participation in Natural Resource Governance and Management incorporating input by consultant	30/08/2013
e. Technical inputs to the Resource Toolkit targeting local community leaders and initiatives (drafted by UNEP)	Final Draft Resource Toolkit for local community leaders and initiatives incorporates input by consultant	30/11/2013
f. Technical inputs and recommendations to the capacity building needs and potential pilot-scale interventions identified by National Partners.	Capacity building needs and pilot-scale interventions incorporate inputs from the consultant	15/01/2014
g. Review and provide inputs to the development of locally-adapted training materials (to be drafted by National Partners)	Training materials incorporate input and comments by consultant	15/01/2014
h. Final consultancy report with summary of key findings and recommendations for implementation of project activities planned for 2014	Consultancy report	20/02/2014

How are the outputs to be delivered?  
Electronic submission of the documents and reports.

4. **Duration of contract:** From: 08 March 2013 To: 07 March 2014

5. **Estimated amount of actual time to be worked:** 48 Work Days  Weeks  Months

6. **Terms of payment for satisfactory completion of contract.**

First payment: Upon signature of contract and submission of deliverable a.  
Second payment: Upon satisfactory completion and submission of deliverables b-d  
Final payment: Upon satisfactory completion and submission of all deliverables and final consultancy report.

7. **Schedule of payment.**  Lump sum  Phase  Rate (Daily / Monthly)

Payment of 26,400 USD according to the following schedule:

- First payment of USD 7,920 (30%) upon completion and submission of the finalized guidelines for conducting the desk review and stakeholder consultation;
- Second payment of USD 13,200 (50%) upon completion and submission of the Regional Synthesis Report;
- Final payment of USD 5,280 (20%) upon completion of described tasks, submission of all deliverables and final report.

8. **Performance indicators for evaluation of outputs.**

Timely delivery of a good quality outputs and reports

9. **Travel.** APPLICABLE  NOT APPLICABLE

Details of travel if applicable:  Arranged by ESCAP  Self ticket  
Travel from Bangkok once to each of the project countries/sites (Maldives, Seychelles, Sri Lanka, Thailand (Koh Tao))

10. Will the consultant/contractor work in a UN office? NO  YES



## Annex 9: Terms of reference National Consultant, Thailand



### TERMS OF REFERENCE – CONSULTANTS & INDIVIDUAL CONTRACTORS

Name: Radda Larprun	Contract No: 6611	Index No: 650804	Consultant <input checked="" type="checkbox"/>
			Individual Contractor <input type="checkbox"/>

**1. Purpose.**  
A National Consultant will be hired to support the implementation of the agreed activities for Thailand within the frame of the two-year regional project "Mapping and Enhancing Natural Resource Governance in Small Island Communities. The project is implemented by UNEP and the Coordinating Body on the Seas of East Asia (COBSEA) in collaboration with National Partner Institutions in four countries: Maldives, Seychelles, Thailand, and Sri Lanka. This consultancy contract will cover only the second phase of the project (from April 2013 to February 2014).

**Justification:**  
The regional project "Mapping and Enhancing Natural Resource Governance in Small Island Communities" is funded by Mangroves for the Future (MFF). The project officially started in January 2013 and seeks to enable and support natural resource governance on small islands that integrates and builds on the respective strengths of local and community-based management as well as national policy and legal frameworks at different levels. The project has two main objectives:

- 1) To generate a detailed understanding of natural resource governance frameworks and identify opportunities for governance change on small islands in target countries;
- 2) To support governance reforms by building capacity and supporting processes of change in governance at appropriate levels in the target countries

Main project outputs are: 1) review reports on natural resources governance frameworks, decision processes and community involvement practices; 2) a resource toolkit for community involvement in natural resource governance in small islands; and 3) reports from capacity building and/or demonstrations scale interventions.

In consultation with the lead National Partners in Thailand, it was agreed to contract a national consultant to ensure the implementation of the activities planned for the second phase of the project in Thailand. The consultant will provide technical expertise and coordinating support and will ensure timely exchange of information among all project stakeholders in Thailand.

**2. Objective.**  
Specific objectives for the consultancy assignment:

- Coordinate the review and stakeholder consultation processes in Thailand in close consultation with the Regional Consultant and with inputs from the Thailand Country team, stakeholders at national and local level
- Prepare the national review report (for Thailand) on natural resources governance frameworks, decision processes and community involvement practices;
- Lead the design of the capacity building activities and/or pilot interventions for Koh Tao, including the development of training materials to be used for delivering the trainings and/or implementing the pilot activities
- Serve as a liaison between Thailand Country Team, MFF National Coordinating Body in Thailand and UNEP and COBSEA.

Under supervision and guidance of the Project Regional Consultant, UNEP and COBSEA, and in close collaboration with Thailand Country Team, the consultant will be responsible for completing the following tasks:

1. Review natural resource governance frameworks, drawing on and updating as necessary the national reports for governance and Integrated Coastal Management (ICM) prepared through MFF support in 2005-07, based on agreed format and under guidance by the project Regional Consultant and UNEP;
2. Conduct stakeholder consultation to review natural resources governance decision processes and community involvement practices, in consultation with and under the guidance of the project Regional Consultant and UNEP;
3. Prepare the national review report (for Thailand) on natural resources governance frameworks, including clearly identified opportunities for governance reforms, existing capacities and capacity building needs necessary for supporting such governance processes;
4. Based on the review and the stakeholder consultation process, identify and develop proposals for capacity building and/or pilot-scale interventions, including background information, detailed activity plan, intended results and outcomes, indicators and budgets. The interventions should be suitable for implementation in the second year of the project (Implementation of interventions is not covered under this Agreement).
5. Contribute to the development of the resource toolkit for community participation in natural resource governance and management (compiled by UNEP) to ensure relevance to local needs;
6. Develop locally tailored training materials based on the identified capacity building needs and the resource toolkit.
7. Ensure that MFF cross-cutting themes (climate change, gender equity and communication) are adequately considered during the national review and stakeholders consultations and have been integrated in the national review report, in the design of the training materials and the planning of the capacity building and/or pilot interventions.

**3. Outputs / Work Assignments (must be tangible and/or measurable)**

Outputs	Deliverables	Delivery Date (dd/mm/yyyy)
a. Detailed work plan for implementing the phase 2 activities in Thailand, including travel plan and scope of missions to the project target site (Koh Tao) developed in consultation with Thailand country Team and Regional Consultant	Work plan submitted via e-mail to UNEP	15/05/2013
b. Progress report summarizing the natural resources governance review and stakeholder consultation process in Thailand, and outlining the key findings and necessary next steps	Progress report submitted via e-mail to UNEP	30/06/2013
c. Draft version of the national review report (for Thailand) on natural resource governance, frameworks, decision processes and community involvement practices, prepared according the agreed format provided by the Regional Consultant	Draft version of the national review report (for Thailand) on natural resource governance, frameworks, decision processes and community involvement practices submitted to UNEP via e-mail	31/07/2013
d. Final version of the national review report (for Thailand) on natural resource governance frameworks, decision processes and community involvement practices, integrating comments and inputs from the Regional Consultant and UNEP	Final version of the national review report (for Thailand) on natural resource governance frameworks, decision processes and community involvement practices submitted to UNEP via e-mail	10/08/2013
e. Locally relevant inputs to the resource toolkit for community participation in natural resources governance and management (compiled by UNEP), based on the findings from the stakeholder consultation and the assessed capacity needs	Written inputs to the draft resource toolkit submitted via e-mail to UNEP	01/12/2013
f. Detailed plan for capacity building and/or pilot interventions developed in consultation with UNEP, based on the main findings of the review process and the assessed capacity building needs at the target site, bearing in mind project financial and time restrictions and including the following information: <ul style="list-style-type: none"> <li>Clearly identified objectives, activities outputs, and results</li> <li>Necessary inputs (e.g. expertise)</li> <li>Logistic arrangements and budget</li> <li>Indicators and monitoring plan</li> </ul>	Detailed plan for the capacity building and/or pilot interventions submitted via e-mail to UNEP	15/12/2013
g. Locally tailored training materials based on the resource toolkit and the assessment of capacity gaps and capacity building needs. The training materials will be used to deliver the agreed capacity building and/or pilot interventions.	Training materials submitted via e-mail to UNEP	10/01/2014
h. Final consultancy report summarizing the completed activities, key findings and recommendations for the third phase of the project.	Final consultancy report submitted via e-mail to UNEP	31/01/2014
<i>How are the outputs to be delivered?</i> Electronic submission of the documents and reports.		
4. <b>Duration of contract:</b> From: <del>15 May 2013</del> To: 14 February 2014		
5. <b>Estimated amount of actual time to be worked:</b> 35 Work Days <input checked="" type="checkbox"/> Weeks <input type="checkbox"/> Months <input type="checkbox"/>		
6. <b>Terms of payment for satisfactory completion of contract.</b> First payment: Upon signature of contract and submission of deliverable a. Final payment: Upon satisfactory completion and submission of all deliverables and final consultancy report.		
7. <b>Schedule of payment.</b> <input type="checkbox"/> Lump sum <input checked="" type="checkbox"/> Phase <input type="checkbox"/> Rate (Daily / Monthly)		
Payment of 7,000 USD according to the following schedule: <ul style="list-style-type: none"> <li>First payment of USD 3,500 (50%) upon signature and submission of deliverable a and b.</li> <li>Second and final payment of USD 3,500 (50%) upon completion of described tasks and submission of all deliverables, including final report</li> </ul>		
8. <b>Performance indicators for evaluation of outputs.</b> Timely delivery of a good quality outputs and reports		

## Annex 10: SSFAs – activity implementation plan

Activities	Detailed description of outputs	Deadline (2013)
<p>I. Review natural resource governance frameworks, drawing on and updating as necessary the national reports for governance and Integrated Coastal Management (ICM) prepared through MFF support in 2005-07, based on agreed format and under guidance by the project Regional Consultant and UNEP;</p>	<p>Draft of the national review report on natural resource governance, frameworks, decision processes and community involvement practices submitted for review and comments to UNEP and the Regional Consultant.</p>	25 July
<p>II. Conduct a stakeholder consultation at national and local level through and carry out a rapid assessment of the major governance issues by using the governance assessment grid provided by the Regional Consultant</p>	<p>Final version of the national review report on natural resource governance, frameworks, decision processes and community involvement practices, integrating comments and inputs from the Regional Consultant and UNEP submitted via e-mail to UNEP. The report should include:</p> <ul style="list-style-type: none"> <li>• Clearly identified opportunities for governance reforms at both national and target site level and if feasible, recommendations for activities to address any national-level issues;</li> <li>• Recommendations for addressing issues that are not within the scope of this project but which will influence the short-term, medium-term, and long-term impact of activities at pilot site level;</li> <li>• Assessment of existing capacities, capacity gaps and capacity building needs at national and target site level</li> </ul>	10 August
<p>III. Prepare the national review report on natural resource governance, frameworks, decision processes and community involvement practices (based on the format provided by the regional consultant) in close consultations with the Regional Consultant and UNEP.</p>	<p>Final version of the national review report on natural resource governance, frameworks, decision processes and community involvement practices, integrating comments and inputs from the Regional Consultant and UNEP submitted via e-mail to UNEP. The report should include:</p> <ul style="list-style-type: none"> <li>• Clearly identified opportunities for governance reforms at both national and target site level and if feasible, recommendations for activities to address any national-level issues;</li> <li>• Recommendations for addressing issues that are not within the scope of this project but which will influence the short-term, medium-term, and long-term impact of activities at pilot site level;</li> <li>• Assessment of existing capacities, capacity gaps and capacity building needs at national and target site level</li> </ul>	10 August
<p>IV. Contribute to the development of the resource toolkit for community participation in natural resources governance and management (compiled by UNEP), to ensure relevance to</p>	<p>Written inputs to the draft resource toolkit submitted via e-mail to UNEP. The focus of the inputs is on ensuring that natural resources governance issues important for the project target site are properly addressed in the resource toolkit.</p>	01 December

	local needs.		
	V. Prepare a detailed plan for capacity building and/or pilot interventions <sup>2</sup> in consultation with UNEP, based on the main findings of the review process and the assessed capacity needs at the target site bearing in mind project financial and time restrictions.	Detailed plan for the capacity building and/or pilot interventions submitted via e-mail to UNEP. Plans should include the following information: <ul style="list-style-type: none"> <li>• Clearly identified objectives, activities outputs, and results</li> <li>• Necessary inputs (e.g. expertise)</li> <li>• Logistic arrangements and budget</li> <li>• Indicators and monitoring plan</li> </ul>	15 December
Activities	VI. Prepare locally tailored training materials based on the resource toolkit and the assessment of capacity gaps and capacity building needs. The training materials will be used to deliver the agreed capacity building and/or pilot interventions.	Detailed description of outputs Draft training materials shared for comments and inputs with the Regional Consultant and UNEP	Deadline (2014) 05 January
		Finalized training materials with inputs from Regional Consultant and UNEP submitted via e-mail to UNEP	31 January

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<sup>2</sup> Implementing the capacity building and/or pilot interventions is not part of this Agreement

**Annex 11: List of project documents to be uploaded on the partners web pages**

Document	Timing
1. Inception Report	Pending approval by MFF Secretariat
2. Project brief (general)	June 2013
3. Four national review reports on natural resources governance	September 2013
3. One regional synthesis report on natural resources governance	October 2013
4. Policy brief (summarizing the national review reports)	October 2013
5. Resource toolkit(s)	November 2013
6. Reports from the capacity building and/or pilot activities	October – November 2014
7. Project briefs (documenting the project impact at target site level)	November 2014
8. Final report	December 2014
9. Project completion brief	Nov-December 2014
10. Project news and photos	Throughout the project
11. Video clips showcasing the project work at the target site (tbc)	September-December 2014