

Terminal Evaluation Report

Strengthening Sustainability of Protected Areas Management in Myanmar

UNDP PIMS ID: 5162

GEF Project ID: 5159

Country:	Myanmar
Region:	Asia
Focal Area:	Biodiversity
Implementing Agency:	United Nations Development Programme
Executive:	Ministry of Natural Resources & Environmental Conservation
Implementing Partner:	Wildlife Conservation Society
Project Timeframe:	June 2015 – June 2020

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Disclaimer

The TE views were discussed with UNDP, Implementing Partner – Wildlife Conservation Society, Forest Department and their Nature & Wildlife Conservation Division, Project Board members, local government partners and other key stakeholders. There was a debriefing / stakeholder workshop held to present views and refine findings. UNDP, WCS and NWCD provided comment on the draft report before finalization.

The views held within this report are those of the TE team.

Acknowledgement

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Abbreviations and Acronyms

ATLAS	UNDP tracking system
AWPB	Annual Work Plan & Budget
CBD	UN Convention on Biological Diversity
CBPA	Conservation of Biodiversity & Protected Areas (Myanmar Law)
CF	Community Forest
CFDTC	Central Forestry Development Training Centre (an FD facility administered by FD's TRDD)
CPA	Community Protected Area (a PA under community management ~ICCA)
CSO	Civil Society Organisation
CTA	Chief Technical Advisor
DALMS	Department of Agriculture, Land Management & Statistics (land registration office under Ministry of Agriculture, Livestock & Irrigation (MoALI))
EA	Executing Agency (~IP)
EAO	Ethnic Armed Organisation
ECD	Environmental Conservation Department (MoNREC)
FD	Forest Department (Coordinating on behalf of MoNREC)
GAD	General Administrative Department (government's civil service administration office at all levels)
GEF	Global Environment Facility
HKV WS	Hukaung Valley Wildlife Sanctuary (one of the 4 project PAs in Kachin)
IA	GEF Implementing Agency (UNDP)
ICCA	IUCN Indigenous Community Conserved Area (~CPA)
ICD	Integrated Conservation & Development
ILC	Indigenous & Local Community
IP	Project Implementing Partner (WCS)
IUCN	International Union for the Conservation of Nature
KBA	Key Biodiversity Area
KIA / KIO	Kachin Independence Army / Organisation
KKBR NP	Hkakaborazi National Park (one of the 4 project PAs in Kachin) ¹
LCA	Literature & Culture Association (of the Ethnic Peoples - Rawang, Lisu and Shan in particular)
LUP	(Participatory) Land Use Planning
M&E	Monitoring and Evaluation
MBF	Myanmar Biodiversity Fund
METT	GEF PA Management Effectiveness Tracking Tool
MFS	Myanmar Forestry School
MoNREC	Ministry of Natural Resources & Environmental Conservation (as the Coordinating Agency with the IP)
MTR	Mid-term review (of the project)
NBSAP	National Biodiversity Strategy & Action Plan
NDC	Nationally Determined Contribution (to UNFCCC)
NGO	Non-government organisation
NTFPs	Non-timber forest products
NWCD	Nature & Wildlife Conservation Division (of FD)
NGO IM	NGO Implementation Modality (of UNDP)
NP	National Park (a PA)
OECM	Other Effective area-based Conservation Measures (a new type of PA)
PA	Protected Area (for biodiversity)
PAMSC	Protected Area Management Support Committee
PB	Project Board
PCU	Project Coordination Unit
PIC	Prior Informed Consent (a.k.a. Free PIC)
PIF	GEF Project Identification Form (concept note application / approval)
PIMS	UNDP Project Information Management System
PIR	Project Implementation Report
PKR WS	Hponkanrazi Wildlife Sanctuary (one of the 4 project PAs in Kachin)
PPF	Public Protected Forest (1 of 3 types of land under FD administration; others being Reserve Forest (RF) & PA)
PPG	GEF Project Preparation Grant to prepare the prodoc

¹ Three out of the 4 project PAs are spelt beginning with a silent 'H', thus the TE has used a more phonetic acronym for easier 'reading'

Prodoc	Project Document (for this project #5162)
RNH	Re-establishment of Natural Habitat (Myanmar programme)
SMART	Specific, Measurable, Achievable, Relevant and Time-bound (for logframe indicators)
Smart	Spatial Monitoring & Reporting Tool (WCS wildlife / crime monitoring tool)
TAG	Technical Advisory Group
TE	Terminal Evaluation (of the project)
TMT WS	Htamanthi Wildlife Sanctuary (one of the 4 project PAs in Sagaing)
TRDD	Training & Research Development Division (of FD)
UNDP	United Nations Development Programme (GEF Implementing Agency, member of PB)
UNFCCC	UN Framework Convention on Climate Change
UoFES	University of Forestry & Environmental Sciences
VFV	Vacant, Fallow, Virgin (a category of land ~to be otherwise classified for use)
WCS	Wildlife Conservation Society (the IP)
WHS	UNESCO World Heritage Site
WS	Wildlife Sanctuary (a PA)
UNITS	m - million or meters; ha - hectare (100 m x 100 metres); MMK – national currency ~1,500 Kyat = 1US\$

Executive Summary

The executive summary is a 13-page summary of the Terminal Evaluation (TE) report.

Project Title:	Strengthening Sustainability of Protected Area Management in Myanmar		
UNDP Project ID (PIMS#)	5162	PIF Approval	February 2013
GEF Project ID (PIMS#)	5159	CEO Endorsement	March 2013
Country	Myanmar	ProDoc Signature	June 2015
Region	Asia and the Pacific	Project manager hired	June 2015
GEF Focal Area	Biodiversity	Inception Workshop	October 2015
GEF Strategic Program	BD 1 Outcomes 1.1 Improved management effectiveness of existing and new PAs; 1.2 Increased revenue for PA systems to meet expenditures required for management		
Trust Fund	GEF-5	Terminal Evaluation	February 2020
Modality	NGO Implementation Mode	Closing Date	June 2020
Executing Agency / Implementing Partner	MoNREC / Wildlife Conservation Society (WCS)		
Partners / Responsible Parties	Forest Department, NWCD		
Project Financing:	at CEO endorsement (US\$)		at Terminal Evaluation*
[1] GEF financing:	6,027,397		5,773,031
[2] UNDP contribution:	12,000,000		12,335,363
[3] Government:	4,646,300		5,630,429
[4] Other partners (WCS):	1,250,000		2,356,821
[5] Total co-finance [2 + 3+ 4]:	17,896,300		20,322,613
Total Cost [1 + 5]	23,923,697		26,095,644

*Expenditures through to end 2019

Project Description

Problems

Deforestation threatens biodiversity by reducing & fragmenting wildlife habitats, limiting wildlife dispersal, and hastening the extinction of wide-ranging protected species such as tiger, elephant, wild cattle and other large mammals. Once reduced in size, forests are degraded by agricultural expansion, new roads, settlements and other infrastructure. Forests degraded by logging and fire, and secondary plantations are increasing at the expense of primary forests that have higher biodiversity values.

Wildlife hunting both for international trade and local consumption is organized, widespread and increasing, especially due to the long permeable border with China. The black market along Myanmar, Thailand and China's shared borders plays a crucial role in the illicit trade in tiger and other endangered species.

Mining (gold, jade) is destroying habitats, biodiversity and ecosystems. Commercial gold mining is a significant environmental and public health threat at Hukaung Valley Wildlife Sanctuary (HKV WS), with cyanide contaminating soil and fresh water systems. Pollution and river habitat destruction from gold and other forms of mining are also recognized as a high threat at Htamanthi Wildlife Sanctuary (TMT WS) and as moderate threats at Hkakaborazi National Park (KKBR NP) and Hponkanrazi Wildlife Sanctuary (PKR WS).

By mid-2013, the government had allocated 2.1 million ha in land concessions. Over 60% of the concessions were in Kachin State and Tenasserim Region, two of the country's most densely forested areas. The concessions were allocated in natural forests for logging, and subsequent planting of rubber, palm oil and other commercial crops. This has impacted natural habitats and people in the Hukaung Valley.

Project Description

The project planned to strengthen protected area (PA) management in two priority conservation corridors, which were identified in the National Biodiversity Strategy & Action Plan (NBSAP). The project aimed to secure sustainable funding for four key PAs within these corridors, and integrate PA management and financing practices into national development planning. The project objective was to 'strengthen the terrestrial system of national PAs for biodiversity conservation through enhanced representation, management effectiveness, monitoring, enforcement and financing.' The project was designed with two main component outcomes: Enhanced systemic,

institutional and financial frameworks for PA expansion and management; and Strengthened management and threat reduction in the target PAs and buffer zones.

Project Location

The project location was in three PAs in Kachin State, and one PA in Sagaing Region, with their respective local government offices, and nationally with MoNREC / FD in the capital city, Nay Pyi Taw:

Project PAs	Area (ha)	Ecoregion
Hkakaborazi National Park (KKBR NP)	381,200	Upper Ayeyarwady Catchment
Hponkanrazi Wildlife Sanctuary (PKR WS)	270,400	
Hukaung Valley Wildlife Sanctuary (HKV WS)	1,737,300	Upper Chindwin Catchment
Htamanthi Wildlife Sanctuary (Sagaing) (TMT WS)	215,100	

Project Management

UNDP were the GEF Implementing Agency (IA). The project was under NGO Implementation Modality (NGO-IM) with the Ministry of Natural Resources & Environmental Conservation (MoNREC) as the Executing Agency, and the Wildlife Conservation Society (WCS) as the Implementing Partner (IP). The IP was working in collaboration with the FD and Protected Area (PA) administrations in Kachin State and Sagaing Region. The project was managed by a Project Coordination Unit (PCU), led by the NGO – Wildlife Conservation Society (WCS). UNDP and the PCU were supported by a Project Board (PB).

Purpose and Methodology

The objective of the Terminal Evaluation (TE) was to gain an independent analysis of the achievement of the project at completion, as well as to assess its sustainability and impact. The report focuses on assessing outcomes and project management. The TE additionally considered accountability and transparency, and provided lessons-learned for future UNDP-supported GEF-financed projects, in terms of selection, design and implementation.

The overall approach and methodology of the evaluation followed the guidelines outlined in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects (2012). The TE was an evidence-based assessment and relied on feedback from persons who were involved in the design, implementation, and supervision of the project.

Evaluation Ratings Summary

GEF-financed UNDP-supported projects of this type require the TE to evaluate the implementation according to set parameters and ratings. The summary ratings of this evaluation are presented:²

Exhibit 2: TE Ratings Summary Table

1. Monitoring & Evaluation (M&E)	Rating	2. Implementing Agency (UNDP) & Executing Agency / Partner (WCS) Execution	Rating
Overall quality of M&E	MS	Overall quality of Implementation / Execution	S
M&E Design at entry	MS	Quality of UNDP Implementation	S
M&E Implementation	MS	Quality of Execution – WCS	S
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
Overall Project Outcome (Objective)	S	Overall Likelihood of Sustainability	MU
Effectiveness of Outcome 1	HS	Financial resources	MU
Effectiveness of Outcome 2	S	Socio-economic	ML
Efficiency	HS	Institutional framework & governance	ML
Relevance	Relevant	Environmental	MU
5. Impact	Rating		
Impact	Significant		

NB for sustainability MU indicates Moderately Unlikely

A detailed summary of the project is presented below.

² The GEF methodology for the ratings is presented in Annex 9

Exhibit 3: TE Ratings and Achievement Summary Table

Project: **UNDP GEF Strengthening Sustainability of Protected Areas Management in Myanmar** (GEF Project ID: 5159; UNDP PIMS ID: 5162)

Achievement Description & TE Rating

Outcomes/ Results

Overall Project Objective Achievement - The overall grading is **Satisfactory**

Objective: Strengthened terrestrial system of PAs for biodiversity conservation through enhanced representation, management, monitoring, enforcement and financing (4 indicators)

There were four indicators attached to the objective level which were all rated as: satisfactory. **Justification:** Outcome 1 and 2 were rated as highly satisfactory and as satisfactory which also contributes to the overall grading. There were only minor shortcomings. These were, that the overall PA coverage was not increased very much, however this was more a failing of government / MoNREC, bearing in mind the internal political situation. This was also the case for habitat loss issues in HKV WS, which were not adequately addressed. On the positive side, the PA system was strengthened, with building blocks put in place, notably with a new biodiversity law. The project is expected or has achieved most of its global environmental objectives.

PA coverage increased (Indicator 1)

There are 45 gazetted PAs (3,959,315 ha) with a 5.85% coverage, plus 23 proposed PAs (1,206,675 ha) with an added 1.78% coverage. The revised project target to increase PA cover by only 270,765 ha (< ½ percent) of land cover, appeared somewhat low for a five-year project, especially for a country with such high forest cover and important biodiversity in need of protection. The PA network was expanded by 170,636 ha, which represented only a 0.25%, expansion compared with 4.4% envisaged by the project document (prodoc). Thus, PA expansion was slow, in part due to conflict in areas with the largest intact habitat being proposed for PA designation.

	baseline	target	result	actual change
Prodoc (ha)	3,788,697	6,765,530	n/a	n/a
Prodoc (%)	5.6	10	n/a	n/a
Revised (ha)	3,788,697	4,059,462	3,959,315	170,765
Revised (%)	5.6	6	5.85	0.25

Whilst the prodoc used ecoregions to understand the representation of protected habitats, a better directed approach was identified, in terms of creating an IUCN Red List of Threatened Ecosystems. Another PA category of designation (from UN CBD - CoP 10, 2010) called 'Other Effective area-based Conservation Measures (OECMs)' is also likely to add to the overall PA coverage in the future.

The project was successful in the designation of Htamanthi Wildlife Sanctuary (TMT WS) as an ASEAN Heritage Park, due to its contribution as a landscape level ecosystem. With a proposed corridor PA, called Yabawmee, the park would link with Hukuang Valley Wildlife Sanctuary (HKV WS), to create the largest contiguous landscape in the region, known as the Northern Myanmar Landscape. However, during the project period, the government was not successful in the designation of the Hkakaborazi (KKBR) Landscape as a UNESCO World Heritage Site. As a result of this, the Conservation of Biodiversity & Protected Areas (CBPA) law was changed to include Community Protected Areas (CPAs), which raised the interest (and lowered the political tensions) of Indigenous & Local Communities (ILCs) to co-manage Key Biodiversity Areas (KBAs).

PA habitat condition improved (Indicator 2)

The indicator was designed as 'annual percentage change in loss of forest'. From a national annual baseline of nearly 1% forest cover loss, the prodoc target was to reduce this to 0.5%. In fact, according to the figures, the losses were negligible by project end, ranging from effectively unmeasurable for TMT WS to under 1/10th of a percent for HKV WS. However, if the data is re-presented to show basic % change in forest cover from before-project to latest figures, then the following is apparent:

PA forest cover (ha)	2010-11	2017-18	loss (ha)	% loss
KKBR NP	267,790	267,503	-286	0.11
PKR WS	245,250	245,085	-165	0.07
HKV WS	1,758,297	1,748,786	-9,511	0.54
TMT WS	218,079	217,977	-102	0.05

From this table, it was easy to note:

a/ In total, the project PAs lost ~10,000 ha of forest (100 km²). This is perhaps not significant with the PAs covering ~2.5m ha (25,000 km²), but evidence suggested that the quality of the habitat (i.e. integrity of the ecosystems) was being eroded, on a clearly measurable scale.

b/ The loss of forest (habitat) was most pronounced at Hukuang Valley Wildlife Sanctuary (HKV WS), on a percentage scale of five times that of Hkakaborazi National Park (KKBR NP) and ~10 times that of Htamanthi Wildlife Sanctuary (TMT WS) and

Hponkanrazi Wildlife Sanctuary (PKR WS); and on an absolute or linear scale in hectareage was around 100 times more than that of the other three PAs. This was significant, and clearly remains an issue for government.

Financial sustainability of PAs (Indicator 3)

The annual 'financing gap' (based on 17% terrestrial PA coverage under Aichi Target 11), changed from a baseline of US\$30.0m (2013-14), down to US\$28.9m (2018-19). Over half of the staffed PAs, now have management plans, but few conduct investment planning. The IP reported that financial planning capacity was difficult to build, in the face of limited activity budgets, although accounting systems were transparent. The piloting of new revenue streams is still at an early stage. There is a need for PA fee collection, and an increase in awareness as to its purpose. Understanding the concept of 'payment for ecosystem services' remains low. However, capacity was built with the creation of the Myanmar Biodiversity Fund (MBF) as an independent trust fund.

The UNDP financial scorecard was based on the finances for 21 functioning PAs. The final score for financial sustainability was 42% (Dec 2019), which was above the target of 25%. The scorecard is somewhat subjective, but nevertheless still indicated a 58% short-fall in achieving full financial sustainability.

Direct project beneficiaries, with 50% being women (Indicator 4)

The project made a significant effort to engage with government staff and communities, but everyone under-estimated the extent of engagement that was really needed to head off legal and illegal economic self-interest in the exploitation of natural resources.

The GEF incremental advantage for socio-economic benefit was for ~50,000 people in and around the four PAs, to benefit from access to an improved forest resource base, including NTFPs. The project created a target of 11,200 beneficiaries post-Mid-term Review (MTR). The calculated training figures (2017-19), which included most project activities, indicated somewhere in between, at 22,646 beneficiaries (56% women), although these figures included school children engaged during awareness days, but not benefitting in terms of income. To note also that from mid-2018, project activities in 3 out of 4 of the PAs had to be curtailed due to security issues, thus there was an extenuating reason.

Effectiveness - Outcome 1 Achievement – Highly Satisfactory

Outcome 1: Systemic, institutional & financial frameworks for PA expansion & management (4 indicators)

There were four indicators attached to the Outcome 1 level which were rated as: highly satisfactory (3); and satisfactory (1) **Justification:** The project had no shortcomings in the achievement of its objectives in terms of effectiveness (outcomes), or efficiency. The project is expected or has achieved its global environmental objectives. The project can be presented as 'good practice'.

There were significant steps in the approach to management of PAs, for a country that is developing straight from establishing PAs as protection zones to legislating for collaborative management systems. The inclusion of CPAs into the CBPA law was a major positive shift by government towards this. The support for Community Forests (CFs) around the boundary of TMT WS was also a major co-management approach to protect natural resources.

The institutional capacity-building for conservation practitioners was carefully targeted at four institutes. The annual PA budget increased 30%, which was some way towards the 50% target. Secondly, the project created the Myanmar Biodiversity Fund (MBF), as a 'not for profit' company, eligible to manage endowment and other funds. The preparation by the project of an IUCN Red List of Threatened Ecosystems was of high value. It has meant that the Nature & Wildlife Conservation Division (NWCD) of the Forest Department (FD) is now more able to prioritize the expansion of the PA system.

PA legal status to enable local benefit & use from PA conservation & management (Indicator 5)

The project supported the development of a number of policies, laws and guidelines concerning biodiversity conservation, which included provisions for indigenous & local community (ILC) use of resources, and collaborative management of biodiversity. The main instruments were Community Protected Areas (CPAs) and Community Forests (CFs), and some support to participatory land use planning (PLUP) as a precursor or 'village entry-point' approach.

Conservation of Biodiversity & Protected Areas Law (CBPA, 2018) and Regulations (2020, in draft)

The CBPA Law (2018) created a new PA category, that of CPA, and defined the buffer zone in relation to community development. The draft CBPA regulations (under review by the Office of the President, Feb 2020), provide extra clarification on: CPAs, local user rights in buffer zones; and in stipulating the need for Prior Informed Consent (PIC) in creating new PAs. The CBPA Law also strengthens the punishment against wildlife crime, with prison for serious offences.

In the case of the proposed expansion and nomination of KKBR NP and PKR WS as a UNESCO WHS, called KKBR Landscape, there was some 'community' opposition. This created the need for the project and government to go back to first principles of community engagement and move towards an accepted 'sharing' or co-management mechanism. This led to the CBPA Law being revised in 2018, to legally mandate the creation of CPAs. The CPAs mirror the IUCN PA category – Indigenous Community Conserved Areas (ICCAs).

Forest Law (2018), and Community Forestry Instructions (2019)

The Forest Law and CF Instructions allow for the gazettement of Community Forest (CF). CFs were supported and developed around TMT WS, as the project's main approach to co-management of biodiversity in this area.

PA Institutional capacity & Training (Indicator 6)

The project developed a comprehensive training and curricula development package for conservation practitioners, targeted towards selected FD divisions and their educational institutions. The curricula were developed for four institutions: University of Forestry & Environmental Sciences (UoFES); and three belonging to the FD - Myanmar Forest School (MFS); Training & Research Development Division's (TRDD) Central Forestry Development Training Centre (CFDTC); and NWCD. Capacity was built within the national system for conservation training, at both an academic and vocational, level. This benefitted NWCD in particular, who have ~400 staff, of which 30 are Nay Pyi Taw-based, and draw in the graduates and rangers from UoFES and MFS respectively.

Also, in 2018, the Htamanthi Training & Research Centre was built with collaborative funds including those of WCS. There, the project provided technical support in terms of training, and awareness for conservation to various FD staff, future conservation professionals, and groups, such as those involved in CF establishment.

The UNDP institutional capacity development scorecard results were mixed. NWCD and Kachin FD increased by ~10 percentage points, but the Sagaing FD, and the two divisions for Planning and Training all remained the same. Thus, the project had a capacity development impact on two out of the five institutions. Government capacity to manage PAs was considered as limited. Whilst the project undoubtedly built capacity at national level and at TMT WS in Sagaing, the advancements in Kachin were somewhat lost post-2018, due to PA and project staff withdrawal from the three PA sites, and the appointment of new wardens.

Sustainable financing mechanism for PAs (Indicator 7)

The annual PA budget increased 30%, to US\$1,314,511 (from 2014-19), which was some way towards the 50% target. Secondly, the project created the Myanmar Biodiversity Fund (MBF), as a 'not for profit' company with limited liability. It is eligible to manage 'endowment funds', as a charitable trust (i.e. for long-term capital growth). MBF also expects to manage 'sinking funds', as 10-year interest-bearing draw-down accounts (bonds, equities), and lastly 'revolving funds' to be lent and replenished annually. However, the MBF remains to be capitalized, and it needs to gain experience in managing funds and overseeing projects. As it is an independent entity, it could also work in locations where the relationship with government is tense. The MBF could also garner and invest in CSO / NGO support to CPAs. The CBPA Law also allows for revenue retention at the PA level.

IUCN Threatened Ecosystems Red List (Indicator 8)

The project developed Red Lists for both ecosystems and for selected animal classes – mammals, birds and reptiles. The Ecosystems Red List is presented in 'IUCN Red List of Ecosystems of Myanmar (draft, 2019)'. The project coincided with the development of the IUCN Ecosystem Red List program, which is based on a new IUCN Global Ecosystem Typology. This resulted in the country's first National Ecosystem Map with a typology covering 64 ecosystem types, and with 56 of them mapped.

The project held a workshop (December 2019) on using the national red lists of ecosystems and species to identify Key Biodiversity Areas (KBAs). Thus, with the improved understanding of the known populations of threatened ecosystems and species, conservation priorities can now be listed. These include: to review the PA system in 2020, particularly bearing mind threatened ecosystems; and an improved understanding of the significant tracts of intact forest, that need to be conserved under CBD, and under Myanmar's Nationally Determined Contribution (NDC) under the UNFCCC Paris Agreement.

Effectiveness - Outcome 2 Achievement - The overall grading is **Satisfactory**

Outcome 2 - Strengthened management & threat reduction in the PAs & buffer zones (6 indicators)

There were four main indicators attached to the Outcome 2 level which were rated as: highly satisfactory (2); and moderately satisfactory (2). There were also two more indicators which were rated as highly satisfactory (1); and moderately satisfactory (1). **Justification:** There were only minor shortcomings. The PA management plans rather remained on the table, without sufficient financing. Whilst threats to wildlife and habitat were significantly reduced in TMT WS, they were not in the three Kachin PAs. Here, there were issues around criminal activity, economic self-interest, and 'using' ethnic tensions to keep the government out of these areas. In order to address this, the government needed greater willpower, mediation approaches, and institutional mechanisms. In the latter case, the project developed the Protected Area Management Support Committee (PAMSC). The management methods are now recognized and legislated to be collaborative, which was a major achievement. The project is expected or has achieved most of its global environmental objectives.

PA business plans for strengthening management (Indicator 9)**Htamanthi Wildlife Sanctuary Management Plan (2021-25)**

The plan underwent a public consultation and has four components: PA management; law enforcement; biological monitoring, and livelihoods. The latter includes: CFs; community-based Natural Resource Management (NRM); income generation; agriculture & livestock support; TMT WS 'right of access'; and awareness. The plan is budgeted at \$169,969 annually.

Htamanthi WS Investment Plan (2020-25)

The plan is written more as an analysis of funding needs and investment opportunities, as opposed to a plan of action for spending the required funding. As such, it should probably be re-drafted as: a justification for spending; the 5-year investment & spending plan; and then the financing avenues separately annexed.

Threat Reduction at the four PAs (Indicator 10a)

'Smart patrolling' is the recording of the incidence of illegal hunting, and wildlife presence, supported by camera trapping. Of note, in 2018, the government nationally adopted Smart patrol methods. Due to civil unrest in Kachin State in 2018, the project withdrew to primarily work in TMT WS only. The project produced profiles for the four PAs, within which it provided a list of threats. These could have been scored and ranked at project start, and then again at project end, to provide an indication of how the threats had been managed or reduced.

Htamanthi Wildlife Sanctuary (TMT WS)

The TMT WS results indicate a significant effort in Smart patrolling. The number of people encountered fell by 2/3rds to 948 / year. The number of hunting weapons and paraphernalia was reduced from nearly 1,000 items to less than 50. However, the number of camps remains as per the baseline in 2015, which despite a reduction in illegal hunting camps, the number of illegal gold mining camps along the rivers has increased.

Six Community Forestry (CF) groups were supported, with the land being designated to Public Protected Forest (PPF) as a key first step, prior to the gazette of land as CF. The project did well to recognize the value of CF management surrounding the PA. However, there is a land conversion problem to the west of TMT WS, where Chin people are working as shifting cultivators and also there is a significant presence of gold mining. Furthermore, the issue is that whilst Shan villages are being included in CF designations, these Chin villages are not, thus the process is not yet inclusive. Fittingly, this land to the west of TMT WS is expected to go under cabinet review in 2020, for designation to PPF, with the aim to gazette it as CF. However, the FD has insufficient resources to create CFs, particularly in terms of sensitizing communities that wish to continue illegal land conversion, on land they claim customary land use rights to.

Hkakaborazi National Park and Hponkanrazi Wildlife Sanctuary (KKBR NP & PKR WS)

In 2016, FD seized 7,000 tons of illegal timber going to Chinese border. Also, illegal gold mining became extensive. Thus, part of the security issue concerned the activity of organized crime. The leaders of crime managed to create a conflict situation between the main ethnic group and the FD / project concerning conservation. Obviously, Smart patrolling and law enforcement were contrary to the economic self-interest of these criminals. The rangers were forced to withdraw due to this political situation. In 2017, the local people, Rawang in particular, were incited to demonstrate against the WHS / extension proposal, which together with letters of objection, resulted in its withdrawal³. Presently, the way forward probably is the designation of CPAs, but tensions still need to be diffused, with certain antagonists, to be finessed around.

Project-supported infrastructure included: Putao guest and staff houses for KKBR NP / PKR WS; a forward-post staff house for KKBR NP, offices for PKR WS, and two guard posts, plus the wildlife awareness centre in Putao was completed under the project.

Hukaung Valley Wildlife Sanctuary (HKV WS)

In 2016, in HKV WS, Smart patrolling began, but due to the conflict in Kachin, activities were interrupted in 2017. The fighting in HKV WS disrupted patrolling and law enforcement, which resulted in no control over mining. As a result, patrolling was limited to the roadside with limited community engagement, until 2018 when the project withdrew from the site. At the Tanai Township level, meetings were chaired by the General Administration Department (GAD), but overall, the level of (formal) communication and engagement, with the HKV WS communities has not really improved since the ceasefire agreement broke down in 2011.

Analysis of drivers in Kachin State

This output remained relevant in terms of particular drivers, such as the control of land (and resources), and the planning mechanism employed by the project, namely the PAMSC. The PA wardens need to engage much more effectively with township government / PAMSCs. One concern to the TE, was the fact that the Lisu People were not part of the CPA (and / or CF) discussion, and that this will cause much greater forest damage and socio-economic problems in the future if the process is not inclusive. However, the Kachin FD has been in talks with the Lisu People regarding the allocation of 810 ha of land to become CF south of KKBR NP.

Increased gibbon & ungulate populations at the four PAs (Indicator 10b)

For TMT WS, the prevalence of gibbon family groups has increased significantly, to three groups per square kilometer. Ungulate signs have also significantly increased from ~1.3 to 8.6 observations per km of transect walked. Both of these results indicate a significantly reduced pressure of illegal hunting within TMT WS.

Management effectiveness of the PAs (Indicator 11)

Management effectiveness was measured through the GEF Management Effectiveness Tracking Tool (METT). Overall, the scores were significantly below target. The METT scores for the three PAs in Kachin, were affected by conflict and changes

³ The WHS proposal was prepared with alternate funding, not GEF, but was inseparably linked to the project. In the end it was not submitted by the government for WHS nomination

in senior staff – wardens in particular. The score for KKBR NP initially improved, but due to the conflict situation in 2018, ended up below its baseline score in 2013, however despite this, PKR WS significantly improved its management effectiveness. It became staffed, with a park warden office opened in 2017, and preparation of a management plan begun. HKV WS remained about the same in terms of management effectiveness, not least due to the illegal hunting and illegal expansion of gold and amber mining within the government – Kachin Independence Army (KIA) conflict area. TMT WS increased its management effectiveness, but not as much as expected.

Community & stakeholder participation in local governance (Indicator 12)

The project institutionalized, legalized and supported community and stakeholder participation in PA management. Apart from direct threat reduction through patrols, this was the most important aspect of the project. This was piloted in four ways, through an institutional structure, namely PAMSC, two co-management approaches, namely CPA and CF, and a PLUP village engagement process.

Protected Area Management Support Committee (PAMSC)

The PAMSC was one of the project's most important actions. It was formally supported from 2017-2019, however the value of this institutional mechanism was under-estimated by all, the FD, IP, UNDP and the MTR. The PAMSC was important because it was a conduit between GAD and ILCs, especially in areas of conflict in Kachin State, and also because key drivers of biodiversity damage, in both Kachin and Sagaing Region, were mainly within the remit and mandate of local government, and not solely FD. However, it was undermined in Putao, where it was deflected by certain 'leaders', with other vested interests.

Community Protected Area (CPA) approach (Kachin State)

The CPA approach is very new. The CBPA Law is new and the CPBA regulations are with government before expected approval in August 2020. In the last 12 months, the IP managed to re-engage with Putao District communities. In 2019, additional training was provided to the Rawang Literature & Culture Association (LCA) to build capacity to document traditional land use in the PKR WS area. Also, the Rawang LCA have been working with FD in developing a plan for a CPA on the southern edge of KKBR NP. This process is at an early stage with the Rawang LCA now more positive that one day they may be able to support a WHS in the area. The 'pull-back and reset' to co-management in the form of CPAs may have saved the expansion of KKBR NP, to make a connected biodiversity landscape. This was a good lesson learnt of understanding a 'best practice approach to PA management, namely co-management, and more generally of adaptive management.

Community Forest (CF) Approach (Sagaing Region)

At TMT WS, in Khamti District, the IP worked with seven Shan communities and the Shan LCA, to create seven user groups for CF applications, covering ~7,000 ha. A CF management plan was prepared with each community, but the CFs await prior PPF designation before recognition. The TMT WS warden indicated that the Chin People had also been approached, but couldn't be persuaded in the benefits of CF, as opposed to their use of the land for farming. Regarding the TMT WS CF groups, there is a 3-way relationship between the FD in the townships, TMT WS staff and CF committees. The CF committees have been trained at the TMT Research & Training Centre, which also bodes well for bonding. The Chin issue is not to leave them behind, nor leave a gap in the boundary protection of TMT WS.

Participatory Land Use Planning (PLUP) Approach (Kachin State)

Whilst PLUP has been undertaken for some years, and despite the lack of a land law, the IP, managed to generate a growing interest in PLUP as a tool to document ILC territory and use it to discuss with the GAD / FD management activities and land designation aspirations, such as CPAs. This is a significant achievement of the project.

Literature & Culture Associations (LCAs)

The Rawang LCA have recently become interested in the KKBR NP extension area becoming a CPA. The IP and ILCs recently undertook PLUP in four villages in PKR WS, with the purpose partly to garner interest in a future CPA. The Lisu People support extension of the KKBR NP. The TE suggested that they approach the Putao GAD to reconvene the PAMSC to discuss the new CBPA law and its opportunities. The Shan LCA in Homalin Town, Sagaing were worried about government licensed and / or illegal enterprise logging. The TE indicated that best way was to engage in CF, as this was based on the government trusting them to protect and manage these resources.

Knowledge products (Indicator 13)

The project produced ~30 products, which are loosely grouped:

- Myanmar Red list of Ecosystems; Myanmar reptile, bird & mammal Red lists; PA representation guide (draft); CBPA Law (2018); Updated list of protected species for the CBPA Law; CBPA Regulations (draft, 2019)
- Curricula for Biodiversity & PA management – training modules: UoFES – 4th Year biodiversity module; MFS 2-year diploma course; TRDD / CFDTCC – short courses; NCWD - 6-week certificate course
- Myanmar Biodiversity Fund - Legal analysis
- Roadmap & strategy for capacity development for PA management; Lessons learned on process for CBPA rules
- Buffer Zone Guideline; Free PIC Standard Operating Procedures for PA creation; Stakeholder Engagement; Village consultation & land use zoning guideline (concerning PLUP)

- KKBR NP Management Plan (2019-24); KKBR Landscape Management Plan (2018); KKBR Landscape WHS application (not submitted, January 2019); PKR WS Management Plan (2019-24); Putao District & KKBR NP Area Ecotourism Plan (2018); Hukaung Valley Management Plan (2013-18); Biodiversity Conservation & Environmental Education Centre (Putao District, Kachin State)
- TMT WS ASEAN Heritage Park designation; TMT CF Management Plans – 7 plans for 7 village groups (2019); TMT WS Management Plan (2019); TMT WS Ecotourism Report (2019); TMT Tiger Conservation Plan (2018)

The list of project achievements, simply in terms of these deliverables is impressive.

Strategies (Indicator 14)

Four documents were produced: Capacity development for PA management; Sustainable financing strategy; Project sustainability plan & exit strategy; and a study - Communities & PAs - policies, & challenges.

Capacity Development for PA Management (2019) - The document is a detailed training needs assessment, including how the project responded to this need, within its design mandate and timeframe. The intervention was an integral and valuable part of the project's institutional strengthening work, leading to the project's overall objective.

Sustainability Plan & Exit Strategy (2019) - The project produced a comprehensive sustainability plan, detailing the expected future and exit strategy under each of the 14 logframe indicators.

Communities & PAs - Policies, Progress & Challenges (draft Feb. 2020) - The project and UNDP commissioned a policy brief on the evolving PA governance framework with an emphasis on communities. The report indicated that FD has moved its position considerably from being a government logging enterprise to being a servant for conserving forest. The reasons include: the rise in understanding the intrinsic value of a forest, and its value (due to large uninterrupted tracts) within ASEAN and worldwide; the donor effect in a new democracy – REDD+ and all the other projects; and NDCs under UNFCCC.

Training

The project held 180 training events in the form of structured training courses, awareness events, study tours and exchange visits. The training and awareness reached nearly 23,000 people, of which 44% were women. The project worked in collaboration with ~20 conservation entities. The training and collaboration were a significant and leading conservation effort in Myanmar.

Efficiency

Efficiency Rating – Highly Satisfactory

Efficiency

Myanmar was in need of this project, so it was opportune. Few of the measures would have been undertaken without the project, or indeed to anywhere near the professional standard applied. It followed national policy. The project efficiently accessed expertise in Asia, for regional studies and tours, for conservation staff, for government and civil society leaders, and for the future trustees of the MBF. Financial inputs were provided according to or in excess of plan, and by a wider range of contributors. This also indicated high project relevance.

Ownership

The level of cooperation between the government and IP was very high, as was the level of government ownership, which is expected to continue after the project. The IP and government shared data. Technically, the IP is a specialist in wildlife conservation, and the government has been learning 'best practices' throughout the project lifespan. Furthermore, the IP and government worked through a number of thorny issues, such as the opposition to the proposed expansion and designation of KKBR NP and PKR WS to become a WHS. Their strategy was to undertake an extensive 12-month consultation on updating the CBPA Law (and draft regulations), with enhanced ownership, collaboration and responsibility for ILCs through the inclusion of CPAs, in the CBPA Law.

At TMT WS, in Sagaing, the collaborative approach agreed by both the IP and government was to take-up the CF program around the PA. At the end of the project, the IP also supported the on-going government consultation on updating the Forest rules (draft 2019). Another example of working together was during the consultation on the national land use plan (2014).

The level of ownership was also enhanced by UNDP's interest in the project, particularly prior to 2018 at RR and post-2018 at SIGU levels. Despite Project Board (PB) meetings being slow to arrange, activities were begun. The IP was able to do this, due to their on-going relationship with government and at the designated project sites. Without this pre-existing and parallel relationship, the project would have floundered in its early stages, and then been caught-up in the civil and localised conflict situation, without much work achieved on the ground. Having had a chance to work at field level prior to the conflict situation in Kachin, the project was able to fully adapt, based on a knowledgeable understanding of the conservation, social, and political issues, including those of Ethnic Armed Organisations (EAOs), and commercial self-interests. This meant that the project (with a commendable array of interested parties in / outside the conservation donor community) was able to convincingly bring in from concept to law, the collaborative management of areas adjacent to PAs, in the form of CPAs. This was exceptional when three years into a 5-year project, three out of four project PAs in Kachin State were activity-stifled. The establishment of PAMSCs, especially at district and township level, also provided a mechanism for local ownership of conservation and natural resources management issues.

A tenet of the project was implementing the NBSAP (2015-20) and Aichi Biodiversity Target 19 – ‘by 2020, the knowledge, and technologies relating to biodiversity, its value, and functioning are improved, shared and applied’. Central to this was the capacity building being directed at the NWCD, the FD, and conservation training institutes, through curricula development and their adoption.

Relevance

Relevance Rating – Relevant

Relevance

The measures were required under international agreements (CBD, UNFCCC). Its expected outcomes / outputs closely mirrored the GEF-5 biodiversity focal area strategy. The project design remained highly relevant.

Mainstreaming

The project (and FD / NWCD) learnt some hard lessons in community consultation and the extent of sensitization, awareness, and building-trust needed, especially where there were already ethnic tensions with government. The IP's standard method was to follow a 'village consultation process', however this was adapted from their participatory rural appraisal (PRA) / participatory land use planning (PLUP) methods and not always suitable in a scenario under which engagement needed to consider conflict resolution and indigenous land rights. The IP did however develop PIC guidance for the future expansion of the PA network.

Human-rights were mainstreamed through promoting and securing land for gazettelement as CF, within which collaborative management by and with local communities can occur. In addition, the CBPA Law now supports the designation of community protected areas (~IUCN ICCAs). This was a major advance in collaborative management of natural resources in Myanmar, which was a direct result of the project.

On a central level, biodiversity conservation was mainstreamed through: support to the NBSAP; and species and ecosystem data incorporated into IUCN Red Lists (which will help define future KBAs).

Implementation - Execution

Implementation – The overall rating is **Satisfactory**

Project Implementation: According to the given five categories - coordination & operational matters, partnership arrangements & stakeholder engagement, finance & co-finance, M&E systems (see next), and adaptive management (work planning, reporting & communications)

The implementing agencies (UNDP and WCS) had only minor shortcomings in terms of the quality of implementation or execution. Implementation of most of the five management categories has led to efficient and effective project implementation

Coordination & Operational Management

Coordination & Operational Management by Implementing Agency (UNDP)

The rating is **Satisfactory**

The project was signed in June 2015, but it then took 16 months until October 2016 for the PB to be established, which was too long, despite elections. Then the 1st PB meeting was held in November 2016. The 2nd PB meeting was only held 10 months after this, in September 2017. Thus, in the first 25 months (2.25 years out of project timeframe of 5 years), there were only two PB meetings held, which was not really good enough. The delay of 17 months from project start to the 1st PB was in part due to Myanmar transforming and re-structuring its government from military to civil administration (Election in November 2015). It appeared that UNDP, as the GEF Implementing Agency, were not active enough in requesting that the PB should convene earlier, despite three letters from the IP (WCS) to MoNREC / FD. However, to note, the UNDP Resident Representative was the co-chair of the PB, which later added gravitas to decision-making and timeliness.

The project preparation grant (PPG) was used to undertake a preliminary consultation with government and with communities, however as is now recognised, the approaches to working with ILCs, to gain trust and ownership of the interventions needed much more work. This was because economic vested interests were working against the project, and the direction the IP took, in the case of the proposed KKBR WS expansion, became an easy target for such interests.

The membership of the PB was decided through IP discussion with FD's NWCD, who due to the structure of government, advised against cross-sector membership. However, this meant that local government in Kachin State (apart from the FD) and Sagaing were not included in the PB. This was not ideal, as it was clear during project formulation and as the project evolved, that the control and exploitation of natural resources and therefore biodiversity was tied up with socio-economic, illegal, commercial, political, military, and ethnic activity. The project later realized this, and developed the Protected Area Management Support Committee (PAMSC) in 2017, but the PB should probably have included the Kachin and Sagaing GADs, and the Department of Mining (under MoNREC), from the start.

Prior to project approval, a UNDP-standard Environmental & Social Screening (ESS) was undertaken. It noted 'impacts & risks limited in scale, and can be handled through applying best practice'. The ESS was updated using the UNDP Social & Environmental Screening Procedure (2014), with a version produced in September 2018. It rated the risk as high. The MTR was planned in 2017, but by the time it was undertaken (Feb 2018), reported (Nov 2018) and the UNDP – IP 'management

response' concluded (Jan 2019), it was a year later.

Coordination & Operational Management by the Implementing Partner (IP - WCS)

The rating is **Satisfactory**

In October 2015, the PB was established by MoNREC with 11 members. The attendance for the 1st PB included 16 persons, notably with Kachin FD absent. The Project Coordination Unit (PCU) was established during the 1st PB meeting. The partnership arrangement between MoNREC / FD and WCS was through an MoU which was established prior to the project and renewed as necessary. In 2017 (Q3), at the 2nd PB meeting, it was noted that 'there was no access to the HKV WS due to KIA. The idea of employing a mediator was mooted, but unfortunately was not followed up. The meeting also noted 'insufficient FD staff in PKR WS limits activities.' In August 2018, it was reported that 'there were threats of violence towards the FD and project in KKBR NP and PKR WS'.

Thus in 2018, UNDP, the IP and FD were more reactive (than proactive) to the issues in Kachin State, except to withdraw on-site operations. In the process, the IP and FD unfortunately lost sight of the value of the PAMSC mechanism and its role in providing truthful information and in mediation.

Partnership Arrangements & Stakeholder Engagement

What is often not understood or accepted with conservation projects is that the primary stakeholder is the wildlife. The whole project design is based upon primarily advocating the rights of wildlife and their conservation. Communities and others are secondary.

In 2016, the project established an institutional mechanism called PAMSC. The PAMSC was formalized in 2017 via NWCD authorization request to Sagaing Regional Government, FD and GAD; and Kachin State Government, FD and GAD. It was aimed at district / township coordination and upwards. The project initially held a series of 'PAMSC exposure workshops' with a wide stakeholder audience, but when it came to the functioning PAMSC committee meetings, their role was rather lost sight of, not least due to local politics.

The project entered quite a journey (with highs and lows) of community engagement, and came out with a one new legislated approach, and one enhanced approach for co-management of natural resources. These were for CPAs and CFs. The level of community engagement in direct conservation measures was high, but the one area of its 'community participation strategy' that it didn't adhere to, concerned working with specialist 'development' NGOs to provide and address needed 'livelihood' incentives. Along the way, in the KKBR NP and PKR WS area, the IP also managed to alienate (for a time) communities, who were under the stronger influence of others with vested interests in the control of natural resources.

The IP saw the Technical Advisory Group (TAG) (who met twice in 2017-18) as more of an open forum, but this made direct project support more difficult. What the IP did instead was to be much more dynamic and adaptive, in focusing consultation meetings, workshops, and seminars on single issues with the decision-makers and selected experts, for example in drafting the CBPA regulations. This worked well in most instances, but in hindsight, the one or two of the key TAG functions could / should have been incorporated into the PAMSCs, and the TAG dissolved. This was also because, the conservation 'expert' community, were generally so far removed from the complex situation on the ground.

The project developed other partnerships (and relationships), in particular with ILCs, CSOs, and NGOs:

a/ Various Literature & Culture Associations (LCAs) for Ethnic Peoples – Rawang, Jingpo, Lisu, Shan; and the Council of Naga Affairs

b/ Indigenous Peoples - Main ethnic groups are Rawang, Kachin, Naga, Lisu and Shan in the 4 PAs. There are 17 villages in KKBR NP with the major ethnicity Rawang; 10 villages in PKR WS with the major ethnicity is Rawang; over 70 villages in HKV WS with major ethnicities being Kachin, Naga, Lisu and Shan; and 25 villages near TMT WS with the major ethnicity being Shan. The IP consulted with the representatives of these ethnic peoples, in order to receive their support and participate in project activities.

c/ Collaboration of technical, financial & human resources for the CBPA rules consultation – between IP (WCS) and – Land Core Group (LCG); World Wildlife Fund; Fauna & Flora Int'l; Smithsonian Institution; & Htoo Zoos

Financial management & finance

The prodoc budget breakdown timewise, appeared front-loaded to gain a higher and earlier level of fund release. Projects take at least a year to 'gear-up', and then pilot activities in their second year, with expansion and main spends in the 3rd and 4th Years, and followed by a consolidation in the last year. This was the case here with the IP, in following the usual 'bell-shaped' spending curve. Fund release was through 'Funding Authorization & Certificate of Expenditure (FACE)' – based on a report of the previous quarter and a request for the following quarterly advance (i.e. an advance, then a reconciled reimbursement, based on the invoice.)

In 2018, following the project's withdrawal from the three northern PAs, activities and budgets were re-directed, but kept within a 10% change in the budget of the two components. The TE was unable to determine spending against output or indicator, starting with the prodoc budget, which presented neither.

Annual financial audits were undertaken in 2015-19 which were all in accordance with procedures.

The co-financing contributions of the government and the IP, were in excess of the amounts promised at project start. There were a number of co-financed inputs for which a monetary value was not added. These included: the development of Red Lists for ecosystems and selected species classes; and the consultation on the CBPA regulations.

Adaptive management (work planning, reporting & communications)

Work planning

The inception workshop was held October 2015, but not reported until July 2016, which whilst the delay was partly due to elections, it also impacted on the schedule of the PB, who only met in October 2016. Annual workplans & budgets were approved by UNDP and counter-signed by WCS.

Reporting

Four Project Implementation Reviews (PIRs) were produced. The last PIR which ran July 2018 – June 2019, was presented to the TE in February 2020 as the latest project status. The UNDP-instigated quarterly reports were the main / regular monitoring method, but the template wasn't standardized until 2017-18, and then ended again in Quarter 1 (Q1) 2019.

Communications

Monthly meetings between UNDP and the IP became regularised in 2019, and served as the operational meetings.

Monitoring & Evaluation

M&E Systems – Design & Implementation – The rating for the overall quality of M&E is **Moderately Satisfactory**

M&E at Design – **Moderately Satisfactory**

UNDP GEF projects have a particular M&E system that is report-based centred around an annual PIR that runs mid to mid-year. The M&E system is based on a mixture UNDP's contractual compliance with GEF and its own systems, and checking the IP in terms of its contractual compliance of deliverables. These include annual workplans with budgets (AWPBs), PIRs, and audits, with an MTR and Terminal Evaluation. The system often includes a couple of subjective scorecards – the UNDP capacity development scorecard and a GEF scorecard, which in the case of PAs, is METT. The IPs are not encouraged to develop any spreadsheet-type tracking system, that run annually and cumulatively with all the project numbers, as inputs and outputs. Thus, whilst indicators (and their baselines and targets) are often number-based, the reporting is mostly text-based, with a few numbers 'put-in', but often not dated. For this project, the IP produced an annual M&E plan and budget, but again, there was no consolidation of 'the numbers', or expected verification points, except the PIRs.

M&E Implementation – **Moderately Satisfactory**

For the baseline, the IP as a resident conservation NGO, released a significant amount of factual survey data, and added to this as necessary during the PPG, and presented the data within the prodoc. For the endline, the specific indicators were responded to, but there was no endline survey or consolidation of results reported, apart from for the 14 logframe indicators. This was according to contract, as there was no stipulation for a final survey.

The MTR indicated that the project needed to attend more to the socio-economic side of PA planning, and management. It also suggested limited community ownership and low investment in community engagement, compared to the amounts spent on Smart patrolling / biological surveys. The MTR also suggested more 'socio-economic inputs.' However, the MTR was slightly mis-directed, in not appreciating that the project was not designed as an 'integrated conservation and development' (ICD) project, and couldn't be expected to become one at that stage.

The IP produced a 'Sustainability Plan & Exit Strategy' six months before project end. Concerning, the asset list, all five project vehicles were UNDP procured and UN-plated. The equipment list value, as of December 2019 was US\$267,177, including Smart patrolling equipment, laptops, motorbikes, and boat engines. Most of the equipment was expected to continue to be used in the field, for ongoing PA conservation work, primarily under the guidance of FD and at TMT WS.

Sustainability

Sustainability: According to the four GEF risk categories (financial, socio-economic, institutional & governance and environmental), present status, and towards the future is assessed.

Overall Rating: Moderately Unlikely

The premise for wildlife conservation is that not only, has the wildlife intrinsic biodiversity value, and in some cases, protected area and protected species status, but that the wildlife also has an economic value, for example in terms of tourism.

Financial Risks to Sustainability

Taking the Aichi target of terrestrial PA area to be 17%, the project calculated an annual 'financing gap', of ~US\$29m needed. For donor projects, 2020 is a significant planning year. There is an upcoming World Bank PA and tourism project (~US\$100m loan + EU €25m grant). DfID have regional funds for a forest law enforcement, governance & trade project (£350m for FLEGT). There is a GEF-7 CF management project being considered. Other smaller opportunities include the UNOPS / UNDP Small Grant Program, and the Critical Ecosystem Partnership Fund.

The government system of financing PA activities, recently came under the remit of a new 10-year program – 'Re-establishment of Natural Habitat (RNH)'. RNH funds, which are for conservation activities, (and not recurrent staffing costs) were dispersed to PAs for the 1st time for the 2019-20 financial year. There are RNH plans for KKBR NP, HKV WS, and TMT

WS but there isn't as yet a plan for PKR WS. The RNH budgeted plan for KKBR NP amounts to ~\$41,000 / year. The issue with the RNH plans for the Kachin PAs, is that there is little or no access to these reserves, so for example, the 2019-20 funds for KKBR NP will mostly 'return' to central government. Under the RNH plan for HKV WS, the main activities are: patrolling and wildlife corridors, but again, the issue is funds forgone as they can't be spent at present. Under RNH, TMT WS, expects to patrol at ~10% of its GEF project level, meaning it will need to focus on key locations and alternate month patrol patterns. Also, it expects its community guard and guardian schemes to be folded. Fortunately, WCS are confident of securing a certain amount of funding for TMT WS and are committed to the conservation actions there.

Socio-Economic Risks to Sustainability

The land law is in the process of being updated, with the expectation that district-level land use committees will be established to support LUP and land tenure applications. It is unknown how this could affect the designation of land to forest estate, with a view to making it PA, CPA or CF, because at present such designation is on a fast-track which is being run from a high-level of government. This is good for biodiversity conservation and climate change commitments, but making the process inclusive for sustainable livelihoods should be taken as more complex. This is because securing land for biodiversity as its primary function, means that the basic agriculture lifestyle is curtailed, which in turn means that alternative income streams need to be developed. This is difficult on a village scale. The need to raise agriculture productivity on existing farmland is therefore paramount, as is the provision of societal benefits, such as schools, health posts and internet connectivity. This means that whilst, the 'best-practice' governance model for biodiversity areas is one of 'co-management', there is a need to re-visit the 'integrated conservation & development' (ICD) model, where 'development' is provided in return for limiting 'right of access' and 'right of use' in the conservation area.

Institutional Framework & Governance Risks to Sustainability

Myanmar remains in transition from military to democratic rule. Communities have been empowered over the last 10 years or so. There has been recent progress in the peace process and the political stance of ethnic groups, which has been a sticking point since the 2011 breakdown of the 17-year military – KIA /KIO ceasefire.

Concerning the governance of land, the legal side and expectation of ILCs, has progressed rapidly and significantly, during the project and as a result of the project. ILCs expect land rights, and in terms of community land for forestry and biodiversity, these have happened – Forest Law (2018) with CFs, and the CBPA Law (2018) with CPAs. In drafting the CBPA law, the term 'local' was preferred instead of 'indigenous', which is more encompassing, and less political.

However, the conservation and donor community are also still making significant mistakes. The UNESCO KKBR Landscape WHS proposal, was without sufficient ILC support and proved to be insensitive. The UNDP GEF-6 Ridge to Reef conservation project (with another conservation NGO), also stalled at outset, as ILCs were not properly consulted. These were two classic examples of UN agencies and conservation NGOs urging community approaches, but not practicing them, due to a lack of understanding in the level of social engagement (and expertise) needed. In the former case, the CBPA – CPAs came out of it, as did guidelines for 'prior informed consent' (PIC) concerning the establishment of PAs. Moreover, in the process, an improved co-management approach was added to the conservation toolkit. Thus, the project (UNDP, WCS & government) found a way forward which certainly was an achievement. However, a balance in the governance of land, through a new land law has yet to be achieved. i.e. a balance between sustainable livelihoods and sustainable management of natural resources (biodiversity).

The project instigated the PAMSCs, which once set-up, took up a highly political life in Kachin and largely petered out in Sagaing. Their value to conservation is high, especially as a mediation platform, in the use of and designation of land needed for biodiversity conservation, and linkage to the other development needs of communities. However, they need significant outside support to maintain their direction.

Environmental Risks to Sustainability

Whilst, the government, to a certain extent, has stopped major environmental damage to the project PAs, issues remain in Kachin. For example, HKV WS had an extension approved in 2010, but it has not been managed effectively since. There has been a lack of political willpower to intervene during such a 'civil conflict' period. However, the issue is more one of expanding the PA network, so that sufficient habitat is secured for viable populations of wildlife and their dispersal / migratory needs. The Ecosystems Red List data can be used to inform the next NBSAP for 2020-30. Moreover, such new conservation areas (KBAs, PAs, OECMs – CPAs, CFs, Peace Parks etc) still need to be integrated into local development planning (spatial, socio-economic and property rights) The changes in the legal system, now need to be complemented and supported by mature institutional mechanisms and improved communication between the FD and ILCs.

Impact

Impact: According to the three GEF categories (Significant, Minimal or Negligible), present status and towards the future, the overall rating is **Significant**. Capacity and tools for biodiversity conservation have been developed at the central level.

Reduction in stress on ecological systems

The stress on ecological systems remains high. Staffing and law enforcement remain low within most PAs. Ecological stress was reduced at TMT WS, primarily due to ILC consensus-building on the biodiversity value of TMT WS. This was then backed-up by patrolling and staffing on the ground, with awareness-building, and recently, the co-management of natural resources around TMT WS, through CF designation. Despite this, external threats from gold and jade mining remain substantial across

the project PAs in both Kachin and Sagaing. The CBPA law without enforcement and political willpower, will not stop this damaging self-interest.

In the same way, at the three PAs in Kachin, due to conflict, there was a lack of patrolling, insufficient consultation with sensitive / politicized communities, and a lack of a co-management approach. The approach has now been identified and legislated for, i.e. CPAs, thus the process of biodiversity conservation can move forward again, and hopefully skirt around or finesse those using politics for self-interest. Both CF and CPAs are a major step forward in the country developing a PA system, with the ability to create community collaborative responsibility for areas of adjacent habitat, providing a buffer and dispersal / migratory element for wildlife populations.

Concerning forest cover, the project used Global Forest Watch data, which is more applicable to national planning, as its sensitivity towards ecological integrity is low. This is where, the national take-up of Smart patrolling has a key role to play, but without law enforcement, the gains won't be sustained. This is especially true, with tackling illegal hunting, but not adjacent land conversion. Land conversion is in a range from legal to disputable to illegal, which in varying degrees need, permits withdrawn to prosecutions to punishments.

Regulatory & policy change

Policy change flows internationally from the 2016 UNFCCC Paris Agreement, and the CBD 2011-20 Aichi targets. Nationally there is the 2015-20 NBSAP. Regulatory change has been achieved, notably under the CBPA Law. The government is committed to expanding its PA network and in line with the Red list for ecosystems developed under the project. The CBPA and forest laws together, indicate a clear and significant shift towards collaborative management of natural resources with ILCs. However, the policy to enforce the cessation of other legal / illegal resource exploitation activities, primarily mining, now lags behind, and the government willpower to prosecute through the legal system has not been tested. In this respect, the ECD under MoNREC requires stronger leadership, with local GADs needing to be steered in this direction by central government. The land law lags behind in development. Land use planning, and agriculture land allocation by the Department of Agriculture, Land Management & Statistics (DALMS) is difficult and slow. Customary rights are not clear. DALMS themselves are also under pressure to provide leases for larger 'business' – i.e. mining enterprises.

Catalytic Effect

The TE prepared a Theory of Change model for each of the project's components – see text of full report

Scaling-up & Replication

PA expansion continued, which was one of the primary objectives of the project. For example, Sagaing government plans to establish five new PAs in 2020. The PAMSC institutional mechanism was replicated by Sagaing government for management around Alaung Daw Kathapa NP.

TMT WS was scaled-up in terms of its regional importance to biodiversity, with its designation as an ASEAN Heritage Park (2019). This was an unintended result and a significant achievement by the project.

Demonstration

The project demonstrated use of appropriate tools (i.e. IUCN Red List for Ecosystems) for the expansion of the PA network, together with a new Key Biodiversity Areas (KBA) Coordination Group being created. The project demonstrated CF as an appropriate co-management approach for 'securing' natural resource management around the periphery of PAs. The project also demonstrated PA planning with PA management and business plans.

New techniques /approaches

Five new techniques were developed: Smart patrolling and its use as a law enforcement tool, now taken up nationally; CPAs (~ICCAs in some other countries) as a co-management approach; Use of an open-source software application (Global Forest Watch) to monitor changes in forest cover at the PA scale; PAMSC a new cross-sector institutional mechanism embedded in local government; and Myanmar Biodiversity Fund – as a new conduit for conservation financing

Conclusions & Lessons Learned

Myanmar missed out on GEF 1 - 4 funding cycles, with this project under GEF-5, being its first in biodiversity conservation. It also meant that it missed out on gaining experience in three generations of conservation approaches, and thus needed to learn to move quickly through these gears - 1st gear – 'Protection-only ('fence & fine') [1970s-90s] to 2nd gear - Integrated conservation & development (ICD) [1990s-2010s] through to 3rd gear - Collaborative management (co-management) [2000s-20s].

The government and its civil servants are committed to PAs and sustainable land management, but it only has a partial array of methods to solve problems. In some cases, the law is lagging, such as the land law, in others it is an institutional (capacity, resources, funds) issue, but moreover when these factors are put in context of a new political system, then a herd mentality with a lack of direction and leadership can become apparent.

With the designation of PAs being sensitive, the government has learnt of the importance of 'Other Effective area-based Conservation Measures' (OECMs, from UN CBD - CoP 10, 2010), which provide options for both biodiversity

conservation and as addition coverage for the 'PA network'. They exist in-country already in the form of Peace Parks for example. They also provide another co-management option, in addition to CPAs for example. Furthermore, they are likely to add to the land coverage under the UNFCCC Paris Agreement NDCs, and the CBD post-2020 biodiversity framework.

The project appreciably added to the legal framework for the PA system and its expansion, with the passing of the CBPA Law (2012), and in getting a set of draft CBPA regulations before parliament by project end. The IP backed up the regulations with sets of guidelines for: Free & Prior Informed Consent (PIC) Standard Operating Procedures – for PA development; PA stakeholder engagement; and PA buffer zones. The IP also updated their PLUP guideline, called 'village consultation process (VCP) & village land use zoning'.

The project institutionalized, legalised and supported community and stakeholder participation in PA management. Apart from direct threat reduction through patrolling, this was the perhaps the most important aspect of the project. This was manifested in four ways, through an institutional structure, namely the PAMSC, two co-management approaches, namely CPA and CF and a pre-cursor village engagement process, which varied somewhat from PRA through to more advanced PLUP.

WCS's relationship and trust in-country has been built-up over 25 years, and in TMT WS for last 15 years. The TMT WS Management Plan was prepared with public consultation. The project was engaged there for the last five years which was a significant boost to conservation activities, with the project allowing a considerable focus on the ILCs themselves, especially as resource protectors. This resulted in CFs around TMT WS, in further protection of it, and as a wider safe dispersal area for wildlife.

More profoundly, the experience from implementing the project changed the government and WCS's approach to community engagement, consultation and collaborative management. From ethnic group / ILC opposition (albeit incited) to the expansion of KKBR NP, to legalizing a new co-management approach in CPAs, to beginning to garner ILC support (and acceptance) again in PLUP, while introducing such CPAs, was found as a clear road to achieving biodiversity protection. This work on a central level, involved the first extended national consultation on a law, namely the CBPA law, its regulations and inclusion of CPAs, as a mechanism to recognize Indigenous Community Conservation Areas (ICCAs). This was undertaken as a direct result of the opposition to the KKBR expansion and associated UNESCO WHS proposal. Whilst, the PLUP / CPA approach was sharpened in Kachin, support for the CF approach in Sagaing progressed rapidly.

Community concerns remain regarding CF and / or CPAs. If they are treated, despite the 'community' labels, as forest-controlled estate, then opportunities for ILC co-management may be lost. In which case, the country may be headed more towards OECM designations. This would be a pity, as both CFs and especially CPAs have a valuable role to play in conservation, carbon and sustainable livelihoods. In the case of the KKBR Landscape WHS proposal, the route may be longer – to demonstrate CPAs elsewhere, before returning to this landscape, to practice, and then in some years' time, to suggest again the benefits of an over-arching WHS structure.

Recommendations

Exhibit 4: Key Recommendations Table (with responsible entity)

1. The GEF project formulation stage in Myanmar is to contain an addendum concerning appropriate community engagement methods, which are sensitive to indigenous & local community (ILC) land use issues. This should be prepared ahead of new GEF-7 projects [UNDP and GEF with MoNREC]
2. Prepare a short guideline on the decision-making process for proposing a CPA, or CF, (or OECM) as a co-management strategy outside a PA. i.e. in the merits of guiding biodiversity conservation. When to choose which option, in which setting, and for what purpose [NWCD with WCS]
3. The PAMSC mechanism in Putao needs special attention, with regard to its operational procedures and the funding of meetings [NWCD with WCS]
4. There needs to be a continued close relationship with particular Literature & Culture Associations in the Kachin State in the project PA areas, especially with the Rawang and Lisu Peoples [NWCD via the GAD-led PAMSC in Putao, with WCS support]
5. Pilot the CPA process, in 2-3 areas including outside and inside the KKBR landscape [NWCD and WCS]
6. There is a need to ensure that the co-management process is inclusive of all ILC groups. The Chin People around the west of TMT WS (Sagaing) need to be engaged in CF, not just the Shan People [Khamti and Homalin FDs with WCS]
7. The Lisu People in the KKBR landscape area who have been approached with regard to CF designation, need further

information, as to if a CPA is more appropriate than a CF, especially bearing in mind the Rawang People are now looking at CPAs at the best option in this area. The approaches need to be reconciled and / or harmonized [NWCD with WCS] – see also point 2.

8. The conservation donor community and MoNREC / FD need exposure to the lessons learned and best practices of this project, with regard to co-management approaches (including participatory land use planning) and how to approach sensitive land issues. This applies in particular to upcoming World Bank, EU, DfID and UNDP projects. [UNDP with WCS]

Full report

1. INTRODUCTION

1.1. The project

This UNDP-supported GEF-financed project ‘Strengthening Sustainability of Protected Areas Management in Myanmar (PIMS 5162)’ was implemented in Kachin State and Sagaing Region, together with the Forest Department (FD). The project started in June 2015 and ended in June 2020. The 5-year project was under NGO Implementation Modality (NGO-IM) with the Ministry of Natural Resources & Environmental Conservation (MoNREC) as the Executing Agency (EA), and the Wildlife Conservation Society (WCS) as the Implementing Partner (IP). The project was managed by a Project Coordination Unit (PCU), led by the NGO – WCS. UNDP and the PCU were supported by a Project Board (PB).

1.2. Purpose of the evaluation and report structure

Purpose & Structure

The objective of the Terminal Evaluation (TE) was to gain an independent analysis of the achievement of the project at completion, as well as to assess its sustainability and impact. The report focuses on assessing outcomes and project management. The TE additionally considered accountability and transparency, and provided lessons-learned for future projects, in terms of selection, design and implementation. This report is in six sections - introduction, description, findings, sustainability, impact and conclusions / recommendations. The findings (Section 3) are additionally divided into strategy and design, implementation and management, and results.

1.3. Scope and Methodology

Approach

The overall approach and methodology of the evaluation followed the guidelines outlined in UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects (2012). The TE was an evidence-based assessment and relied on feedback from persons who were involved in the design, implementation, and supervision of the project. The TE team reviewed available documents (**Annex 7**), conducted field visits and held interviews. The international consultant was the team leader and responsible for quality assurance and consolidation of the findings of the evaluation, and provided the TE report.

The field mission took place from 18th February – 6th March 2020, according to the itinerary compiled in **Annex 11**. The agreed upon agenda included a UNDP briefing on 19th February and a stakeholder workshop on 4th March. There were no distinct security issues which affected the TE⁴. Usual precautions were undertaken, with a 4WD vehicle provided for the field travel.

Methods

The TE determined if the project’s building blocks (technical, financial, management, legal) were put in place and then, if together these were catalysed sufficiently to make the project successful. The TE method was to utilise a ‘multi-level mixed evaluation’, which is useful when evaluating delivery of a new service or approach, being piloted through state institutions. The method allows for cross-referencing and is suitable for finding insights which are

⁴ Visit to Myitkyina and Putao in Kachin State and to Khamti and Homalin in Sagaing Region required advance approval from the FD, with security registration on arrival at the airports together with health checks – temperature taken for coronavirus - Covid-19.

sensitive and informative. The rating scales are provided in **Annex 9**. Pro-forma questions on key themes such as those provided by the UNDP GEF guideline were updated by the TE (**Annex 14**).

Main partners and Stakeholder feedback

The TE interacted with the IP – Wildlife Conservation Society (WCS) project staff, the UNDP Country Office as well as with project-associated stakeholders in FD, their Nature & Wildlife Conservation Division (NWCD), the local government and PA staff in the two project areas, and community leaders. The TE visited the project areas to interact with local administrators, technical staff and beneficiaries. Gaining a representative view from local stakeholders was partly limited by the security situation in Kachin State, whereby the TE Team was only able to visit the capital and one district town in the state, but not the three project PAs there⁵. Additional telephone / email interviews with the stakeholders were arranged as necessary. **Annex 6** provides a list of people that the TE met and **Annex 10** is the mission schedule.

Ethics

The review was conducted in accordance with the UN Ethical Guidelines for Evaluators, and the reviewer signed the Evaluation Consultant Code of Conduct Agreement (**Annex 15**). In particular, the TE team ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders' dignity and self-worth.

2. PROJECT DESCRIPTION

2.1. Development Context

GEF-5 Biodiversity Focal Area linkage

- Focal Area Objective⁶ 1: Improve sustainability of PA systems – Expected outcomes: sufficient revenue for PA systems; increased representation of ecosystems within PAs; increased representation of threatened species within PAs; Improved management effectiveness of PAs. FA Objective 2: Mainstream biodiversity conservation & sustainable use into production landscapes / seascapes & sectors – Expected outcomes: measures to conserve biodiversity incorporated in policy & regulatory frameworks; increase in sustainably managed landscapes & seascapes that integrate biodiversity conservation⁷
- Focal Area Objective⁸ 1 - Expected FA Outcomes - Improved management effectiveness of existing and new PAs; Increased revenue for PA systems to meet expenditures required for management. Expected FA Outputs - New PAs (7) and coverage (2.98 m ha)⁹ of unprotected ecosystems and of unprotected threatened species (100); Sustainable financing plans (1).

Sector-wide linkage with the International Community

- UN Convention on Biological Diversity (CBD, 1992) - Myanmar became a signatory to CBD in 1992 (and ratified 1994), which in Article 8, obliges member states to: Establish a system of PAs; Develop guidelines for the selection, establishment and management of PAs; Promote the protection of ecosystems, natural habitats and the maintenance of viable populations of species in natural surroundings
- CBD Aichi Targets – Strategic Goal C - To safeguard ecosystems, species & genetic diversity. Target 11 - significantly increase the area & connectivity of PAs in regions with high biodiversity and significant ecosystem services, and increase management effectiveness of PAs through integration into the wider landscape. Target 11 has a goal of 17% PAs by 2020
- CBD is developing the post-2020 Biodiversity Framework, with a higher global target by 2030, but allowing for the inclusion of Other Effective Area-Based Conservation Measures (OECMs) such as CF and ICCAs / CPAs.
- UNFCCC – Paris Agreement 2015, Myanmar ratified 2017. In order to combat climate change, requires all Parties to put forward their best efforts through Nationally Determined Contributions (NDCs). Thus, further expansion and protection of PAs contributes as a carbon mitigation measure

⁵ The staff of these 3 PAs were withdrawn to the State Capital Myitkyina & Putao District Town in 2018, with project activities curtailed

⁶ www.thegef.org/sites/default/files/council-meeting-documents/GEF.C.35.Inf_13_4.pdf (p19)

⁷ Core Outputs for Objective 2 - Sustainable financing plans; New PAs & coverage of unprotected ecosystems / threatened species. Objective 2 - Policy & regulatory frameworks for production sectors; National & sub-national land-use plans that incorporate biodiversity & ecosystem services valuation; Certified production landscapes & seascapes. These GEF-5 Outcomes / Outputs were highly relevant and closely mirrored in the project design

⁸ Project Identification Form (PIF)

⁹ Changed post-MTR to 0.27 m ha expansion (from 5.6% - 3,788,697 ha to a target of 6% - 4,059,462), source revised logframe

- Project contributes towards the 2016 Sustainable Development Goals (SDGs)¹⁰ and their targets in particular Goal 12. SDG target 12.2 is 'by 2030, achieve the sustainable management and efficient use of natural resources'
- UNDAF (2018-22) includes UNDP's strategic plan, including an Expanded PA system
- UNDP CPD (2018-22) - Output 2.2 - National & sub-national levels for sustainable management of natural resources & ecosystem services as a platform for inclusive economic development. Indicator 2.2.1: # ha of forest and PA / conservation areas increased / protected; 2.2.3: # of jobs & livelihoods through management of natural resources, ecosystem services, disaggregated by sex; 2.2.4: # of mechanisms for stakeholder consultations on natural resources

Project linkage to National Planning (Policy & Regulatory)

- National Land Use Policy (2016) - NLUP includes the formation of National Land Use Council, led by vice-president with members from the Union ministers and region / state chief ministers. The Council will establish the Land Use Committee for all regions / states / Union territory (Nay Pyi Taw Council), to implement the policy. Chapter 2 - Zoning & changing land use identifies land use planning maps: urban & rural develop zone; agriculture zone; livestock breeding / fishery zone; PA or national security zones; commercial, industrial or mining zone; grazing zone; and forest zone.
- Vacant, Fallow & Virgin Lands (VFL) Management Law (2012, Amended 2018) – Chpt IV – Right to apply to utilize VFL land, unless MoNREC deem land is RF, PPF or should be conserved as natural lands, watershed area or natural fishery
- Myanmar Forest Policy (1995) - Objective - Protection & management - to identify unclassified land (a.k.a. VFL land) & Public Protected Forest (PPF) to extend as area under Reserve Forest (RF) and PAs; to strengthen wildlife management through establishment of a network of national parks, wildlife reserves and sanctuaries
- National Forest Master Plan (2001-30) has a goal of 30% Forest Estate, by 2030.
- Forest Law (No. 19, 2018) - to protect forest and biodiversity from degradation; sanctions community forest (CF)
- Myanmar Reforestation & Rehabilitation Program (MRRP, 2017-27) - implemented by FD - to restore biodiversity & ecosystems in areas affected by deforestation / degradation. Aimed at restoring PPF and RF. The program was started in 2017 and it is now in its first phase until 2022¹¹
- Re-establishment of Natural Habitat Program (RNH 2018-28) - RNH is an added government funding vehicle for conservation management of PAs. Disbursement begun during the 2019-20 financial year
- Conservation of Biodiversity & Protected Area Law (CBPA, 2018) - If required, PAs can be nominated by MoNREC, with the agreement of Government. Procedures to establish the PAs from differing land types.
- National Biodiversity Strategy & Action Plan (NBSAP, 2015-20) - 'Conservation, management & utilization of biodiversity in a sustainable manner for resilient ecosystems'. The 20 Aichi Biodiversity Targets are under five goals: address the causes of biodiversity loss by mainstreaming biodiversity across government & society; reduce pressures on biodiversity and promote sustainable use; safeguarding ecosystems, species & genetic diversity; enhance benefits from biodiversity & ecosystem services; and enhance participatory planning, knowledge and capacity building.
- Constitution of Republic of the Union of Myanmar (2008) - policy direction on environmental conservation. Article 45 states 'the Union shall protect & conserve the natural environment' and Article 390 states 'every citizen has the duty to assist the Union in carrying out environment conservation & protection'.
- Myanmar Sustainable Development Plan (MSDP) – Goal 5 – Natural resources & environment for posterity - focuses on the legal, institutional & policy frameworks required to better protect and manage natural environment and ecosystems, through conservation efforts, improved development and infrastructure, and increased enforcement against illegal natural resource use practices. MSDP Strategy 5.1 - Ensure healthy and functioning ecosystems
- National Environmental Policy (2019) includes 23 principles to achieve: healthy, functioning ecosystems; and the mainstreaming of environmental protection and management
- Environmental Conservation Law (2012) - The law indicates the formation of the Environmental Conservation Committee, led by Union Minister of MoNREC to oversee & provide guidance on all environmental conservation related activities

Linkage to donor-projects

- IUCN Red List for Ecosystems – Led by the IP and WCS as themselves, developed and prepared with various collaborators, a more representative approach to PA network planning (as opposed to identifying terrestrial & aquatic PAs within 'hotspot' ecoregions)
- Tiger conservation includes the National Tiger Action Plan (WWF, FFI, WCS) and IUCN / KfW support

¹⁰ Report of the Inter-Agency & Expert Group on SDG Indicators (E/CN.3/2016/2/Rev.1), Annex IV, Final list of proposed SDG indicators <https://sustainabledevelopment.un.org/content/documents/11803Official-List-of-Proposed-SDG-Indicators.pdf>

¹¹ MRRP is nationally funded at US\$ 500 m. It will conserve 0.59 m ha of RF; engage in management of 0.25 m ha of plantations in public & private lands; undertake CF management & agro-forestry across 0.3 m ha. It will establish RF & PPF across 4.1 m Ha. This will achieve a target of 30% of land as RF & PPF, and 10% of land as PA by 2030, from 2019 estimates of 25.45% & 5.85% respectively. It was also initiated to complement the REDD+ program.

- UNESCO World Heritage Site (WHS) nomination for the KKBR Landscape (a.k.a. Northern Forest Complex, which encompasses Hkakaborazi NP and Hponkanrazi WS) – yet to be submitted
- Forest regulations – project consultation with UNDP, FAO, & the Land Core Group

2.2. Problems that the Project Sought to Address

Threats, Root causes, & Impacts (prodoc, p15-21)

- High levels of species richness & endemism make Myanmar a regional priority for conservation. Weak environmental safeguards, and rapid economic development (post political reforms) is likely to have negative implications for threatened biodiversity and natural resource-dependent communities
- Habitat conversion & degradation – In the early 2000s, Myanmar had ~66% forest cover, making it one of the most forested countries in south-east Asia. Since then, forest coverage has decreased to <48%.
- Recent large infrastructure projects such as hydro dams, and the Dawei deep-sea port, and commercial plantations for oil palm & rubber have impacted biodiversity on a landscape-scale, and there are several recent cases of PAs having land excised as a result.
- By mid-2013, the government had allocated 2.1 million ha in land concessions (up from 1.3 m ha and 0.9 m ha in 2012 and 2011, respectively). Over 60% of the concessions were in Kachin State and Tenasserim Region, two of the country's most densely forested regions. The concessions were allocated in natural forests for logging, and subsequent planting of rubber, palm oil and other commercial crops. This has impacted natural habitats and people in the Hukaung Valley.
- Deforestation threatens biodiversity by reducing & fragmenting wildlife habitats, limiting wildlife dispersal, and hastening the extinction of wide-ranging protected species such as tiger, elephant, wild cattle and other large mammals
- Once reduced in size, forests are degraded by agricultural expansion, new roads, settlements and other infrastructure. Forests degraded by logging and fire, and secondary plantations are increasing at the expense of primary forests that have higher biodiversity values.
- Wildlife hunting both for international trade and local consumption is highly organized, widespread and increasing, especially due to the long permeable border with China. The black market along Myanmar, Thailand and China's shared borders play a crucial role in the illicit trade in tiger and other endangered species. Wildlife is traded to economic centres (Myitkyina, Mandalay, Yangon, Dawei, Myeik, and Kawthaung), and onwards to border markets with China, Lao PDR and Thailand, especially those under weak control of the government in Shan and Kayin States
- Mining (gold, jade) is destroying habitats, biodiversity and ecosystems. Mining methods release mercury and cyanide into the soil and rivers. Most of the major rivers have high levels of mercury contamination. This threatens aquatic biodiversity as well as the human population that relies on consuming fish.
- Commercial gold mining is a significant environmental and public health threat at Hukaung Valley WS, with cyanide contaminating soil and water. Pollution and river habitat destruction from gold and other forms of mining are also recognized as a high threat at Hthamanthi WS and moderate threats at Hkakaborazi NP and Hponkanrazi WS.

See also Gap analysis of the PA system (**Annex 5**)

2.3. Description and Strategy

The project development goal is to 'contribute to the conservation and sustainable use of globally significant biodiversity.' The objective is to 'strengthen the terrestrial system of national PAs for biodiversity conservation through enhanced representation, management effectiveness, monitoring, enforcement and financing.' The project was designed with two main component outcomes: Enhanced systemic, institutional and financial frameworks for PA expansion and management; and Strengthened management and threat reduction in the target PAs and buffer zones.

Project Location

The project location was in three PAs in Kachin State, and one PA in Sagaing Region, with their respective local government offices, and nationally with MoNREC / FD in the capital city, Nay Pyi Taw:

PAs in the PAM Project	Area (ha)	Ecoregion
Hkakaborazi National Park (KKBR NP)	381,200	Upper Ayeyarwady Catchment Corridor
Hponkanrazi Wildlife Sanctuary (PKR WS)	270,400	
Hukaung Valley Wildlife Sanctuary (HKV WS)	1,737,300	Upper Chindwin Catchment Corridor
Hthamanthi Wildlife Sanctuary (Sagaing) (TMT WS)	215,100	

For a map - see **Annex 11**.

Project Timing & Milestones

The project timing was from June 2015 until end June 2020. The project document only mentions benchmarks in the M&E section in stating that the 'PB has the authority to suspend disbursement if project performance benchmarks are not met, and that such benchmarks will be developed during inception'. The inception workshop (held October 2015, but not reported until July 2016), effectively provided the logframe targets as the milestones.

Comparative Advantage

UNDP had a comparative advantage of capacity building, provision of technical support in the design and implementation of the project. UNDP also had an advantage working with government especially in strengthening institutional, policy and legislative mechanisms, in undertaking risk assessments, in mainstreaming biodiversity conservation into development planning and harnessing best practices across the thematic area.

2.4. Implementation Arrangements

Project Management Structure

The project was steered by a Project Board (PB), chaired by FD. The project established a Project Coordination Unit (PCU) which was jointly led by NWCD and WCS. The PCU had four members who were: National Project Director, Project Chief Technical Advisor (CTA), Project Manager, and Deputy Project Manager. The latter three were WCS staff.

2.5 Key Partners & Stakeholders

The project outlined its stakeholders in the prodoc (p26-28), and in its stakeholder engagement plan (p115-122). In addition, the project outlined its 'Community Participation Strategy' (prodoc, Annex 10):

The strategy was to create, mobilize, strengthen and / or restructure local Community-based Organizations (CBOs) for local participation in PA stewardship (which effectively resides at the local and not national / state level).

The CBOs were expected to represent the community in resource management using agreed guidelines. E.g. to 'identify the resources that the community wish to protect and / or manage as part of PA management¹²'; 'it should be clear why the CBO / group exists, what it is expected to manage (money, staff, wildlife, partnership), and how it intends to achieve its objectives'; and to understand the communities' need and build confidence / trust'.

It was also suggested that communities may need to be linked with 'development' NGOs. i.e. linking conservation & development (ICD) as an approach. It was expected that PRA tools, would be employed to aim towards future community participation in planning, managing, and monitoring of PAs. It was expected that existing NGOs, could be approached. These included: Metta Development Foundation, Concern, and the Rawang Literature & Culture Association (LCA) in Putao.

Furthermore, an 'incentive mechanism' was articulated in being a 'tool to remove constraints which prevents community participation in PA management'. These included: a lack of awareness in the benefits of conservation, poverty, a lack of development infrastructure, land tenure instability, and a lack of means of production and ability to generate income.

The implementation method for community participation was presented. Community facilitators (30% women and representative of ethnic peoples), as agents of change would be appointed to:

- communicate, educate generate interest, and inform the community about the project.
- motivate leaders, help establish grassroot organizations, identify community needs & expectations and anticipate problems and constraints.
- organize training & extension for the leaders and established groups with the assistance of technical staff / instructors
- deliver audio-visual aids and training material, tools and equipment for demonstration and extension

A description of the set of Terminal Evaluation stakeholders – those who were responsible for implementation of the project and those associated with the project – is provided as **Annex 8**.

3. FINDINGS

3.1. Project Strategy

3.1.1 Project Solutions & Reality Now

¹² As opposed to 'old' 1st generation conservation models that sought to exclude users from the resources and / or resettle communities outside the PA.

Proposed Solutions to the Barriers (prodoc, p21-23) [Before-project scenario]**Barrier 1 - Weak institutional capacity to plan and manage the expanded PA system**

- The PA system receives insufficient support and is vulnerable to economic interests and infrastructure projects. For the PA network to provide ecological services and biodiversity conservation, it needs to be integrated within planning at national and state/region government level.
- NCWD operational budget is only US\$0.75m *per annum*. PA management has been donor-driven since the early 1990s. Of the 36 terrestrial PAs only 20 are staffed. Data management is weak, resulting in *ad hoc* decision-making and not strategic planning or effective management.
- There isn't an established training system for conservation, with limited opportunities for career progression. MoNREC's mandate includes environmental conservation / EIA, which requires an increased role in planning and reviewing the impacts of infrastructure projects as well as the PA system. The few trained staff are under pressure as the government engages with many new donors, hence the need for the next generation of trained professionals.
- The PA system covers only 5.6% of the land area, however many ecoregions are under-represented (see gap analysis). Under the NBSAP, the plan is to expand the system to 10%, improving representation. The MoNREC budget for PAs is insufficient and only covers limited staff. There is also no link between budget and PA operational management needs.

Barrier 2 - Insufficient management capacity and motivation at the PA level to manage threats

- There is a clear disconnect between PAs and local development or land use planning, resulting in land conversion and illegal activities in the PAs. Staff skills, law enforcement, habitat monitoring & community engagement are lacking. Most PAs have no management plans and some PAs lack any staff on-site, thus precluding law enforcement.
- Given the large number of PA neighbouring populations and the intensity of their activities, there is a need to rapidly developing workable models for community participation in management of PAs and their buffer zones.

Project Reality – the present situationProtected Land – Forest Estate and PAs

In the last 20 years, PA expansion has gone from ~10,000 to ~50,000 km². The latest report to the UNFCCC on NDCs, indicates increasing permanent forest estate to 30% by 2030, plus increasing PA coverage to 10%. PA coverage is presently ~6%. This on-going rapid expansion, and especially the re-designation of land to forest estate which includes Reserved Forest (for timber) and PPF, as well as PAs, is causing political tension, especially between indigenous and local communities (ILCs), and their ethnic groups on one side, the government and their FD on another, and selfish vested interests on the third side¹³.

Land Classification and Tenure

One issue is that land undergoing change of land use to community forest (CF) or community protected area (CPA), first needs to be designated as forest estate (the underlying legal status of the land) beforehand, which in some eyes, appears to be taking the control of the land away from ILC's use, to give to the government. However, in reality, creating community control of land under these legal processes, stops powerful or rich individuals / companies appropriating the land¹⁴. The downside is that whilst ILCs become the stewards or guardians of such land, they are regulated in the use of the land by the FD, meaning also they can't 'sell off' pieces or unsustainably extract resources, but neither can they convert large areas to agriculture. This is because the land use is set to be forest or land for biodiversity. This restricts income-generation in the short-term.

The CBPA Law requires the identification of land of intrinsic biodiversity value, to be designated one of seven categories of PA (Scientific Reserve, National, Marine NP, Nature Reserve, WS, Geo-physically-significant, or CPA). CPAs, under the CBPA law are also supported by the Forest Law (2018, Section 7), with its recognition of forests conserved by communities under their customary laws.

Myanmar lacks a modern land law. Shifting cultivation land is legally marginalized, despite the government collection tax from the proceeds¹⁵. The National Land Use Policy (NLUP, 2016) recognizes customary tenure, but the Vacant, Fallow or Virgin (VfV) Land Management Law (2012) was amended (2018) to state that: 'land under customary / traditional use, or land under hillside (Taungya) cultivation with rice' is not classified VfV land (i.e. not

¹³ The vested interests include legal and illegal natural resource prospecting and extraction by commercial groups, criminal gangs, the military figures, and militias (ethnic and / or criminal based).

¹⁴ Positively, if the land is no longer registered as VfV land, then it is no longer so open or subject to private ownership applications – e.g. for business such as mining

¹⁵ A primary function of DALMS is to keep a register for maintaining tax returns. See also FAO, 2019. Challenges & opportunities of recognizing & protecting customary tenure systems in Myanmar

governed under the VFV law and not open for a 30-year management lease)'. State and regional development planning and a transparent LUP process would probably help determine land use on a landscape and local level.

Conflict, militias and mining

Conflict causes displacement and environmental damage as a result. There continues to be armed incidents between the military and Ethnic Armed Organisations (EAOs), and between EAOs and other militias, such as those undertaking mining.¹⁶ These events often occur in or near PAs. Illegal and legal commercial and 'artisanal'¹⁷ mining for gold, jade, rare earth metals and other resources is a large, present and real menace. Unsurprisingly, miners, especially larger enterprises, are in high opposition to PAs, and will use ethnic tensions (with government) to keep FD out of the wildlife areas, as is occurring in HKV WS in particular.

Timber extraction, land conversion to agriculture & the Illegal wildlife trade

The PAs and their adjacent areas are under threat from both legal concessions and illegal logging. Once forests are 'opened up', they become highly susceptible to land conversion to agriculture, biodiversity extraction, and the demand of the illegal wildlife trade.

Lack of Trust – A case in particular

There was a lack of community consultation / agreement concerning the 2017 UNESCO nomination of the KKBR Landscape (KKBR NP, its proposed southern extension and PKR WS) as a World Heritage Site (WHS). FD and WCS staff were not well trained or skilled in understanding the principles and pros and cons of WHS designation, and were poorly prepared to address community concerns surrounding future opportunities or restrictions as a result of it. Despite WCS attempting to reach out to the ethnic groups (Rawang, Lisu, Jingpo & Shan), some communities opposed the idea. Moreover, opposition coalesced along political party lines with strong objection by Union Solidarity & Development Party, and from vested interests – resource extractors with local militia cover. Complaint letters were sent to FD, including one by the Rawang LCA, with a 100,000-person signature petition to stop the process and remove PA designation. Despite a limited PR campaign by FD & WCS, in 2016-17, there were protests in opposition to the nomination in September 2017 resulting in the suspension of project activities in KKBR WS, including the government decision in January 2018, not to submit the application for WHS designation¹⁸.

3.1.2 Project Design, Objective & Approach

The aim of the project design was to remove institutional barriers, to PA management and sustainable financing, at three levels - national, state and site. PA coverage was to be expanded to 10% of the terrestrial area (later revised down to 6%), to better represent the globally significant ecosystems. Financing of the PA system was to be improved by increasing government investment and via creating new revenue streams. The capacity of MoNREC was to be strengthened through institutionalizing the conservation training programs¹⁹. On-site PA management was to be demonstrated at four target PAs in three priority conservation corridors (as identified in the NBSAP)²⁰.

Lessons were to be learnt and used to increase national capacity and improve national training programs - at the University of Forestry, and the Central Forestry Development Training Centre (CFDTC). Lessons in the project design also included WCS conservation management planning systems (including Smart patrol equipment and methods, as well as for preparation of PA management plans). In terms of sustainable finance, the best practice was taken from the 'Conservation Finance Alliance.'

The two components were expected to deliver the following outcomes:

¹⁶ In 2017 & 2019 there were 135 & 128 clash-days respectively between the military & EAOs. As cited in Abrahamson, D. – Project Policy Report – from Burma News Int'l, 2019. Deciphering Myanmar's Peace Process

¹⁷ This is not one man and his gold pan, but the widespread use of large pressurised water hoses, to flush vast quantities of land and soil, which is damaged beyond repair. Until 10-20 years later, recolonization of plant species has begun, but the land remaining of no or little natural resource value. i.e. no use for farming, forestry, or much use for wildlife. Plus, there is the extensive damage to the river and riverine habitats, and extensive downstream pollution.

¹⁸ UNESCO hired consultants to prepare the application (US\$1m Norway-funded), but the cultural meetings in Putao were not in accord. WCS were also invited to manage meetings in Kachin, as UNESCO lacked local contacts and staff, but the damage had been done, with the initial insensitive approach.

¹⁹ Including in the curricula – habitat / biodiversity monitoring, law enforcement monitoring, and 'Smart' patrolling. Spatial Monitoring & Reporting Tool (Smart) was developed by WCS and is based on collecting geo-spatial data (via GPS) concerning species presence, illegal hunting, disturbance and land conversion in the PA.

²⁰ Upper Chindwin Catchment Corridor, Upper Ayeyarwady Catchment Corridor which in part cover the Upper Tiger Conservation Landscape

Outcome 1 - Enhanced systemic, institutional and financial frameworks for PA expansion & management

- strengthened national policies / legislation relating to PA management & biodiversity conservation
- strengthened the capacity of the FD to manage the PA system
- institutionalized training program for PA managers
- a strategy for sustainable financing (as needed for an expanded PA system)
- support for government to incorporate PA values into local development planning
- expanded PA system (based on a gap analysis for terrestrial ecosystems)

Outcome 2 - Strengthened management & threat reduction in four demonstration PAs & buffer zones

- strengthened PA management through business plans
- strengthened operational management to address threats to biodiversity
- system for community participation piloted & implemented
- increased capacity for monitoring the results of improved PA management (on ecosystems, species, threats & livelihoods)
- analyzing the drivers & planning of forestry and wildlife law enforcement in Kachin State

Note – 5-year management plans for the 4 PAs were already under development (although PKR WS was being managed from KKBR WS), thus ‘business plans’ were proposed instead, and partly in support of sustainable financing.

Due to the conflict situation in Kachin in 2018, it was agreed with UNDP / PB, post-MTR, that certain outcomes / outputs could no longer be effectively achieved and they were removed. These included: the mainstreaming of biodiversity into development planning; and the analysis of drivers in Kachin State.

3.1.3 Design Assumptions & Risks

There were three risks and one assumption in the risk section of the Project Identification Form (PIF) / prodoc logframe. Those that proved to be correct / incorrect:

Assumption / Risk with Mitigation	TE comment
Illegal trade in wildlife & NTFPs to China may decimate wildlife & habitats - Enforce the wildlife crime law, and comply with PA and biodiversity laws - Strengthen participation in wildlife protection networks (CITES ²¹ / ASEAN-Wildlife Enforcement Network)	- The project was fairly effective at TMT WS in stopping hunting, but not effective in KKBR WS in stopping NTFP trade to China, nor law enforcement in HKV WS (due to conflict)
Political tension between ethnic groups & gov't may limit project and sources of funding - Build trust with ethnic leaders; encourage participation in activities - If the security situation in HKV WS deteriorates (which it has), the project has 3 other PAs, and /or could support alternative PAs in the Upper Tiger Conservation Area	- Difficult access to HKV WS was already mentioned in the project design in 2015 – so was almost killer assumption in selecting this PA as a demonstration site - Suggesting the other 2 PAs in Kachin were safe proved incorrect, as they also became unworkable due to conflict (+ the UNESCO application did not help) - The conflict in 2018 was too late to change PA
Gov't reluctant to support conservation for fear of losing revenue from large enterprises - Influence fiscal planning, through mainstreaming biodiversity - Participatory land use planning to integrate conservation into development plans - Use ecosystem markets in support of PA system management	- Influencing the mining sector, especially in conflict areas was outside the project scope - PLUP was a rather a task too much for the project. The IP should have worked with more extensively with regional planners, local gov't and leaders - Ecosystem markets was a step too far for the project

The UNDP Atlas Risk & Management Response was made available, with the risks also presented in selected documents. The details on how the project managed risk is provided in two tables in **Annex 5**. These include ‘Selected risks from the IP 2019 Q1 Risk Table’ and the ‘UNDP Social & Environmental Screening Procedure (SESP, from Sept 2018, updated Dec 2019)’.

3.1.4 Results Framework Indicators & Targets

The prodoc results framework contained 11 indicators: three indicators at the objective level, including the UNDP financial scorecard; four indicators at the outcome 1 level, including the UNDP capacity development scorecard;

²¹ Convention on International Trade in Endangered Species of Wild Fauna and Flora

and also four indicators at the outcome 2 level, including the GEF METT scorecard for PAs. Together there were 11 outputs.

Post-MTR, the logframe was revised to 14 indicators, mainly to include: beneficiary number²²; knowledge products, and strategies. The indicators were also more directly aligned to the outputs and the work the IP had been doing. For example, indicator 1 concerned PA expansion with under-represented ecosystems. This changed to PA expansion based on a new IUCN Ecosystems Red List (which had its own indicator 8). Thus, the indicators became more targeted and more easily measurable²³. However, 'community participation' was listed as 9th out of the original 11 logframe outputs, and under the logframe revision, it became 12th out of 14 indicators. This was too low on the project design agenda.

3.1.5 Gender Design

The key areas of gender consideration in the prodoc:

- ILC stakeholder inputs / recommendations, including for women were to be articulated through a community participation strategy (outlined in the prodoc, Annex 10). It stated 'women's participation in the key decision-making process of CBOs (to be linked to the community role in PA stewardship) should be obligatory
- In order to do so, a certain percentage should be reserved for women as group formation criteria'. (community participation – Output 2.3) - Community facilitators - at least 30% should be women
- A gender & community specialist was budgeted for with ~\$20,000, but for only 24 out of the project's 260 weeks (i.e. less than 10% of the time)
- The GEF incremental analysis on beneficiaries expected gender to be considered (see also indicator 4)
- Gender was considered in the ESSP plan, as well as ILCs
- Under the preparation of (management and) business plans for the 4 PAs (Output 2.1), the expectation was that the participation strategy needed to include, women and ethnic peoples' representation with respect to their inclusion in participatory results-based management of the four PAs
- There was an expectation that the M&E system would somehow include socio-economic data, including it being disaggregated by gender (Output 2.5 includes monitoring livelihoods)

3.2. Project Implementation

3.2.1 IA and EA Coordination & Operational Management

The overall quality of implementation / execution was rated as **Satisfactory**. The quality of UNDP Implementation was rated as **Satisfactory**. The quality of the IP (WCS) Execution was rated as **Satisfactory**

UNDP were the GEF Implementing Agency (IA). The Ministry of Natural Resources & Environmental Conservation (MoNREC) were the Executing Agency (EA), with WCS as the Implementing Partner (IP). MoNREC designated their Forest Department (FD) to formally collaborate with the IP, and for day-to-day business, the FD delegated their Nature & Wildlife Conservation Division (NWCD) to work with the IP. The project was supported by a Project Coordination Unit (PCU) who also acted as the secretariat to the Project Board (PB). The PCU was jointly led by the NWCD and WCS. The PB was jointly led by the FD (chair) and UNDP (co-chair).

Coordination & Operational Management by Implementing Agency (UNDP)

The project was signed in June 2015, but it then took 16 months until October 2016 for the PB to be established, which was too long, despite elections. Then the 1st PB meeting was held in November 2016. The 2nd PB meeting was only held 10 months after this, in September 2017. Thus, in the first 25 months of the project (2.25 years out of project timeframe of 5 years), there were only two PB meetings held, which was not good enough for a GEF US\$6m project. The delay of 17 months from project start to the 1st PB was in part due to Myanmar transforming and re-structuring its government from military to civil administration (Election in November 2015, with re-organised ministries in April 2016). It appeared that UNDP (as the prodoc signatory on behalf of GEF) were not active in requesting that the PB should convene earlier, despite three letters from the IP – WCS to MoNREC / FD, as prodoc signatory to organise the 1st PB meeting. However, to note, the UNDP Resident Representative was the

²² In 2015, under updated UNDP – GEF methods, certain project indicators were added, including the tracking of gender-disaggregated beneficiaries.

²³ The indicators were generally 'SMART' (Specific, Measurable, Attributable, Realistic/Relative, Timebound).

co-chair of the PB, which added gravitas to decision-making and timeliness.

A project cooperation agreement was signed between UNDP and WCS before the project commenced (Annex 13 prodoc). The project preparation grant (PPG) was used to undertake a preliminary consultation with government and with communities, however as is now recognised, the approaches to working with ILCs, to gain trust and ownership of the interventions needed much more work. This was because economic vested interests were working against the project, and the direction the IP took in the case of the proposed KKBR WS expansion, became an easy target for such interests.

The membership of the PB was decided through IP discussion with FD's NWCD, who due to the structure of government, advised against cross-sector membership. However, this meant that local government in Kachin State (apart from the FD) and Sagaing were not included in the PB. This was not ideal, as it was clear during project formulation (see PIF / prodoc risk table)²⁴ and as the project evolved, that the control and exploitation of natural resources and therefore biodiversity was tied up with socio-economic, illegal, commercial, political, military, and ethnic activity. The project later realized this, and developed the Protected Area Management Support Committee (PAMSC) in 2017, but the PB should probably have included the Kachin and Sagaing General Administrative Departments (GADs), and the Department of Mining (under MoNREC), from the start.

Prior to project approval, a UNDP-standard Environmental & Social Screening (ESS) was undertaken. It noted 'impacts & risks limited in scale, and can be identified and handled through applying best practice'²⁵. The ESS was updated using the UNDP Social & Environmental Screening Procedure (SESP, 2014), with a version produced in September 2018 and updated December 2019. It rated the risk as high. The SESP was as recommended by the MTR. The MTR was planned in 2017, but by the time it was undertaken (Feb 2018), reported (Nov 2018) and the UNDP – IP 'management response' concluded (Jan 2019), it was a year later (3.5 years into a 5-year project), and too late to be really effective.

Regarding the updated SESP, the social & environmental safeguards (SES) section in the 2018-19 PIR noted:

Safeguards Section	TE comment
<ul style="list-style-type: none"> - The project is focused on PAs in relation to Indigenous Peoples' access to land and resources. The government has limited legal structures to secure human rights, and limited capacity in project implementation. The risks are considered potentially severe. - These (indigenous land) issues have been highlighted in changes to the CBPA Law and in public participation in the CBPA regulations²⁶ - The FD is supporting the creation of CPAs, managed by local communities and is working towards new systems to ensure Prior Informed Consent (PIC) in all future activities linked to land and natural resources in areas managed by the FD 	<ul style="list-style-type: none"> - ILCs needed much more <i>in-situ</i> engagement on the project aims, and its positive benefits, together with the policy direction (which was improved as a result of the local tension)

The table indicates how the project worked on a higher policy level, but was unable to mitigate risk *in-situ* at the three Kachin PAs at the time.

Coordination & Operational Management by the Executing Agency / Implementing Partner (WCS / FD)

In October 2015, the PB was established by MoNREC with 11 members: FD (Chair), UNDP (Co-chair), FD, Planning & Statistics Department, FD's NWCD, FD's Planning & Statistics Division (PSD), Kachin State FD, WCS x 2, ECD, UNDP. The NWCD and WCS acted as the secretariat for the PB. Sagaing Region FD was not part of the PB, despite one of the project's four demonstration PAs being located in this region²⁷. The attendance for the 1st PB included 16 persons, notably with Kachin FD absent. **Annex 5** provides the attendance list and history of key points.

The Project Coordination Unit (PCU) was established during the 1st PB meeting, with the following members: NWCD x 3; WCS x 3, Sagaing Region FD, Kachin State FD, TRDD, FD's PSD, FD's Budget Division, and UNDP. As would probably be expected, the PB secretaries also sat on and led the PCU. The Technical Advisory Group (TAG) was also established during this 1st meeting, with a wide membership (20+) of conservation NGOs and training institutes, and with a mandate to support best practice in PA management and teaching.

The partnership arrangement between MoNREC / FD and WCS was through an MoU which was established prior

²⁴ The project preparation was in 2013, with a PPG of US\$0.4m

²⁵ It does go on to say 'require some further review to identify if there is a need for a full ES assessment' (Category 3a)

²⁶ The FD led the process in collaboration with several organizations - Land Core Group, WCS, WWF, FFI, UNDP, & UNESCO. There were eight events from August 2018 including consultation workshops in four main regions (Dawei, Yangon, Mandalay, Myitkyina), a consolidation workshop, two expert round-table meetings, and a final consultation workshop at the national level. Almost 1,000 representatives from CSOs, CBOs, ethnic communities, private sector and government attended the events.

²⁷ The prodoc (p78) indicated that both Kachin State and Sagaing Region Governments (GAD / FD) should be part of the PB

to the project and renewed as necessary. WCS already maintained office facilities in Yangon, Nay Pyi Taw, Myitkyina, Putao and Htamanthi, with additional project-oriented office facilities built in PKR WS.

In 2017 (Q3), at the 2nd PB meeting, it was noted that ‘there was no access to the HKV WS due to KIA’. The idea of employing a mediator was mooted, but unfortunately was not followed up. The meeting also noted ‘insufficient FD staff in PKR WS, limits activities.’ In August 2018, it was reported that ‘there were threats of violence towards the FD and project in KKBR NP and PKR WS’.

Thus in 2018, UNDP, the IP and FD were more reactive (than proactive) to the issues in Kachin State, except to withdraw on-site operations. In the process, the IP and FD unfortunately lost sight of the value of the PAMSC mechanism and its role in providing truthful information and in mediation.

3.2.2 Institutional Mechanisms

Project-level partnership arrangements are briefly described in the previous section, whereas this section considers state institutional mechanisms and capacity which are the backbone for delivering new policies and services. The section thereafter considers local partnerships.

Protected Area Management Support Committees (PAMSCs)

In 2016, the project created an institutional mechanism to engage local government, and other stakeholders in conservation issues with regard to planning and development. The levels of government were state / region, district and township level for the project PAs in Kachin State and Sagaing Region. The mechanism established was ‘Protected Area Management Support Committees (PAMSCs)’. The PAMSC was formalised in 2017 via NWCD authorization request to Sagaing Regional Government, FD and GAD; and Kachin State Government, FD and GAD²⁸. It was aimed at district / township coordination and upwards. The project initially held a series of ‘PAMSC exposure workshops’ with a wide stakeholder audience, but when it came to the functioning PAMSC committee meetings, their role was rather lost sight of, not least due to political reasons. (see Indicator 12 – stakeholder engagement). The upside, was that the FDs were becoming more central to the management issues of the PAs outside of their boundaries, as prior to the PAMSC, there wasn’t a formal link between the wardens and FD. This was because the line of reporting ran from PA warden to NWCD in Nay Pyi Taw, with a copy to FD at state / region level. See **Annex 5** for list of meetings & workshops.

3.2.3 Local Partnerships / Stakeholder Engagement

What is often not understood or accepted with conservation projects is that the main stakeholder is the wildlife. The whole project design is based upon primarily advocating the rights of wildlife and their conservation. Communities and others are secondary.

The project entered quite a journey (with highs and lows) of community engagement, and came out with a one new legislated approach, and one enhanced approach for co-management of natural resources. These were for CPAs and CFs. The level of community engagement in direct conservation measures was high, but the one area of its ‘community participation strategy’ (see section 2.5 Key Partners & Stakeholders) that it didn’t adhere to, concerned working with specialist ‘development’ NGOs to provide and address needed ‘livelihood’ incentives. Along the way, in the KKBR NP and PKR WS area, the IP also managed to alienate communities, who were under the stronger influence of other (natural resources control) vested interests.

Technical Advisory Group (TAG)

The TAG met initially in May 2017 (~2 years into the project). In 2018, the MTR recommended that the functions of the TAG be clarified, with the IP response being that, NWCD recognised that the TAG was an inefficient mechanism. Whilst efforts were made to revise its role, it only met once again in August 2018. The prodod envisaged that it would not only provide direction for the project, but generally for PAM development – for policy, regulatory and planning for example. The IP saw the TAG as more of an open forum, but this made direct project support more difficult.

What the IP did instead was to be much more dynamic and adaptive, in focusing consultation meetings, workshops, and seminars on single issues with the decision-makers and selected experts in attendance, for

²⁸ Membership for Putao District PAMSC – GAD Chair, Justice of the Peace, Police, Planning Office, LCAs, Public / religious leader, FD & their NCW officer, DALMS, MoNREC’s Land Survey Officer, Rural Dev. Officer. For Sagaing Region, the PAMSC was centred at Khamti District.

example in drafting the CBPA regulations²⁹. (See also Section 3.3.3 – Training). This worked well in most instances, but in hindsight, the one or two of the key TAG functions could / should have been incorporated into the PAMSCs, and the TAG dissolved. This was also because, the ‘conservation ‘expert’ community’, were generally so far removed from the complex situation on the ground.

Other partnerships (ILCs, CSOs, NGOs, other)

- Various Literature & Culture Associations (LCAs) for Ethnic Peoples – Rawang, Jingpo, Lisu, Shan; and the Council of Naga Affairs - The IP maintained a relationship with these associations, who were kept abreast of project activities
- Indigenous Peoples - Main ethnic groups are Rawang, Kachin, Naga, Lisu and Shan in the 4 PAs. There are 17 villages in KKBR NP with the major ethnicity Rawang; 10 villages in PKR WS with the major ethnicity is Rawang; over 70 villages in HKV WS with major ethnicities being Kachin, Naga, Lisu and Shan; and 25 villages near TMT WS with the major ethnicity being Shan. The IP consulted with these ethnic peoples, their representatives in order to receive their support and participate in project activities.
- Collaboration of technical, financial & human resources for the CBPA rules consultation – between IP / WCS and – Land Core Group (LCG); World Wide Fund for Nature; Fauna & Flora Int'l; Smithsonian Institution; & Htoo Zoos

Gender Analysis

The project was rated as having ‘some contribution to gender equality’ (Atlas Marker – GEN-1). The PIR 2016 indicated no gender assessment, whereas the PIR 2017 indicated there had been one undertaken³⁰. The MTR (February 2018) indicated a need to better understand how to integrate gender into activities, and the M&E / reporting facets.

Results that focused on gender equality and the empowerment of women

Source	Project Response	TE Comment
PIR 2016	- Participatory land use mapping - women were separately consulted to develop gender-responsive land use plans for buffer zone management	- Only conducted on a small scale, thus limited impact
PIR 2017	- Land settlement & consultation activities in KKBR Landscape WHS nomination process - Community guardian selection in TMT WS - 39 out of 123 were women ~30%	- The KKBR Expansion Plan with a view to creating a new WHS, was not successful. There were no land settlement discussions
PIR 2018	- Gender study TMT WS, Feb. 2017 - Objectives included: articulate the importance of women in conservation, barriers to participation, and develop a plan to enhance women / community in conservation - Identified a gender wage gap - women paid less for the same work - Opportunities for capacity building in the WS are the same and in forming CF user groups woman play an important role like treasurer / secretary in the committee. - Gender-disaggregated (training) data captured in quarterly reports - MTR requested gender strengthening with UNDP support	- Gender study – see footnote for reference - Stereotyping women's roles in the CF committee - Gender dis-ag. data is not captured in PIR or annual reports, only within training data spreadsheet (see Annex 5). This is a reporting issue with the UNDP GEF M&E system - IP met with UNDP Regional Gender Advisor
PIR 2019	- Gender dis-aggregated training figures provided - Women are encouraged to be elected into the CF management committees, however, their participation remains low. - Four villages were piloted to draft CF Management Plans. In Jan 2019 there was a CF committee meeting attended by 27 men & 1 woman. In June 2019, a refresher training for CF Committee members (12 men and 5 women)	- See training section and Annex 5 - The CF numbers indicate the inequality - A project stipulation for CF committee women's membership could have been set at 50%

The project was unable to work in 3 out of the 4 PAs from around mid-term, but it managed engage over 22,000 people (including school children) in conservation. Taking this community figure, women and girls' involvement

²⁹ Whilst the CBPA regulations are referred to as ‘rules’ in-country, they are the legal regulations derived from the CBPA Law, and thus internationally in law, would more formally be referred to as ‘regulations’ hence the TE use of this word

³⁰ Community voices for Wildlife Conservation – A study of community engagement on wildlife conservation through a gender lens in Htamanthi WS (WCS, Aye Lei Tun, 2017)
https://undpgefpmis.org/attachments/5162/213868/1728338/1742896/Community%20Voices%20for%20Wildlife%20Conservation%20in%20Htamanthi_7%20May%202018.pdf

was over 50%. However, taking just government conservation staff trained, then women accounted for only ~20% of attendees. More affirmative action should have been taken to address this.

The list of key stakeholders is described in **Annex 8**.

3.2.4 Finance & Co-finance

UNDP Financial management and Finance

The prodoc budget breakdown timewise, was either unrealistic or front-loaded to gain a higher and earlier level of fund release:

Year (US\$)	1	2	3	4	5	Total
Prodoc	1,289,769	1,290,229	1,292,429	1,066,365	1,088,616	6,027,397
Spend	262,941	912,857	1,317,071	1,950,613	1,329,550	5,773,031

Projects take at least a year to 'gear-up', and then pilot activities in their second year, with expansion and main spends in the 3rd and 4th Years, and followed by a consolidation in the last year. This was the case here with the IP, in following the usual 'bell-shaped' spending curve. Fund release was through 'Funding Authorization & Certificate of Expenditure (FACE)' – based on a report of the previous quarter and a request for the following quarterly advance (i.e. an advance, then a reconciled re-imbursement based on the invoice.)³¹ The breakdown of planned and actual expenditures by year is provided in **Annex 4**.

In 2018, following the project's withdrawal from the three northern PAs, activities and budgets were re-directed, but kept within any 10% change in the budget of the two components. However, the TE was unable to determine spending against output or indicator, starting with the prodoc, which presented neither. In particular, this would have been useful in determining the level of financial resources directed towards community engagement.

Audits

Annual financial audits were undertaken in 2015-18³²:

- July 2015- December 2016; 2017; and 2018: Statement of Expenses (UNDP Combined Delivery Report – CDR) and Statement of Assets – all in accordance

Other financial audits:

- A micro-assessment of the IP was undertaken in May 2016: No management control issues raised; each tested subject area was awarded a risk assessment of 'low'. Accordingly, the overall risk assessment of WCS was assessed as low.
- Spot-checks undertaken in 2018 (Jan-May) and 2019 (Jan-June), with invoice items checked based on sampling: only three minor issues reported in 2018; and one minor issue of two part time staff timesheets missing in 2019.

Co-financing

Co-financing contributions, either as direct support funds (grant or in-kind) or as complementary funds (e.g. linking up with similar project in a neighbouring area), are not often formally accounted for under GEF methods, with only the GEF and any UNDP funds audited. With this level of oversight of co-financed funds, the full extent of co-financing is estimated in terms of grant or in-kind funds (including concomitant physical inputs of stakeholders).

The co-financing by WCS and by government was in excess of the prodoc promised amounts. There were a number of other co-financed inputs for which a monetary value was not added. These included:

- Collaborative support towards the development of the IUCN Red Lists for Ecosystems, and for updating the IUCN Red Lists for three animal classes – mammals, birds, and reptiles
- CBPA regulations with workshops, consultations, and facilitators supported by World Wildlife Fund (WWF), Fauna & Flora International (FFI), IOKOS, UNDP, UNESCO, and FAO

A breakdown of co-financing was provided as **Annex 3**.

3.2.5 M&E Systems – Design & Implementation

The M&E system design and the implementation of the M&E system was rated as **Moderately Satisfactory**.

³¹ The fund flow was UNDP to WCS in New York

³² Annual Audit 2019 was in process at the time of the TE

UNDP GEF projects have a particular M&E system that is report-based centred around an annual PIR that runs mid to mid-year. The M&E system is based on a mixture UNDP's contractual compliance with GEF and its own systems, and checking the IP in terms of its contractual compliance of deliverables. These include annual workplans with budgets (AWPBs), PIRs, and audits, with an MTR and Terminal Evaluation (this report). The system often includes a couple subjective scorecards – the UNDP Capacity Development Scorecard and a GEF scorecard, which in the case of PAs, is METT. The IPs are not encouraged to develop any spreadsheet-type tracking system, that run annually and cumulatively with all the project numbers, as inputs and outputs (and against the indicators). Thus, for example, indicators (and their baselines and targets) are often number-based, whereas reporting is primarily text-based, with a few numbers 'put-in', but often not dated. For this project, the IP produced an annual M&E plan and budget, but again, there was no consolidation of 'the numbers', or expected verification points, except the PIRs.

For the baseline survey, the IP as a resident conservation NGO, released a significant amount of factual survey data, and added to this as necessary during the PPG, and presented the data within the prodoc and its annexes. In terms of the endline, the specific indicators were responded to, but there was no endline survey or consolidation of results reported, apart from for the 14 logframe indicators. This was according to contract, as there was no stipulation for a final survey (although the IP maintain continuous records) or report. Thus, UNDP GEF need to rely on the last '2019' PIR (June 2018 – 2019), and this TE report³³.

MTR

An MTR was undertaken in February 2018 (115pp), with the ratings given as: Objective – MS; Outcome 1 – MS; Outcome 2 – MS; UNDP / WCS Implementation – MS; Sustainability – ML.

The MTR indicated that the project needed to attend more to the socio-economic side of PA planning, governance and management if the PA network was to be expanded as per the project design

MTR p103 - There is little community ownership in most project sites and indeed, outright opposition at present by some in KKBR NP. The situation in Hukaung is beyond the project, but reflects challenges facing PAs. The experience at TMT WS shows that there is good potential for community support for conservation and PAs.

MTR p103 - there has been little investment in community engagement compared to the amounts spent on Smart patrolling / biological surveys³⁴. Added resources should possibly be allocated for community engagement.

The MTR also suggested more 'socio-economic inputs', however this was slightly mis-directed, in recommending that micro-finance could be established (by UNDP) four years into a 5-year project. However, the project was not designed as an 'integrated conservation and development' (ICD) project, and couldn't be expected to become one³⁵.

Scorecards

The project M&E system included three scorecards, (which are reported within Section 3.3. Project Results):

- UNDP Financial sustainability - Indicator 3
- UNDP Capacity development - Indicator 6
- GEF Management Effectiveness Tracking Tool (METT) – Indicator 11

Exit Strategy & Asset List

The IP produced a 'Sustainability Plan & Exit Strategy (draft December 2019) – see section 3.3 Results – Strategies - Indicator 14.

Concerning, the asset list, all five project vehicles were UNDP procured (3 in 2015 and 2 in 2019) and UN-plated, which meant UNDP responsibility to transfer to FD at the end of the project³⁶. The vehicles also needed maintenance checks and repair before handover³⁷. The asset list of vehicles also maintained a record of their purchase value against present 'book' or sale value, although the purpose of this was unclear as they were to be

³³ A suggestion of the TE was that the IP produce a project completion report, to present their last 5 years of project work, in a format consistent with their own wishes, as a legacy for others. No least because of the good work they did for the advancement of an effective PA system in Myanmar

³⁴ However, IP estimated ~US\$1m spent on Indicator 12 – community participation out of a projected \$3.8m for Component 2 (pers. comm. CTA)

³⁵ Thus, there was no need to start collecting socio-economic data as the MTR suggested

³⁶ i.e. they were provided to the project for use until the end of project, at which time, they returned to UNDP

³⁷ At least one of the Toyota Hiluxes had a broken 4WD unit, and a missing safety belt.

a direct donation at the end of project, irrespective of their discounted value.

The equipment list value, as of December 2019 was US\$267,177, including Smart patrolling equipment, laptops, motorbikes, and boat engines. Most of the equipment was expected to continue to be used in the field, for ongoing PA conservation work, under the guidance of FD, primarily at TMT WS.

3.2.6 Adaptive Management (Work planning, Reporting & Communications)

Work planning

Inception Workshop

The inception workshop was held October 2015, but not reported until July 2016, which whilst the delay was partly due to elections and a change in government, it also impacted on the schedule of the PB, who only met in October 2016. Offices, staffing and operational costs were clarified during inception to include: WCS Yangon and Nay Pyi Taw offices; Myitkyina, Putao and Tanaing offices as well as the TMT office; meeting and training in Yangon; and project staff

AWPBs

Annual workplans & budgets (AWPBs, 'workplans') were endorsed by the PB (once established), approved by UNDP and counter-signed by WCS. There were six such annual plans covering the years 2015-20.

Reporting

UNDP changed its IP reporting requirement during the project, which arguably didn't help M&E. An annual report was only required by UNDP in 2018, not before, nor since. It usefully summarized six key results achieved during the reporting period. The last PIR which ran July 2018 – June 2019, was presented to the TE in February 2020 as the latest project status. The expectation was that the TE could be finalized before June 2020 (i.e. before project closure), negating the need for a PIR to run mid-2019 to mid-2020.

In summary, these UNDP GEF projects really should have a better method of reporting final results rather than relying on a TE three months before the end of the project, and using PIR-reported data 6-9 months older than this. The PIRs are also out of step with all annual calendar (financial) planning and reporting. Although it is understood, that the PIR is designed for GEF fund release to UNDP, the method is not conducive for evaluation purposes.

Project Implementation Reviews (UNDP PIRs)

Four PIRs were produced: To end-June 2016, end-June 2017, end-June 2018, and end-June 2019. Pertinent information is presented in the relevant sections of this TE report. E.g. gender, risk, disbursement, social & environmental standards etc.

Quarterly Reports (QR)

The quarterly reports were the main / regular monitoring method of the IP by UNDP, but the method was changed three times by UNDP. The 1st QR ran for 6 months until Dec-2015 and was a summary table of output – activity – progress. QR3 2016 was a summary table of activity – planned – actual expenditure to Q3. The QR template was then standardized throughout 2017-18, and until end-Q1 2019, including a risk log, and performance against outputs table (including a gender perspective for each output). The QR requirement ended then.

Communications

Monthly meetings between UNDP and the IP were on an *ad hoc* basis, until 2019 when they became regularised. They served as the operational meetings and discussed all issues, as well as progress. E.g. November 2019 included: Planning for December 2019 for Component 1 – 6th PB meeting – FD request for document package by 9th December; Ecosystem Red List workshop permission letter; upcoming plan for senior and junior ranger training.

3.3. Project Results

The TE assessed the three levels of the project results framework - Objective, Outcome and Output. This was guided by the indicators and targets set at each level. Project success is also built upon achievement of the outputs, according to 'framework logic.' The Objective and Outcome levels include a rating according to UNDP GEF guidance as described in **Annex 9**. UNDP / WCS were provided with two tables:

- Progress towards Objective and Outcomes (Indicator-based) which is described in **Annex 1**, and
- Progress towards Outputs which is described in **Annex 2**

According to TE guidance, these tables were rated and commented on. A detailed result-level analysis follows firstly of the Objective, Outcomes with their Indicators, and then the corresponding Outputs.

3.3.1 Overall Result – Achievement of the Objective Indicators

Objective Level Indicators (Overall Result)

Strengthened terrestrial system of PAs for biodiversity conservation through enhanced representation, management, monitoring, enforcement and financing (4 indicators)

The overall grading is **Satisfactory**. There were four indicators attached to the objective level which were all rated as: satisfactory (see **Annex 1**)

Terrestrial & aquatic PA coverage increased with enhanced ecoregion representation (Indicator 1)

(Baseline – 5.6% land cover (3,788,697 ha) with terrestrial & aquatic ecosystems; Target - 6% cover (4,059,462 ha))

Result against Indicator

There are 45 gazetted PAs (3,959,315 ha) with a 5.85% coverage, plus 23 proposed PAs (1,206,675 ha) with an added 1.78% coverage. For the latter, several are expected to be gazetted before project end in June 2020³⁸. Another PA category of designation (from UN CBD - CoP10, 2010)³⁹ called 'Other Effective area-based Conservation Measures (OECMs)' is also likely to add to the overall PA coverage.

In relation to Ecoregion PA targets, the following PA areas may be designated prior to June 2020:

Ecoregion coverage	% Baseline 2014	% Target 2020	Additions (inc. Proposed)
Irrawaddy Dry Forest	0.45	3	OECM – Bagan World Heritage Site
Irrawaddy Moist Deciduous Forest	1.82	3	Maharmyaing Wildlife Sanctuary; Zalontaung National Park
Kayah – Karen Montane Rainforest	0.6	1.5	OECM – Salween Peace Park
Myanmar Coast Mangrove	0.92	3	OECMs – various Marine Management Areas in Taninthayi; Revised classification / management of Reserve Forest (FD)
Nujiang Lancang Gorge Alpine Conifer & Mixed Forest	0	3	Eimawbon National Park ⁴⁰
Tenasserim - South Thailand Semi-evergreen Rainforest	5.16	25	OECMs – Karen CPA; But unlikely to reach target

Analysis

The project target to increase PA coverage by only 270,765 ha (< ½ percent) of land cover, appeared somewhat lame for a five-year project, especially for a country with such high forest cover and important biodiversity in need of protection. The project was expected to exceed its target.

Whilst the prodoc used ecoregions to understand the representation of protected habitats, a better directed approach was identified, in terms of creating an IUCN Red List of Threatened Ecosystems. (see Indicator 8). This meant that monitoring coverage by ecosystem 'hotspot' type was discontinued. However, the project continued to maintain PA records (see **Annex 5a**) with data on: name, gazettement status / date, administrative and geographic location and area (ha).

PA system for terrestrial ecosystems expanded based on gap analysis and PA network review (Output 1.6)

Result

The output partly mirrors the indicator. The gap analysis was upgraded with the project-supported preparation of a Red List of Ecosystems (Indicator 8 / Output 1.6). PA expansion was slow, in part due to conflict in areas with the largest intact habitat being proposed for PA designation. Recent development of OECMs such as the Salween Peace Park raised new opportunities to conserve biodiversity, through mechanisms outside the national PA system. The change in the CBPA Law to include Community Protected Areas (CPAs) raised the interest (and lowered the political tensions) of ILCs to co-manage Key Biodiversity Areas (KBAs).

³⁸ As of 1st May 2020, there were 46 designated PAs (4,115,446 ha) with a coverage of 6.08%, 23 proposed PAs (1,058,954 ha)

³⁹ Conference of Parties

⁴⁰ Gazetted March 2020

The project was successful in the designation of Htamanthi Wildlife Sanctuary (TMT WS) as an ASEAN Heritage Park, due to its contribution as a landscape level ecosystem. With a proposed corridor PA, called Yabawmee, the park would link with Hukuang Valley Wildlife Sanctuary (HKV WS), to create the largest contiguous landscape in the region, known as the Northern Myanmar Landscape.⁴¹

Analysis

The PA network was expanded by 170,636 ha out of a revised target of 270,765 ha (i.e. from a baseline of 5.6 to a target of 6%, but managed only 0.25% expansion. The prodoc target was originally to expand the network by 2,976,833 ha (i.e. from a baseline of 5.6 to 10% cover).

PA habitat conditions indicated by % change in forest cover (Indicator 2)

(Baseline & Target – Increase in PA forest cover - see table)

Result against Indicator

The Global Forest Watch (2014) web-based application was used to track and understand forest cover changes⁴². The indicator was designed as ‘annual percentage change in loss of forest’:

PA forest cover annual loss (% change)	% Baseline 2013	% Target 2020	% Result
Hkakaborazi National Park (KKBR NP)	0.95	0.5	0.0007%
Hponkanrazi Wildlife Sanctuary (PKR WS)	0.95	0.5	0.0032%
Hukaung Valley Wildlife Sanctuary (HKV WS)	0.95	0.5	0.0604%
Htamanthi Wildlife Sanctuary (TMT WS)	0.95	0.5	0.0000%

The project also enhanced accessibility by developing its own portal with a range of environment and climate data (<http://myanmar-geotools.appspot.com>).

Analysis

From a national annual baseline of nearly 1% forest cover loss (average for forested areas), the PIF target was to reduce this loss to 0.25%, with the prodoc target then revised to 0.5% loss per year. In fact, according to the figures, the losses were negligible by project end, ranging from effectively unmeasurable for TMT WS to under 1/10th of a percent for HKV WS. Whilst Global Forest Watch data was being used, it would have been useful for the IP to have undertaken a verification exercise.

Moreover, the annual % loss figure was not easy to put in context over the project period. Thus, the TE preferred to present the data as a basic % change in forest cover from before project (2010-11) to latest figures (2017-18):

PA forest cover (ha)	2010-11	2014-15	2017-18	loss (ha)	Change 2011-18	% loss
KKBR NP	267,790	267,732	267,503	-286	99.89	0.11
PKR WS	245,250	245,162	245,085	-165	99.93	0.07
HKV WS	1,758,297	1,753,531	1,748,786	-9,511	99.46	0.54
TMT WS	218,079	218,002	217,977	-102	99.95	0.05

From this table, it is easier to see the following:

- In total, the project PAs lost ~10,000 ha of forest (100 km² or an area of 10 km by 10 km). This is perhaps not significant with the PAs covering ~2.5m ha (25,000 km²), but anecdotal evidence⁴³ suggested that the quality of the habitat (i.e. integrity of the ecosystems) was being eroded, on at least a clearly measurable scale.
- The loss of forest (habitat) was most pronounced at HKV WS, on a percentage scale of five times that of KKBR NP and ~10 times that of TMT WS and PKR WS; and on an absolute or linear scale in hectareage was around 100 times more than that of the other three PAs⁴⁴.

Financial Sustainability of PA System (Indicator 3)

⁴¹ TMT WS is intact with viable populations of most large mammal species for the Chindwin area. Tiger is present in HKV WS and Upper Chindwin (TMT WS in the north & Tenasserim Hills in the south). The area to the north of TMT WS is proposed as wildlife corridor (Hla Naing *et al*, 2017), namely Yabawmee Corridor (3,213 km²), which would link TMT WS with HKV WS.

⁴² The project originally hired GIS technicians to assess forest cover changes using Landsat images over time, however it took time and was open to technician interpretation.

⁴³ Not corroborated, but for example the project CTA indicated a number of times, that the extraction of resources from the PAs (apart from TMT WS) was uncontrolled and at high levels. Remembering, that the project could not access these 3 PAs post-2018.

⁴⁴ The HKV WS extension (2010) had not been under effective conservation management, and certainly not since 2018

(Baseline – Financial Sustainability Scorecard (October 2013) 15%; Target 25%)

Result against Indicator

Financial Sustainability Scorecard⁴⁵

Financial Scorecard (%)	2013-14	2016-17	2018-19
Legal / Institutional	16	26	52
Business planning	25	31	51
Revenue generation	4	15	23
Overall	15	24	42

The annual ‘financing gap’ (needs versus available - based on 17% of terrestrial land as PAs) changed from a baseline of \$30.0m (2013-14) needed, down to US\$28.9m needed (2018-19). The project drafted components for the National PA Financing Strategy⁴⁶ and conducted trainings for economic valuation for the four PAs. The government has also expanded the use of (PA) management planning to improve staffing and budget allocation.

Over half of the staffed PAs now have management plans, but few conduct investment planning or financing actions. The IP reported that financial planning capacity was difficult to build, in the face of limited activity budgets, although the government supported some operations, with transparent accounting systems. The piloting of new revenue services is still at a very early stage. The setting of user fees has increased at some sites, but they need effective collection methods, and an increase in public awareness as to their purpose. The project spent a little time in generating interest in ‘Payment for Ecosystem Services (PES)’ schemes, but the concept remains obtuse in-country, with more resources needed in this field. However, there was capacity built with the creation of the Myanmar Biodiversity Fund (MBF) as an independent trust fund mechanism, supported by MoNREC. (See Indicator 7)

Analysis

The scorecard was based on the conservation sector finances for 21 functioning PAs in 2019⁴⁷. The final overall score for financial sustainability was 42% (Dec 2019), which is significantly above the target of 25%. All three scorecard component categories showed a significant improvement. The scorecard method is somewhat subjective, and it doesn’t indicate if the PA system is close to financial sustainability, only an arbitrary target of 25%. But in line with this, the result for ‘revenue generation’, was put at 23%, indicating that for revenue generation at least, the financial sustainability score had improved from 4% to 23%, which was good progress, but was still 77% short of achieving full financial sustainability.

Number of direct project beneficiaries of which 50% are women (Indicator 4)

(Baseline – 0%; Target - No. of government staff with improved skills in management and threat reduction - (160M, 160F 50%), & No. of people benefiting from engagement in conservation & improved livelihoods (5,600M, 5,600F 50%)

Result against Indicator

The project figures provided for Annex 1 were: No. of government staff – 413 men, 87 women (17%); No. of local people - 10,507 men, 13,165 women (56%). The project’s training figures were:

2017-19	No of	Total		Comm. Members		Gov’t Staff	
Location	Events	Male	Female	Male	Female	Male	Female
National	29	1,008	836	718	753	206	27
Myitkyina	73	6,536	8,959	6,426	8,868	107	44
Putao	45	2,550	2,779	2,440	2,753	51	11
Hukaung	9	551	549	500	540	38	5
Htamanthi	24	453	269	423	251	11	0
Total	180	10,090	12,556	9,789	12,412	207	60
Gender		45%	55%	44%	56%	78%	22%
sub-total		22,646		22,201		267	

⁴⁵ The scorecard is based on a series of questions with answers that total a possible 220 marks, from which a percentage is obtained

⁴⁶ The sustainable financing of PAs is related to the 2012 Environment Law. The CBPA Law (2018) improved the legal framework for PAs, but it did not cover sustainable financing beyond collecting user fees.

⁴⁷ The financial and other scorecards are considered part of the TE (although prepared by the IP), thus they should be uploaded together with this TE report onto the UNDP ERC webpage. In the case of this financial scorecard, the IP has collated and calculated a comprehensive set of financial figures for the PA network.

Source Project Training Record

Analysis

The project made a significant effort to engage with government staff and communities, but everyone underestimated the extent of engagement that was really needed to head off legal and illegal economic self-interest in the natural resources.

The GEF incremental advantage for socio-economic benefit was for ~50,000 people in and around the four PAs, to benefit from access to an improved forest resource base, including NTFPs and tourism (prodoc, p68). The project added the above indicator post-MTR to create a target of 11,200 beneficiaries. The calculated training figures (2017-19), which include most project activities, indicate somewhere in between, at 22,646 beneficiaries, although these figures include school children engaged during awareness days, and not benefitting in terms of income. To note also that from mid-2018, project activities in 3 out of 4 of the PAs had to be curtailed due to security issues.

3.3.2 Effectiveness – Achievement of the Outcome Indicators and Outputs

Effectiveness – Outcome 1 at the Indicator and Output Level

Outcome 1 - Systemic, institutional and financial frameworks for PA expansion and management (4 indicators)

The overall grading is **Highly Satisfactory**. There were four indicators attached to the Outcome 1 level which were rated as: highly satisfactory (3); and satisfactory (1) (see **Annex 1**)

Legal status enabling local people to use and benefit from PAs (Indicator 5)

(Baseline – Local people have no legal use rights in PAs, PA buffer zones vary in position & legal status; Target - Legislation passed and zones developed to enable local use of land within PAs)

Result against Indicator

The project supported the development of a number of policies, laws and guidelines concerning biodiversity conservation, which included provisions for indigenous & local community (ILC) use of resources, and collaborative management of biodiversity. The main instruments were Community Protected Areas (CPAs) and Community Forests (CFs), and some support to participatory land use planning (PLUP) as a precursor or ‘village entry-point’ approach⁴⁸. The institutional aspect – PAMSCs - is covered under Indicator 6 and Output 1.5 – Government incorporate PAs into local development

Conservation of Biodiversity & Protected Areas Law (CBPA, 2018) and Regulations (2020, in draft)

The CBPA Law (2018) created a new PA category, that of Community Protected Area (CPA), and defined the buffer zone in relation to community development and ecotourism. The draft CBPA regulations (submitted for Cabinet review Jan 2020)⁴⁹, provide extra clarification on: CPAs, local user rights in buffer zones; and in stipulating the need for Prior Informed Consent (PIC)⁵⁰ in creating new PAs. The CBPA Law also strengthens the punishment against wildlife crime, with prison for serious offences.

In the case of the proposed expansion and nomination of KKBR NP and PKR WS as a UNESCO WHS, called KKBR Landscape⁵¹, there was considerable community opposition with demonstrations held. This created the need for the project and government to go back to first principles of community engagement and move towards an accepted ‘sharing’ or co-management mechanism. This led to the CBPA Law being revised in 2018, to legally mandate the creation of CPAs. Following the revised law, the IP and NWCD with a range of CSOs, worked on extensive public consultations to develop CBPA regulations in line with authorizing CPAs. The CPAs mirror the IUCN PA category – Indigenous Community Conserved Areas – ICCAs.

Forest Law (2018), and Community Forestry Instructions (2019)

The Forest Law and CF Instructions allow for the gazettment of Community Forest (CF). CFs were supported and

⁴⁸ In the case of CF and LUP activities, these were taken on-board by the IP from the beginning, indicating adaptive management in selecting the best approach to biodiversity conservation. In the case of CPAs, the approach was adopted in response to community needs.

⁴⁹ Under review by the Attorney General’s Office. The regulations are then expected to pass to the Security, Peace & Stability, Rule of Law Working Committee (under the Office of the President) before parliamentary comment on finalization.

⁵⁰ The project used the term Free PIC, however, the word ‘free’ is superfluous, as it is already implicit in the phrase ‘prior informed consent.’ Indeed, for example, CBD’s Nagoya Protocol only mentions PIC and not the word ‘free’.

⁵¹ Originally known as ‘Northern Forest Complex’

developed around TMT WS, as the project's main approach to co-management of biodiversity in this area.

Other guidelines

The project produced a number of guidelines to support the CBPA Law. At present, they are in draft and / or under NWCD review:

- PA buffer zone guideline
- Free & Prior Informed Consent (FPIC) Standard Operating Procedures – for PA development and / or PLUP
- PA stakeholder engagement (draft, Dec 2019, pp24)⁵²

The IP also prepared a guideline for participatory land use planning (PLUP):

- Village consultation process (VCP) & village land use zoning guideline

Analysis

These were significant steps in the approach to management of PAs, for a country that is developing straight from establishing PAs as protection zones to legislating for collaborative management systems. The inclusion of CPAs into the CBPA law was a major positive shift towards in the project and government approach towards co-management of biodiversity (i.e. inclusive management of natural resources). The CPAs followed the IUCN model of Indigenous Community Conservation Areas (ICCAs). However, there was some confusion concerning the status of a CPA depending on its location⁵³. The support for CFs around the boundary of TMT WS was also a major co-management approach to protect natural resources around the WS, and act as a buffer zone. PLUP was an on-going village entry-point used by the IP to good effect, but not focused on so much during the project period. (see also Indicator 12)

Strengthened national policies relating to PA management and biodiversity conservation (Output 1.1)

Result & Analysis

As above

Institutional capacity of FD for the PA system planning and management (Indicator 6)

(UNDP Capacity Development Scorecard (NWCD, Sagaing Region FD, Kachin State FD, TRDD; Planning & Statistics Division (PSD) - Baseline – 56% (range: 48 to 65%), Target – 67%)

Result against Indicator

Capacity Dev. %	2013	2017	2019
NWCD	59	59	70
Kachin FD	53	53	64
Sagaing FD	68	68	68
TRDD	59	50	60
PSD	53	53	53
Average	59	57	64

The scores were 'self-evaluated' by the director of each division or department.

Analysis

The average rose from 59% (2013) to 64% (2019), against a target of 67%. The institutional capacity development scorecard results were mixed. NWCD and Kachin FD increased by ~10 percentage points. Sagaing FD and the PSD of FD remained resolutely the same throughout, with TRDD falling by mid-term, but recovering to its original position by 2019. Thus, the project appeared to have had an overall capacity development impact on two out of the five institutions.

Government capacity to manage PAs was considered as limited. Whilst the project undoubtedly built capacity at national level and at TMT WS in Sagaing, the advancements in Kachin were somewhat lost post-2018, due to PA and project staff withdrawal from the three PAs, and the appointment of new wardens. Thus, continuity was

⁵² During formulation, the project used a community participation strategy (see prodoc, Annex 10)

⁵³ The regulations allow for a CPA to be either inside or outside a PA, although if outside, and not designated as forest estate, it wouldn't be afforded the same legal protection by the FD.

lost⁵⁴.

However, this only covers part of the narrative, because the project developed a comprehensive training and curricula development package aimed towards four institutions: the University of Forestry & Environmental Sciences (UoFES); and three belonging to the FD - Myanmar Forest School (MFS); Training & Research Development Division's (TRDD) Central Forestry Development Training Centre (CFDTC); and NWCD. Thus, capacity was built within the national system for conservation training, at both an academic and vocational, level. This benefitted NWCD in particular, who have ~400 staff, of which 30 are Nay Pyi Taw-based, and draw in the graduates and rangers from UoFES and MFS respectively. (see next Output 1.3)

Also, in 2018, the Htamanthi Training & Research Centre was built with collaborative funds including those of WCS. There, the project provided technical support in terms of training, and awareness for conservation to various FD staff, future conservation professionals, and community groups, such as those involved in CF establishment.

Training Programs for PA managers institutionalized within the Forest Department (Output 1.3)

(Baseline - No formal training courses on PA management; Target - Certificate-level wildlife conservation and PA management modules incorporated into curricula for: UoFES, Myanmar Forest School (MFS), Central Forestry Development Training Centre (CFDTC), and NWCD)

The project's capacity development strategy was encapsulated within a training program targeted towards selected FD divisions and their educational institutions. Wildlife conservation and PA management curricula were developed for UoFES, MFS, TRDD (CFDTC) and NWCD:

- UoFES – University 4th Year course module - Biodiversity Conservation & PA Management - developed (64 hours over 3 months) ~100 students / year. Included exchange visits to universities in Thailand and Singapore. Environmental curricula & student numbers expanding. Two-way support with project – trainers & in drafting CBPA regulations.
- MFS – Provides year-long ranger service training for junior FD staff. The project developed biodiversity course content and supported direct ranger training. Completed 1 course module, with 56 participants
- TRDD (CFDTC) – Provides specialized training for FD staff. The project provided biodiversity & conservation related training materials for CFDTC use. The project provided trainers for selected courses. The project indicated 267 FD staff were trained including 1-2-day courses in Illegal wildlife trade & Smart patrol
- NWCD - Trainings have become more structured and capacity increased, including the national adoption of Smart patrol and tracking for law enforcement, in relation to PAs; and in the use of the METT scorecard.
- Project support regional courses & study tours - for younger staff / volunteers to India, Thailand, Cambodia
- UNDP / project funded a leaders' study tour to Philippines to see ICCAs (~new CPA structures in Myanmar), to try to diffuse the PA expansion / WHS proposal opposition

Analysis

The four institutes represented the differing entry and practitioner levels of conservation professionals. They were carefully selected to cover the personnel and skill requirement across the biodiversity conservation sector - UoFES is the primary university that lectures the future biodiversity conservation officers; MFS is the college that teaches the future generation of forestry and conservation rangers; TRDD's CFDTC is the main conduit for the FD to maintain and upgrade the skills of its officers, but also its rangers, through targeted short (residential) courses; and NWCD is the government's operational centre for biodiversity conservation and PA management, and thus need to upgrade its skills and technical capacity on-the-job.

A sustainable financing mechanism for PAs (Indicator 7)

(Baseline – Annual budget of US\$1,012,642 in 2013-14, and no PA sustainable financing system; Target: 50% increase in budget to the PAs, and a Conservation Trust Fund established)

Result against Indicator

The indicator included two targets – a 50% increase in PA budget allocation, and a sustainable financing mechanism. The annual PA budget increased 30%, from the baseline of US\$1,012,642 (2013-14), to US\$1,314,511 (2018-19)⁵⁵, which was some way towards the 50% target⁵⁶.

⁵⁴ This was evident to the TE, who interviewed the wardens resident in the northern PAs prior to 2018, and those appointed thereafter who were based in either Myitkyina or Putao, with no experience of actually working on-site at their parks. The new KKBR NP warden even asked the TE 'what is Smart patrolling?'

⁵⁵ mid-term was \$1,239,368 in 2016-17

⁵⁶ When the figures are inflation adjusted in kyat, there is a 46% increase in budget

Secondly, the project created Myanmar Biodiversity Fund Ltd (MBF, July 2019). It is a 'not for profit' company with limited liability, meaning that it is required to publish its annual returns, and is thus transparent (in comparison to an NGO legal set-up for example). MBF is registered internationally in Singapore, so that it is eligible to manage 'endowment funds', as a charitable trust (i.e. for long-term capital growth)⁵⁷. MBF also expects to manage 'sinking funds', as 10-year interest-bearing draw-down accounts (bonds, equities), and lastly 'revolving funds' to be lent and replenished annually. Its 'best practice' *modus operandi* was that of the 'Conservation Finance Alliance', and it is expected to become a member of the Asia-Pacific Trust Fund Network (APNET). As a trust fund mechanism, it is completely separate and complimentary to the government's more general Environmental Conservation Fund.

Analysis

Prior to 2011, due to the military government, there were few opportunities for external conservation funding. In order to create the fund, the IP organised a study tour to Indonesia to see how a similar trust fund operates, and to Singapore to meet a number of financial trust fund managers. However, the MBF remains to be capitalized. It needs to gain experience in managing funds and overseeing projects. As it is an independent entity, it could also work in locations where the relationship with government is tense. Ironically, the IP (WCS), who established the fund, on behalf of conservation in Myanmar, also need to raise conservation funds for their own existence. Thus, this move was somewhat altruistic for the common conservation good. Therefore, the MBF will need to learn to work in partnership with other conservation entities as well as building up their niche market.

A sustainable financing strategy for the expanded PA network is developed and piloted (Output 1.4)

Financing needs & gaps for the Myanmar Biodiversity Fund (L. Emerton, N. L. Thant, A. A. Nyein, Dec 2019, pp25)

- There is a funding shortfall for PA staff, maintenance / running costs, which should remain as a cost to tax payers
- The 21 PAs under active management have a funding gap of US\$3m per year in equipment, infrastructure and conservation operations
- To create and maintain an ecologically-representative network of PAs would require US\$11.7m per year
- The CBPA Law allows for revenue retention at the PA level. Thus, MBF could invest in CSO / NGO support to CPAs

IUCN Threatened Ecosystems 'Red list' for PA network review and expansion (Indicator 8)

(Baseline – No national ecosystem information for representative PA gap analysis; Target - Improved PA representation through analysis of ecosystem information)

Result against Indicator

The project developed Red Lists for both ecosystems and for selected animal classes – mammals, birds and reptiles⁵⁸. The Ecosystems Red List is presented in 'IUCN Red List of Ecosystems of Myanmar (draft, 2019)'⁵⁹. The project coincided with the development of the IUCN Ecosystem Red List program, which is based on a new IUCN Global Ecosystem Typology⁶⁰. The project provided the unique opportunity to build the country's first ecosystem typology and ecosystem map. This resulted in a National Ecosystem Map with a typology covering 64 ecosystem types, and with 56 of them mapped⁶¹.

The project held a workshop (December 2019) on using the national red lists of ecosystems and species to identify

⁵⁷ Details of its legal status are presented on http://myanmarbiodiversity.fund/en_US/

⁵⁸ Whilst, various expertise was accessed to update the lists, they remain incomplete, especially for herpetofauna (reptiles and amphibians), for which the project obtained reasonably good data for turtles, crocodiles and geckos, but for many species of frog, lizard and snake they remain data deficient.

⁵⁹ WCS 2019. Murray, N.J., Keith, D.A., Tizard, R., Duncan, A., Htut, W.T., Hlaing, N., Oo, A.H., Ya, K.Z., Grantham, H.

⁶⁰ The new typology comprises 6 hierarchical levels from global to local scale. The 3 upper levels classify ecosystems based on their functional characteristics, irrespective of species composition. The 3 lower levels of classify functionally similar ecosystems based on compositional resemblance and allow integration with established classifications. The typology is based on a framework of ecosystem processes, as opposed to the IUCN Habitats Classification Scheme, which characterizes habitats based on an assemblage of individual species.

⁶¹ From this assessment, two ecosystems appear to have collapsed, 20 ecosystems are threatened including six IUCN critically endangered (CR), 8 are data deficient or still currently being assessed, and 34 ecosystems are of least concern. Some of the smallest ecosystems are probably under-estimated due to some criteria not assessed and the checking of results is on-going into 2020.

Key Biodiversity Areas (KBAs)⁶². Thus, with the improved understanding of the known populations of threatened ecosystems and species, conservation priorities can now be listed. These include: to review the PA system in 2020, particularly bearing mind threatened ecosystems⁶³; and an improved understanding of the significant tracts of intact forest, that need to be conserved to reach Myanmar's Nationally Determined Contribution (NDC) under the UNFCCC Paris Agreement⁶⁴.

Analysis

The preparation by the project of an IUCN Red List of Threatened Ecosystems was of high value. It has meant that the data and analysis is available to prioritize the establishment of new KBAs, with a view to expanding the PA system. i.e. gaps in terrestrial and aquatic biodiversity conservation can now be filled. The work was welcome, although an originally unintended result of the project. The Ecosystem Red List drafting was supported by the University of New South Wales through a \$120,000 sub-contract.

Effectiveness - Outcome 2 Indicators and Outputs

Outcome 2 - Strengthened management and threat reduction in the target PAs and buffer zones (4 + 2 indicators)

The overall grading is **Satisfactory**. There were four main indicators attached to the Outcome 2 level which were rated as: highly satisfactory (2); and moderately satisfactory (2). There were also two more indicators which were a composite of previous deliverables. These were rated as highly satisfactory (1); and moderately satisfactory (1) (see **Annex 1**)

PAs business plans developed & under implementation (Indicator 9)

(Baseline – No business plans for PAs; Target - Business plan for one model PA developed)

Result against Indicator

Htamanthi Wildlife Sanctuary Management Plan (2021-25) (draft, vers. Oct 2019, ~150pp)

The plan underwent a public consultation from March 2019, and in December 2019, went to NWCD for endorsement, before translation into English. It includes background information on the WS, management actions, budget, and a monitoring program. Apart from conservation actions, it includes livelihood development activities. It notes that adjacent to the boundary (3-7 km away), there are 26 villages (~3,400 households) with a population of over 10,000, and mining on the northern boundary.

The plan has four components: PA management; law enforcement (patrol); biological monitoring, and livelihood activities. The latter are formally titled as 'community empowerment & public participation'. They include: CFs; community-based NRM; income generation; agriculture & livestock support; TMT WS right of access; awareness; and information, education, communication (IEC). The four components are annually budgeted at: PA management US\$17,131; law enforcement / patrol \$46,028; biological monitoring \$44,979, and community engagement \$45,970, with a total of \$169,969 per year.

Htamanthi WS Investment Plan (2020-25) (draft, pp21)

The plan has been provided to NWCD for endorsement, but it remains in draft, partly due to a lack of funds to implement it. The plan includes an option for utilizing MBF funds to support PA management. The business plans for the three northern PAs were put on hold due to the unstable situation in Kachin State, from 2018 onwards. This was also recommended in the MTR (February 2018).

Analysis

The indicator (and its output) was rather specific in calling for 'business' plans. The prodoc description for this output included: business plans; multi-year planning; legal recognition of management plans; review & rationalization of buffer zones; and the inclusion of communities in PA activities.

The TMT WS Management Plan was already under preparation and so was not included in the GEF project task list, however it was updated, and could possibly have been used (in 2016-18) as a template to produce / update a

⁶² KBAs are identified (through a consultative science-based process) for sites significantly contributing to the global levels of biodiversity. Under the global standard for the identification of KBAs, Myanmar now needs to form a National KBA Coordination Group to develop and review full documentation for each KBA and then submit them for approval through the KBA Secretariat.

⁶³ Mangrove forest in Rakhine State was one such example given

⁶⁴ The Red list trainings / reviews prepared a national list of mapped conservation priorities. These are now being used to develop a revised series of KBAs, with each being assessed for future management action based on the PAs legally defined under the CBPA Law.

management plan for one of the Kachin PAs, although these were also already under development⁶⁵.

The TMT Investment Plan covers conservation funding requirements and gaps, but at present is written more as an analysis of the needs for funds and investment opportunities, as opposed to a plan of action for spending the required funding. As such, it should probably be re-drafted so that sections are clearly presented – as a justification for spending; the 5-year investment & spending plan; and then the financing avenues separately annexed⁶⁶.

Strengthening management through business plans for the four demonstration PAs (Output 2.1)

Result & Analysis

See above

Threat Reduction at the four PAs – based on Smart patrolling (Indicator 10a)

(Baseline & Target – see table)

Result against Indicator

Indicator at Htamanthi WS	Baseline 2015	Target 2020	Result (Exit Strategy)
Patrol distance (km)	4,196	130,000	116,193
People encounter rate	3,274	500	948
Camps encountered	33	20	31
Hunting weapons found	993	20	38

‘Smart patrolling’ is the recording of the incidence of illegal hunting, and wildlife presence (location, frequency, populations), supported by camera trapping. Of particular note, since 2018, the government has adopted Smart patrol methods nationally. Due to civil unrest in Kachin State in 2018, the project withdrew to work in TMT WS only. These figures reflect that.

Analysis

The TMT WS results indicate a significant effort in Smart patrolling as measured by distance covered. The number of people encountered has fallen by 2/3rd to 948 / year. The number of hunting weapons and paraphernalia has been significantly reduced from nearly 1,000 items to less than 50. However, the number of camps remains as per the baseline in 2015, which despite a reduction in illegal hunting camps, the number of illegal gold mining camps along the rivers has increased.

The project produced profiles for the four PAs, within which it provided a list of threats (see **Annex 5** for KKBR NP as an example). These could have been scored and ranked at project start, and then again at project end (in the same way that the scorecards were marked), to provide an indication of how the threats had been managed or reduced.

KKBR NP and PKR WS

Result

Project-supported infrastructure included: Putao guest & staff houses for KKBR NP / PKR WS; a forward-post staff house for KKBR NP, offices for PKR WS, and two guard posts, plus the wildlife awareness centre in Putao was completed under the project.

KKBR NP has a management plan, and PKR WS has a draft management plan (2018-23). Before the project in 2015, KKBR NP and PKR WS were both managed by one warden from one office. Until 2018, in KKBR NP and PKR WS, the project was undertaking patrolling with biological / gibbon surveys, supported by ~20 community guards. In 2015-16, there was some communication and awareness with the ILCs, but in 2017 this stopped due to the security situation. In 2017, there were CF discussions, which culminated in a leaders’ study tour to Nepal. But while this was in progress, the local people, Rawang in particular, were incited to demonstrate against the WHS / extension⁶⁷. In 2017 and early 2018, the (Rawang) ethnic Leaders wrote three letters of objection regarding the

⁶⁵ Obviously, the large size of HKV WS would have required a dedicated budget to gain the needed data, when the project was battling against illegal hunting & illegal land conversion, and thus focusing on starting Smart patrolling as a first practical step. For KKBR NP and PKR WS, WCS / project efforts went into supporting the WHS proposal, which unfortunately somewhat set back ILC relations.

⁶⁶ It does mention the Htamanthi Training & Research Centre (opened in 2018), which needs a formalized mechanism for charging (research) groups / guests

⁶⁷ KKBR NP – Rawang, Lisu (small population); PKR WS – Rawang, Jingpo, Shan & Lisu

WHS proposal, which was subsequently withheld by the government, and not submitted to UNESCO. In 2018, for both KKBR NP and PKR WS, Smart patrolling was halted, and the camera traps removed. Since 2018 until early 2020, there was little or no conservation activity at these PAs. One FD source indicated a continued lack of communication between ethnic leaders and their ILCs, however, it appeared clear that the FD and (new) park staff themselves lacked motivation and the required mediation / people skills⁶⁸.

In KKBR NP and PKR WS security issues date back to 2014, which were in part due to remoteness, a lack of transport and telecoms. In 2016, FD seized 7,000 tons of illegal timber going to Chinese border. Also, illegal gold mining was becoming extensive. Thus, part of the security issue concerned the activity of organized crime syndicate(s). Their main leader managed to create a conflict situation between the main ethnic group(s) and the FD / project concerning conservation⁶⁹. Obviously, Smart patrolling and law enforcement were contrary to the economic self-interest of these criminals. The rangers were forced to withdraw due to this political situation. To add to the difficulty, there were government timber and mining concessions, which the FD opposed. Also, as the ILCs were getting no benefits from either the illegal / legal extraction of resources, or conservation, they saw no reason to support the KKBR extension / WHS proposal, and furthermore, they were perhaps easily manipulated in this respect.

Analysis

Presently, the way forward probably is the designation of CPAs, but tensions still need to be diffused, with certain antagonists, to be finessed around. It was suggested that an independent team be assembled to visit the area and gain the trust of the ILCs⁷⁰. The government also needs to raise public awareness of the conservation value of the region.

HKV WS

Result

From 2004-10 WCS, with FD / NWCD and the police, undertook some awareness activities. The ceasefire broke down in 2011, and until 2015, the local political situation was tense, with PA access restricted. In 2016, in HKV WS, Smart patrolling began, but due to the conflict in Kachin, activities were interrupted in 2017. The fighting in HKV WS disrupted patrolling and law enforcement, which resulted in no control over mining⁷¹. As a result, patrolling was then limited to the roadside forest edge with limited community engagement (with ~10 community guards), until 2018 when the project withdrew from the site.

Analysis

At the Tanaing Township level, weekly meetings are chaired by GAD, but overall, the level of (formal) communication and engagement, with the HKV WS communities has not really improved in since the ceasefire agreement broke down in 2011. The PA needs more range posts, more staff, better enforcement / prosecution, livelihood improvement approaches for farming & livestock⁷², and not least, much better coordination & communication skills by the staff.

TMT WS

Result

Before 2016, TMT WS was subject to illegal gold mining and hunting. The project was able to map where the key wildlife species reside, and migrate to. Guns were confiscated. Regular patrol staff increased to 14, plus ~25 community guards, who were sponsored by the project. By 2017, there were few hunters, but still snare traps remaining. By 2019, some sand mining continued, but gold mining had been pushed to the periphery, in part due to the stronger prison sentences under the CBPA Law.

Thus, due to Smart patrols, enforcement, and awareness, the project has largely stopped illegal hunting, however,

⁶⁸ Despite FD being the secretariat to the GAD for the Putao PAMSC, the new leadership of these PAs were dismissive of it. When the TE suggested that for this PAMSC, that 'nobody cares, nobody leads, and nobody steering from behind', they 'laughed'

⁶⁹ The main culprit for timber extraction was an illegal enterprise owned by the Rawang militia

⁷⁰ A joint team with Kachin State Chief Minister, 2 Rawang Elders, Vice president of Myanmar, plus others

⁷¹ In 2017 & 2018 there were 37 & 47 days of clashes between KIA/KIO and military, many of which took place within the HKV WS and continued in 2019. Abrahamson, D. Project report – cited - Deciphering Myanmar's Peace Process 2017-18, Myanmar Peace Monitor. July 4, 2019. www.mmpeacemonitor.org/download/myanmar-peace-reference-book-2017-2018-english_version

⁷² Interestingly, the Rawang raise 'Gayal' (*Bos frontalis*), which is a domesticated sub-species of gaur (*Bos gaurus*), which in turn is a bovine classed as IUCN Red List Vulnerable. – Tourism potential also comes to mind here.

some gold and sand mining inside TMT WS remains. As a result, the tiger population has doubled to 10. The remaining hunting issue is the loss of large cat prey-species (sambar, muntjac etc) that frequent the forest edge, due to lack of grazing inside the forest, which then makes these deer susceptible to killing by the villagers. Without sufficient prey, the large cats (tiger, clouded leopard etc) will need greater territorial ranges.

Under the project, there was a significant increase in TMT WS staffing (19 rangers + 26 community guards), however post-project, the latter will be reduced due to lack of funds. Under the community guard scheme, the project funds for their stipends, were directly channeled through the TMT WS administrative structure. In addition, the project supported a community guardian scheme (~15 volunteers), which is likely to be curtailed post-project. The TE recommendation is that these guards and guardians identify and develop roles within the CF structures.

In terms of operational equipment, TMT WS now has and will be handed 'their' project 4WD vehicle, and boat. The patrolling and camera-trapping operations are expected to be reduced post-project together with non-permanent staffing. WCS have limited funds to continue support to these basic and essential operations.

Analysis

TMT WS – Adjacent Land Management

Four to six Community Forestry (CF) groups were supported, with the land being designated to become Public Protected Forest (PPF) as a key first step, prior to the gazettement of land as CF. The project did well to recognize the value of CF management surrounding the PA. The CF groups are linked with both Homalin Township FD and TMT WS. These CFs to the south-west of TMT WS are being established with Shan villages. Land to the east of TMT WS, has been designated as PPF, as the FD wish to stop illegal mining and create CFs in this area. In the north of TMT WS, also in Khamti District, the FD has proposed that the land be designated as PPF.

In the future, the CFs need to register as legal entities, so that can have a CF bank account managed by their committee, and stop self-interest of more powerful family clans. They need further awareness on creating their 'guiding principles' as responsible guardians of the CF forests, so that outside groups don't become jealous.

However, there is a land conversion problem to the west of TMT WS, where Chin people are working as shifting cultivators and also there is a significant presence of gold mining. Furthermore, the issue is that whilst Shan villages are being included in CFs designations, these Chin villages are not, thus the process is not yet inclusive⁷³.

A 'land buffer' is needed here beside the TMT WS boundary, possibly with both an added PPF area directly adjacent to the TMT WS boundary, and then land designated as CF, in order to stop further land conversion and promote conservation actions. Fittingly, this land to the west of TMT WS is expected to go under cabinet review in 2020, for designation to PPF, with the aim to gazette it as CF.

The concern is that 'whose responsibility is it to stop land encroachment, when the land purpose has yet to be designated from the vacant-fallow category?' Land administration is under MoALI and DALMS. Mining is under MoNREC, but GAD⁷⁴ and ECD (under MoNREC) are responsible for general environmental damage to such land, but the latter have few staff outside Nay Pyi Taw. The FD should be responsible for destruction of forest, but only have a real mandate to enforce this for forest-designated land. Thus, the management and enforcement of this land falls through the gap, leaving it under 'diminished responsibility.'

What is clear is that the FDs have insufficient (technical & financial) resources to create CFs, particularly in terms of sensitizing communities that wish to continue illegal land conversion, on land they claim customary land use rights to⁷⁵.

The TE found that the guardian scheme was not really strong enough, with the guardians supporting the WS, but not really reporting back or liaising with their local village communities, apart from involvement in occasional

⁷³ There is however some opposition to PPF (and any PA) expansion. The process [in FD Green Book] indicates a FD-led Land Settlement Expert Group (as opposed to DALMS / Local government Land Committee who usually certificate agriculture land for example), thus FD are 'too close' to the process in (re) designating land to forestry classification. Thus, PPF (and PA) expansion can become politically sensitive, without a perceived 'independent' mediator / negotiator. But to note, the project engaged with the Chin people, here, but were not successful (to date), in getting them to join the CF process

⁷⁴ Sagaing government have a 'Regional Administrative Committee', but they are not informed nor focused on shifting cultivation and gold mining on the borders of TMT WS.

⁷⁵ Thus, FD sometimes propose 'agro-forestry' as the solution, when clearly it is not. This is probably based on the Forest Policy 1995 Section 3.5 – 'Enlisting people's participation in forestry, wildlife & NP activities so that the community becomes involved in forest conservation and in raising trees to meet needs and for off-farm income, through adoption of CF / agroforestry practices'

awareness days. Those with a particular interest in conservation, should probably try to become involved with their respective CFs, if they are not retained post-project.

PA site operations to reduce threats to biodiversity (Output 2.2)

See above indicator

Analysis of drivers and planning for forestry & wildlife law enforcement in Kachin State (Output 2.4)

Result

This output was removed following the MTR because of multiple increased conflicts in Kachin State. However, it remained highly relevant in terms of particular drivers, such as the control of land (and resources), and the planning mechanism employed by the project, namely the PAMSC.

Analysis

Kachin State - 3 PAs - Hkakaborazi NP, Hponkanrazi WS, Hukaung Valley WS - Land Management

In mid-2018, conflict stopped the project and PA staff activities in the three Kachin State PAs⁷⁶. However, the PAMSC meetings at Myitkyina / Putao could have continued to be financially supported again, in later 2019, focusing on conservation concerns, such as re-establishing the Ma Khwankan FD control station in KKBR NP⁷⁷.

The project and KKBR NP and PKR WS PAs got caught up in the political controversy due to a southern extension to KKBR NP, and further designation of the area as a WHS, both being proposed. In the next five years, the authorities may be better focused on providing public information on CPAs and /or CFs in the extension area to begin with.

The PA wardens need to engage much more effectively with township government / PAMSCs. It was also noted that the Kachin PAMSCs appeared to be better understood and more effectively operating, than the committee in Sagaing. As an attempt to diffuse the extension and WHS proposal, the project (and UNDP) initiated an 'ICCA' study tour to the Philippines, as well as returning to participatory LUP / CPA discussions in four Rawang People's villages.

One concern to the TE, was the fact that the Lisu People were not part of the CPA (and / or CF) discussion, and that this will cause much greater forest damage and socio-economic problems in the future if the process is not inclusive⁷⁸.

In the HKV WS, the conflict continues between the military and the Kachin Independence Army (KIA). The situation remains tense and continues to limit access to the HKV WS for project and FD staff. Regarding the extension of HKV WS, the concern was documented, that the Naga people in needed to have a continued say in the conservation of their traditional areas, and that project activities need to be planned in a transparent and participatory fashion. (Inception Report, July 2016, comment of the Council of Naga Affairs)

Increased gibbon & ungulate populations at the four PAs (Indicator 10b)

(Baseline & Target – see table)

Result against Indicator

Indicator at Htamanthi WS	Baseline 2015	Target 2020	Result (Exit Strategy)
Patrol distance (km)	4,196	130,000	116,193
Hoolock Gibbon group encounter rate per km ²	2	2	3.01
Ungulate signs / observations per 100 km	0.2 – 2.5	0.2 – 2.5	8.6

Analysis

For TMT WS, the prevalence of gibbon family groups has increased significantly, to three groups per square kilometer. The encounter rate was based on auditory survey – gibbons are very vocal. Ungulate signs have also significantly increased from ~1.3 to 8.6 observations per km of transect walked. Both of these results indicate a

⁷⁶ UNDP (with MTR) agreed to re-focus on other activities

⁷⁷ The illegal trade with China in NTFPs – fungi – is extensive. Project funds could have been allocated for the guard post design and future construction. The Kachin FD view was that whilst the wildlife trade had been discussed with China on a high-level, the associated plant (fungus) trade had not, and needed to be.

⁷⁸ Again, (as with the Chin People in Htamanthi WS, Sagaing), the Lisu People were being left behind, despite a significant history (one leader informed the TE that they had been farming their particular land for 80 years) and possessed some customary land rights. Even if not deliberate, the TE could see a pattern here.

significantly reduced pressure of illegal hunting within TMT WS.

Increased capacity for assessing the result of PA management on ecosystems, key species, threats & livelihoods (Output 2.5)

Result & Analysis

Following the MTR, this output was moved to the deliverables under Indicators 13 & 14. However, the output fits with Indicator 10 – Threat reduction (see above sections)

Management effectiveness of the PAs (Indicator 11)

(Baseline & Target – see table)

Result against Indicator

Management effectiveness was measured through the GEF Management Effectiveness Tracking Tool (METT). Assessments were carried out by the IP and NWCD⁷⁹.

PA (METT Score - %)	2013	2018	2019	Target
Hkakaborazi National Park	51	58	48	83
Hponkanrazi Wildlife Sanctuary	12	39	49	69
Hukaung Valley Wildlife Sanctuary	52	48	48	82
Htamanthi Wildlife Sanctuary	49	61	64	82

Management effectiveness in the PAs was affected by the regular rotation of senior PA management staff, limiting continued understanding and capacity. In KKBR NP, management effectiveness decreased from 51 to 48% because of increased conflict with local groups and the earlier CBPA law, which excluded community involvement. PKR WS management effectiveness increased from 12 to 49% because of the addition of assigned NWCD staff to the PA. Additional progress was restricted due to conflict with local groups. In TMT WS management effectiveness increased from 49 to 64% because of the direct support of the project.

Analysis

Overall, the scores were significantly below target. The METT scores for the three PAs in Kachin, were affected by conflict and changes in senior staff – wardens in particular. The score for KKBR NP initially improved, but due to the conflict situation in 2018, ended up below its baseline score in 2013, however despite this, PKR WS significantly improved its management effectiveness. It became staffed, with a park warden office opened in 2017, and preparation of a management plan begun. HKV WS remained about the same in terms of management effectiveness, not least due to the illegal hunting and illegal expansion of gold and amber mining within the government - KIA conflict area. TMT WS increased its management effectiveness, but not as much as expected. Perhaps surprisingly its score for law enforcement fell from having 'acceptable capacity' to 'major deficiencies in capacity' to enforce PA law. The general view provided by the IP was one of TMT WS being 'under control', however as stated, these assessments were undertaken by NWCD together with the IP.

Capacity of the FD strengthened for effective management of the PA system (Output 1.2)

Result & Analysis

See above

Community & stakeholder participation systems piloted at the PAs (Indicator 12)

(Baseline – No systematic measures for community participation at demonstration PAs; Target - Community and stakeholder participation systems piloted at demonstration PAs and landscapes, and incorporated into management plans)

Result against Indicator

The project institutionalized, legalised and supported community and stakeholder participation in PA management. Apart from direct threat reduction through patrolling, this was the most important aspect of the project. This was manifested in four ways, through an institutional structure, namely PAMSC, two co-management approaches, namely CPA and CF, and a pre-cursor village engagement process. The latter varied somewhat from PRA through to PLUP.

Protected Area Management Support Committee Protected Area Management Support Committee (PAMSC)

⁷⁹ NWCD with the support of Norwegian Environment Agency and IUCN, also provided additional METT training.

Result

The PAMSC in Putao, Kachin was established in mid-2016, but lapsed in 2018 due to conflict in Kachin State, and project withdrawal from the three northern PAs. In 2019, the PAMSC also lapsed in Sagaing Region, although the reason was unclear⁸⁰.

During initial meetings in 2017, the Putao PAMSC were not very well aligned with their roles or responsibilities, which allowed some discourse to enter. This disruption of meetings was deliberately done by certain PAMSC members who were Rawang leaders⁸¹. In 2018, the Putao GAD leadership was also considered too weak at the time. The lack of support for conservation by the leader(s) of this ethnic group, was because of economic self-interest⁸². Thus, despite this being a state government problem, the Putao GAD / PAMSC decided to bide their time until the planned November 2020 Election. In Sagaing, in 2017-19, five PAMSC meetings were held in Khamti district and Monywa Regional town. The committee members were also involved in the public consultation of TMT management plan in 2019.

The PAMSC appeared to be seen as an ‘*ad hoc*’ committee, with its role in ‘running a cross-sector conservation committee’ not really understood by GAD / regional government, especially in Sagaing. The full importance of this institutional structure was not appreciated (or sufficiently guided), and it needed more encouragement and support.

Analysis

The PAMSC was one of the project’s most important actions. It was formally supported from 2017-2019, however the value of this institutional mechanism was under-estimated by all, the FD, IP, UNDP and the MTR. The PAMSC was important because it was a conduit between GAD and ILCs, especially in areas of conflict in Kachin State, and also because key drivers of biodiversity damage, in both Kachin and Sagaing Region, were mainly within the remit and mandate of local government, and not solely FD. However, it was undermined in Putao, Kachin. There, the PAMSC (as a platform for conservation in the interests of all people) was deflected by calls by certain ‘leaders’, to develop local livelihoods, while themselves maintained powerful vested interests in hunting and resource extraction from the PAs. Thus, the underlying issues were not addressed, and the role of the PAMSC was not effectively managed or maintained.

Community Protected Area (CPA) approach (Kachin State)

Result

The CPA approach is very new. The CBPA Law is new and the CPBA regulations are with government before expected presidential approval in August 2020. In the last 12 months, the IP managed to re-engage with Putao District communities (post-opposition to the WHS proposal). In 2019, additional training was provided to the Rawang LCA to build capacity to document traditional land use in the PKR WS area⁸³ (and potentially in the KKBR NP proposed southern extension area). The Rawang LCA are also working with FD in developing a plan for a CPA on the southern edge of KKBR NP. This process is at an early stage with the Rawang LCA now more positive that one day they may be able to support a WHS in the area. The FD now need more donor support to demonstrate the new CPA process, quite possibly beginning somewhere less sensitive.

Analysis

The ‘pull-back and reset’ of co-management in the form of CPAs may have saved the expansion of KKBR NP and linkage to PKR WS (to make a contiguous biodiversity landscape). This was a good example of (if belatedly) understanding the ‘best practice approach to PA management, namely co-management, and more generally of adaptive management.

Community Forest (CF) Approach (Sagaing Region)

Result

⁸⁰ The TE found Homalin FD were not informed regarding the PAMSC, which was operating in their Khamti District in 2018. The platform should have been used to stop natural resource extraction and land conversion surrounding TMT WS.

⁸¹ It was indicated that the Rawang PAMSC members took inducements, concerning not supporting FD in the KKBR southern extension and WHS proposal.

⁸² The Rawang Ethnic Affairs Minister also supported the extraction of resources and less so conservation. The other three ethnic peoples (Jingpo, Shan and Lisu) did not agree. Added to this, the NR minister, was allocating mining concessions, so the state level government could be said to be compromised.

⁸³ In February 2020, after the TE meeting the Rawang LCA, they reported back, that WCS could continue PLUP in the PKR WS area.

At TMT WS, in Khamti District and Homalin Township, the IP worked with seven Shan communities and the Shan LCA, to create user groups for CF applications. A CF management plan was prepared with each community, but the CFs await prior PPF designation before recognition. Homalin has two PPF areas at present.

Village	households	hectares
Lin Pha	34	1,738
Swe Kaung Ngaw	32	1,085
Nam Sabi	49	747
Hwe Nnar	27	247
Hton Ma Lut	48	1,064
Hmaw Yone	93	2,185
Yae Paw Mee	107	1,592

The TMT WS warden indicated that the Chin People had also been approached, but couldn't be persuaded in the benefits of CF, as opposed to their use of the land for farming.

Analysis

Regarding the TMT WS CF groups, there is a 3-way relationship between the FD townships, TMT WS staff and CF committees. The CF committees have been trained at the TMT Research & Training Centre, which also bodes well for bonding. The Chin issue is not to leave them behind, nor leave a gap in the boundary protection of TMT WS⁸⁴.

CF can be designated in a straight forward manner if the land is PPF. However, if the land is VFV (under MoALI control), then the process is much more complicated, and can become a fee-paying 'land lease' scheme, with less rights than a CF under FD stewardship. In areas of high conservation value, CPA designation would be more appropriate, with CF designation as the next rung down. Whilst, the areas near PAs in Kachin, appear more suited to PA expansion or CPA designation, the Kachin FD has been in talks with the Lisu People regarding the allocation of 810 ha of land to become CF.

Participatory Land Use Planning (PLUP) Approach (Kachin State)

Result

Prior to the project, WCS had already conducted PLUP (engagement involving PRA aspects) in: 32 villages in HKV WS (2005-10); 17 villages in KKBR NP (2009-10); and 19 villages in TMT WS (2014). In 2016-17, the WCS focus moved towards a southern extension to KKBR NP, and they began working with 7 villages. This expansion was only implied in the prodoc design (i.e. expansion of the PA network), and this engagement with the ILCs was not appreciated, once they knew the underlying reason. The IP 'pulled back' and began to look at the CBPA law / regulations again.

In June 2019, the IP took ethnic leaders on an ICCA study tour to the Philippines, and engaged in a national meeting on CBPA regulations. The IP also presented a video of the WCS PLUP work in KKBR NP. As a result, in October 2019, the Rawang leaders invited the IP back to Putao to train Rawang community members in PLUP methods. Those trained, then practiced with IP support in another village, before embarking on undertaking PLUP themselves in three more villages (~4 villages in the PKR WS area).

Analysis

Whilst PLUP has been undertaken for some years, and despite the lack of a land law, WCS and now WCS as the IP, have managed to generate a growing interest in PLUP as a tool to document ILC territory and use it to discuss with the GAD / FD management activities and land designation aspirations, such as CPAs⁸⁵. This is a significant achievement of the project.

General

Result & Analysis

In the project design, before the logframe revision, community participation was the last indicator and almost the last output. After revision, it was still effectively the last activity⁸⁶. However, despite the difficulty in 2018-19 for

⁸⁴ The Chin People (as do other groups) have village land committees which 'decide' on the use of VFV land. However, the link between these committees and the PAMSC was tenuous, with neither the PAMSC, nor the FD able to present a clear discussion on the benefits of CF. As an alternative, Sagaing FD indicated their support for agro-forestry in the Chin areas around TMT WS. However, the TE view is that such conversion to farmland would be negative for biodiversity

⁸⁵ The PLUP exercises in Kachin highlighted the pressure on land and biodiversity from 'hill farming' (shifting cultivation)

⁸⁶ As those after it were either the preparation of knowledge products or strategies for wider dissemination

the project to work in the PAs in Kachin, it continued to engage with stakeholders, whether through study tours or centralized workshops. The IP also needed to continue to build and maintain relationships, even towards the end of the project, not least because as the IP, they were implementing the project within a discrete timeframe, when they themselves as WCS, were around long before the project, and will be around after it. This has paid dividends. (see also **Annex 5** - Shan LCA planning workshop, Dec. 2019).

Community participation systems piloted at the demonstration PAs (Output 2.3)

Results & Analysis

The discussion here continues with the roles played by three of the ethnic peoples' representative groups, registered as 'literature & culture organisations.'

Rawang Literature & Culture Association (Rawang LCA)

The Rawang LCA in Kachin were keen for their people to claim customary land rights. They indicated that they considered shifting cultivation as sustainable. The Rawang LCA were interested in the KKBR NP extension area becoming a CPA⁸⁷. The IP and ILCs recently undertook PLUP in four villages in PKR WS, with the purpose partly to garner interest in a future CPA⁸⁸. Thus, it was not clear if an EAO or Rawang People are now holding conservation back, but the lack of leadership at the PAMSC level, remains as an acute bottleneck.

Lisu Literature & Culture Association (Lisu LCA)

In the 1940-50s, the Lisu People moved from Nujiang (Yunnan, China) to Putao, Kachin, so they have been around for over 80 years. Based on this, they claim customary land rights, and were issued a land use certificate in 2000 (not verified by the TE), so there shouldn't be any land dispute with the Rawang People. The Lisu number ~30,000 people in Putao District, with ~1/3rd of the people in PKR WS being Lisu. The Rawang don't like their presence in this area. In 1970's, they moved further into HKV area, where another ~20,000 Lisu People reside. They traditionally hunt, collect amber and other NTFPs. The KIA object to their presence (in the HKV area), and especially the Lisu request for the area to become a Lisu autonomous region. The Lisu support extension of the KKBR NP, and suggested that the extension protests were only Rawang. They also indicated that there weren't any KIA militia in KKBR NP nor PKR WS, but that there were Rawang militia (supported by the military) on the Yunnan, China border. They themselves claim to only have hunting guns, no AK47s⁸⁹. The TE suggested that they approach the Putao GAD to reconvene the PAMSC to discuss the new CBPA law and its opportunities.

Shan Literature & Culture Association (Shan LCA)

The Shan LCA in Sagaing are headquartered in Homalin Town. They were worried about government licensed and / or illegal enterprise logging. The TE indicated that best way was to engage in CF, as this was based on the government trusting them to protect and manage these resources. The TE recommended that the CF committees should register the CFs as entities so that CF funds could be managed properly. The TE also asked that they support Chin People to engage in CF, as this is a weak link in conservation / tiger protection around TMT WS (see **Annex 5** regarding a 2019 project meeting with Shan LCA)

Local government incorporate PA values (for the 4 sites) into planning (Output 1.5)

Result & Analysis

This output was removed following the MTR, as it was seen as the preparation of development plans, as opposed to the support of local government in planning, and in this case the creation of an institutional mechanism. (See earlier discussion of PAMSC and PLUP under indicator 12, and also Section 3.2.2 – Institutional Mechanisms).

Knowledge products (with best practices & lessons learned) disseminated for scaling-up (Indicator 13)

(Baseline – n/a; Target - Reptile, bird & mammal Red lists; Ecosystem Red list; PA Representation Document; NWCD, UoFES MFS, CFDT – 4 Curricula for Biodiversity & PA management; Conservation Biodiversity and PA Rules)

Result against Indicator

⁸⁷ In Dec 2019, the NCWD / FD (Nay Pyi Taw) directly contacted the Rawang People re. the proposed extension area. The response was that they wanted an ICCA-type arrangement, with areas of core and buffer. Although, why the NWCD didn't go through the local coordination mechanism was not clear.

⁸⁸ The Rawang LCA indicated that WCS had made mistakes in the past, and perhaps another conservation NGO could replace them. The TE indicated the long track record of WCS on the ground in Myanmar. A day after the meeting, WCS was informed that they could continue the PLUP in the area.

⁸⁹ There is also a Lisu militia in HKV

List based on the target and other documents, with status:

- Myanmar Red list of Ecosystems (draft, in prep, version 9, pp325)
- Myanmar reptile, bird & mammal Red lists - being collated for finalization
- PA Representation - awaiting completed Red lists – being collated for finalization
- CBPA Law (2018) – in operation
- Updated list of protected species to be annexed to the CBPA Law
- CBPA Regulations (draft, 2019, pp87) - submitted to government for approval expected by the President in August 2020
- TMT WS ASEAN Heritage Park designation – successful application - unintended positive result of the project
- Curricula for Biodiversity & PA management – These were training modules for basic wildlife management developed for 4 institutions – all completed
 - UoFES – 4th Year biodiversity conservation module
 - MFS 2-year diploma course
 - TRDD / CFDTTC – short courses, e.g. Smart patrol and law enforcement
 - NCWD - 6-week certificate course
- Myanmar Biodiversity Fund - Legal feasibility analysis
- Roadmap & strategy for capacity development for PA management
- Lessons learned report on the consultation process for CBPA Rules development
- Buffer Zone Guideline (draft, Dec 2019, pp17) – in Myanmar language
- FPIC Standard Operating Procedures for PA creation (draft, Oct 2019, pp51)
- Stakeholder Engagement (draft, Dec 2019, pp24) - in Myanmar language
- Village consultation process (VCP) & village land use zoning guideline (concerning PLUP)
- KKBR NP Management Plan (2019-24, pp151) – in Myanmar language
- KKBR Landscape Management Plan (draft / final 2018, pp148) – in Myanmar language
- KKBR Landscape WHS application (on-hold, not yet submitted, January 2019, project-supported, not led)
- PKR WS Management Plan (2019-24, pp129) – in Myanmar language
- Putao District & KKBR NP Area Ecotourism Plan (draft, 2018, pp119) - in Myanmar language
- HKV WS Management Plan (2013-18) – prior to project
- Biodiversity Conservation & Environmental Education Centre (Putao District, Kachin State)
- TMT CF Management Plans – 7 plans for 7 village groups, 2019, ~60pp per plan – Villages – Hmaw Yone, Hwe Nnar, Lin Pha, Nam Sa Bi, Swel Kaung Ngaw, Tone Ma Law, Yae Baw Mee
- TMT WS Management Plan (draft, 2019, pp149)
- TMT WS Ecotourism Report (2019, pp37)
- TMT Tiger Conservation Plan (2018, p118) – complementary action / funding

Analysis

In the main, this indicator represents a consolidation of project outputs. The list of project achievements, simply in terms of these deliverables is impressive. Although some are combined or complementary actions as part of the portfolio of WCS work in country, most were updated or finalized under the GEF project.

Strategies (Indicator 14)

(Baseline – Limited strategies; Target - Strategies for PA capacity development & sustainable financing; Project exit strategy)

Result against Indicator

Four documents were produced: Capacity development for PA management; Sustainable financing strategy (see Indicator 7); Project sustainability plan & exit strategy; and a study - Communities & PAs - policies, & challenges.

Analysis

Capacity Development for PA Management (2019, pp50)

The document is an assessment of PA capacity from the present status to a development roadmap. It includes the project training program and future needs. i.e. it is a detailed training needs assessment, including how the

project responded to this need, within its design mandate and timeframe⁹⁰. This intervention was an integral and valuable part of the project's institutional strengthening work, leading to the project's overall objective, i.e. to conserve biodiversity for the long-term.

Sustainability Plan & Exit Strategy (draft 2019) pp20

The project produced a comprehensive sustainability plan, detailing the expected future and exit strategy under each of the 14 logframe indicators. Under each indicator, it presented the main results and provided recommendations, including the generic type of exit – 'to be closed', 'planned closure', or 'handover.'

Communities & PAs - Policies, Progress & Challenges (draft Feb. 2020, pp30, D. Abrahamson, U Sann Lwin)

The project and UNDP commissioned a policy brief on the evolving PA governance framework with an emphasis on communities. An early-draft of the study was provided to the TE, who also interviewed the authors.

*Result*⁹¹

Military figures, as well as local militias are part of the illegal mining web, thus they generally oppose further forest gazettement (land under FD control)⁹². Logging has been sanctioned for both the military and concessionaires, but since 1980, their adherence to 'Annual Allowable Cut' and replanting schedules has not been monitored closely by a government in need of foreign currency. HKV WS is an example of this. There are inter-ethnic issues, with for example, the Rawang are worried about the Jingpo taking land, and diluting Rawang culture. The Kachin State – China border is porous with the KIA and other local militias controlling it (in cases, on behalf of the military), thus the flow of NTFPs and medicinal plants is rife and on a large scale⁹³.

Government attitudes (in Naw Pyi Taw) have changed in recent years. There were 'democratic' elections in 2010 and 2015, although the National League for Democracy boycotted the earlier one. Parliamentarians have become more open in talking about land and forest issues, with NGOs / CSOs (e.g. the Land Core Group) involved. New laws used to be written and then briefly discussed while going through parliament. However, for the land use policy (2016), there was a much wider discussion on its issues relating to gender, shifting cultivation, and ethnic groups. For the CBPA Law (2018) and its regulations (draft), the GEF project together with an extensive group of specialists undertook a major consultative exercise across the country over the course of a year. Now FD for example are much more open to the view of ILCs⁹⁴. However, there is still a large bottleneck in the form of 'lack of trust.' For example, in the Naga Hills (Sagaing Region), the Naga People object to the FD wanting to gazette the land as forest land, as they believe that the FD will then bring in a logging concession, with a loss of community rights to the land.

Community engagement needs to be central to conservation, and just not an awareness-raising exercise or after thought. Conservation staff and specialists tend to come from the same universities, and are generally not community development professionals, nor often have the skills or aptitude to be so⁹⁵. This one reason why conservation entities need to partner with community empowerment & development entities. In Kachin, the NGO Metta supports sustainable hill farming. In the country, there are other NGOs (CESVI, GRET, Myanmar Institute for Integrated Development and ACIDI/VOCA) who support agriculture development and could be encouraged to collaborate in the north.

Analysis

The FD has moved its position considerably from being a government logging enterprise to being a servant for conserving forest. The reasons include: the rise in understanding the intrinsic value of a forest, and its value (due to large uninterrupted tracts) within ASEAN and worldwide; the donor effect in a new democracy – UN REDD+⁹⁶ and all the other projects; and NDCs under UNFCCC.

The FD appears to be actively securing land for CF or CPA, but it first needs an overall designation as PPF. This

⁹⁰ Chpt 3 – Assessment of NWCD; Chpt 4 - Analysis of training needs & mechanisms for capacity development for PA management; Chpt 5 - Roadmap for capacity development for PA management; Chpt 6 – Action Plan (2018-20)

⁹¹ The insight is based on, the Abraham draft study and their interview, and TE informant information

⁹² <https://www.irrawaddy.com/opinion/guest-column/kachins-natural-resources-curse-blessing.html>. The article also indicates that the military entered the HKV area in mid-2017 in an attempt to gain control of the resource rich area and remove the KIA, but the military action did not subsequently have majority parliamentary support

⁹³ Cross-referenced sources – The prodoc (p65) in elaborating risks states 'sharing long and porous borders with China, India, Thailand, Laos & Bangladesh, and with rich wildlife resources, Myanmar is subject to significant wildlife trade, especially for Chinese markets'. The project team were identified as the original source of this information and reconfirmed the situation regarding border control.

⁹⁴ FD used to say shifting cultivation was 'bad', whereas now their view is tempered to, 'it is an adaptation to land management'. Abrahamson, D. – pers. comm.

⁹⁵ Abrahamson, D. Draft Report, 2020

⁹⁶ UN REDD Plus Programme - Reducing Emissions from Deforestation & Forest Degradation

nuance is still lost, due to poor communicators and poor lines of communication. As another example, the Putao GAD, indicated that part of the objection to the KKBR NP Extension & WHS application, was due to the language barrier.

Despite standing CF instructions (2019), CF is now enshrined in the updated Forest Law (2018). But, there is a need for a project to demonstrate how effective CPAs (and CFs) can be, in order to move towards a critical mass of acceptance, in these co-management approaches being in the best (altruistic) interests of all parties – government, ILCs, for the benefit of all people (carbon / climate change, cultural heritage) and wildlife.

The project preparation didn't foresee the need for such 'agriculture / income-generating' collaboration, which in hindsight is easy seen⁹⁷. Furthermore, the GEF project preparation methods (PPG stage especially) involve short-contract consultants to 'go in and get out' with a project design. Community engagement and sensitization is limited when GEF projects are designed. In this case, it was WCS themselves, who undertook the task, but being so conservation-oriented, the 'time and effort' to bring in other 'agri-dev' based NGOs (who also need different government partners) was considered too much.

3.3.3 Training

The project's training and awareness figures:

2017-19	No of Events	Total		Comm. Members		Gov't Staff	
Location		Male	Female	Male	Female	Male	Female
National	29	1,008	836	718	753	206	27
Myitkyina	73	6,536	8,959	6,426	8,868	107	44
Putao	45	2,550	2,779	2,440	2,753	51	11
Hukaung	9	551	549	500	540	38	5
Htamanthi	24	453	269	423	251	11	0
Total	180	10,090	12,556	9,789	12,412	207	60
Gender		45%	55%	44%	56%	78%	22%
sub-total		22,646		22,201		267	

The project held 180 training events in the form of structured training courses, awareness events⁹⁸, study tours and exchange visits. The full list for each of the five locations is presented in **Annex 5**. The specific training for FD staff and conservation students is presented earlier under Section 3.3.2 – Achievement of Outcomes / Outputs - Indicator 6 / Output 1.3.

The project worked in collaboration with ~20 conservation entities including: CBD, Ramsar, ASEAN, all conservation NGOs, multi-lateral agencies (FAO, WB), bio-prospecting research (Korea, China Academy of Sciences)⁹⁹, as well as with other development cooperation projects. The training and collaboration was a significant and leading conservation effort in Myanmar.

3.3.4 Efficiency, Relevance and Ownership

Efficiency

Myanmar was in need of this project, so it was opportune. Few of the measures would have been undertaken without the project, or indeed to anywhere near the professional standard applied. It followed national policy. The project efficiently accessed expertise in Asia, for regional training courses, study tours and fact-finding, for conservation staff (future and present), for government and civil society leaders, and for the future trustees of the MBF. Financial inputs were provided according to, or in excess of plan, and by a wider range of contributors. This also indicated high project relevance. Thus, the (cost) efficiency was rated as **highly satisfactory**.

⁹⁷ PIF 2012 – Barriers section – 'Conservation planning & management system is perfunctory. There is a clear disconnect between PAs and local development & land use planning, resulting in encroachment & illegal activities within the PAs. PA-neighbour cooperation is tenuous, and given the high PA populations and the intensity of their activities, there is a need for rapidly developing models for community participation in management of PAs and their buffer zones.

⁹⁸ The training participant data includes school children for awareness events. This was not separately disaggregated.

⁹⁹ The project was inclusive in drawing in conservation NGOs and research institutes, however, the latter bio-prospecting institutes were not targeted at a higher-level concerning sustainable extraction licences, or adherence to CBD's Nagoya Protocol, on Prior Informed Consent (PIC), or Access & Benefit Sharing of Traditional knowledge & biological (genetic) resources (ABS). There is no national system established for this.

Relevance

The measures were required under international agreements (CBD, UNFCCC). Its expected outcomes / outputs closely mirrored the GEF-5 biodiversity focal area strategy.¹⁰⁰ The project was in-line with the NBSAP and UNDP country programming. The project design remained highly **relevant**. (See Section 2.1 Development Context)

Ownership

The level of cooperation between the government and IP was very high, as was the level of government ownership, which is expected to continue after the project. The IP and government shared data. Technically, the IP is a specialist in wildlife conservation, and the government has been learning 'best practices' throughout the project lifespan. Furthermore, the IP and government worked through a number of thorny issues, such as the opposition to the proposed expansion and designation of KKBR NP and PKR WS to become a WHS. Their strategy was to undertake an extensive 12-month consultation on updating the CBPA Law (and draft regulations), with enhanced ownership, collaboration and responsibility for ILCs through the inclusion of CPAs.

At TMT WS, in Sagaing, the collaborative approach agreed by both the IP and government was to take-up the CF program around the PA. At the end of the project, the IP also supported the on-going government consultation on updating the Forest rules (draft 2019). Another example of working together was during the consultation on the national land use plan (2014).

The level of ownership was also enhanced by UNDP's interest in the project, particularly prior to 2018 at RR and post-2018 at SIGU levels. This meant for example, that until the PB was established, project spending was not hampered. But it still took time to prepare the PB, TAG with ToRs and identify personnel. The inception period was more of a rubber stamping, as government at that stage was not 'ready' for the project. Despite meetings being slow to arrange, activities were begun. The IP was able to do this, due to their on-going relationship with government and at the designated project sites. Without this pre-existing and parallel relationship, the project would have floundered in its early stages, and then been caught-up in the civil and localised conflict situation, without much work achieved on the ground. Having had a chance to work at field level prior to the conflict situation in Kachin, the project was able to fully adapt based on a knowledgeable understanding of the conservation, social, EAOs, and commercial self-interest issues. This meant that the project (with a commendable array of interested parties in / outside the conservation donor community) was able to convincingly bring in from concept to law, the collaborative management of areas adjacent to PAs, in the form of CPAs. This was exceptional when three years into a 5-year project, three out of four project PAs in Kachin State were activity-stifled.

The establishment of PAMSCs, especially at district and township level, provided a mechanism for local ownership of conservation and natural resources management issues.

A tenet of the project was implementing the NBSAP (2015-20) and Aichi Biodiversity Target 19 – 'by 2020, the knowledge, and technologies relating to biodiversity, its value, and functioning...are improved, shared and applied'. Central to this was the capacity building being directed at the NWCD, the FD, and conservation training institutes, through curricula development and its adoption.

Mainstreaming

The project (and FD / NWCD) learnt some hard lessons in community consultation and the extent of sensitization, awareness, and building-trust needed, especially where there were already ethnic tensions with government. The IP's standard method was to follow a 'village consultation process', however this was adapted from their participatory rural appraisal (PRA) / participatory land use planning (PLUP) methods and not always suitable in a scenario under which engagement needed to consider conflict resolution and indigenous land rights. The IP did however develop PIC guidance for the future expansion of the PA network.

Human-rights were mainstreamed through promoting and securing land for gazettelement as CF, within which collaborative management by and with local communities can occur. In addition, the CBPA Law now supports the designation of Community Protected Areas (~IUCN ICCAs). This was a major advance in collaborative management of natural resources in Myanmar, which was a direct result of the project.

On a central level, biodiversity conservation was mainstreamed through: support to the NBSAP; and species and ecosystem data incorporated into IUCN Red Lists (which help define national conservation priorities.)

¹⁰⁰ GEF-5 Core Outputs for Objective 1 - Sustainable financing plans; New PAs & coverage of unprotected ecosystems / threatened species. Objective 2 - Policy & regulatory frameworks; National & sub-national land-use plans that incorporate biodiversity & ecosystem services valuation; Certified production landscapes & seascapes.

4. SUSTAINABILITY

The overall rating is that sustainability is **Moderately Unlikely**¹⁰¹

4.1. Financial Risks to Sustainability

The rating is 'Financial Sustainability is Moderately Unlikely'

The project concerned expanding the PA system, thus financial sustainability is partly based on this. The 21 PAs under active management have a funding gap of US\$3m per year in equipment, infrastructure and conservation operations. Furthermore, to create and maintain an ecologically-representative network of PAs, would require an extra US\$11.7m per year (Emerton, 2019). The projected project figures are much higher, with an annual 'financing gap', if the terrestrial PA area is to be taken as 17%, of US\$28.9m needed.

Whilst PA management plans have been produced for the project PAs, financial planning is not aligned nor are sufficient funds available or being allocated. The one or two exceptions, are PAs such as TMT WS, where WCS involvement is set to continue in a fairly extensive way, subject to their own fund-raising ability. Thus, WCS expects to be able to maintain the level of Smart patrolling at TMT WS equivalent to 2/3rd of its project level. The Htamanthi Training & Research Centre will also continue to receive WCS support once the project closes. WCS also prioritizes the four project PAs as field sites for long term conservation actions. Concerning, the PAMSCs generally, there is little extra GAD budget post-project, and so these could end up being in name-only. However, WCS has committed to secure additional finance to support this institutional mechanism in Sagaing Region, but it is the Putao PAMSC, that also especially needs technical and financial support.

For donor projects, 2020 is a significant planning year. There is an upcoming World Bank PA and tourism project (~US\$100m loan + EU €25m grant). DfID¹⁰² have regional funds for a forest law enforcement, governance & trade project (£350m for FLEGT)¹⁰³. There is a GEF-7 (PIF stage) project planned for CF management. Other smaller opportunities include the UNOPS / UNDP Small Grant Program, and the Critical Ecosystem Partnership Fund. Whilst the MBF has only just been established, WCS has secured some funds for it from AFD. UNDP are committed to work with MBF for their first few years. MBF provides a good opportunity to increase biodiversity revenues, through for example endowment funds. The Environmental Management Fund (EMF) is a government-managed facility, however under ECD leadership there has been no activity, and for instance, it has not been able to access GCF funds to begin operating as a small grant facility.

Re-establishment of Natural Habitat (2019-28, RNH)

The government system of financing PAs, recently came under the added remit of a new 10-year program – 'Re-establishment of Natural Habitat (RNH)'. RNH funds, which are for conservation activities, (and not recurrent staffing costs) were dispersed to PAs for the 1st time for the 2019-20 financial year. There are RNH plans for KKBR NP, HKV WS, and TMT WS but there isn't as yet a plan for PKR WS. The RNH budgeted plan for KKBR NP amounts to ~\$41,000 / year. The issue with the RNH plans for the Kachin PAs, is that there is little or no access, so for example, the 2019-20 funds for KKBR NP will mostly 'return' to central government¹⁰⁴. US\$16,000 was released which is far less than the plan budget¹⁰⁵. Under the RNH plan for HKV WS, the main activities are: patrolling and wildlife corridors, but again, the issue is funds forgone as they can't be spent at present. Under RNH, TMT WS, expects to patrol at ~10% of its GEF project level, meaning it will need to focus on key locations and alternate month patrol patterns. Also, it expects its community guard and guardian schemes to be folded. Fortunately, WCS are confident of securing a certain amount of funding for TMT WS and are committed to the conservation actions there.

The RNH Plan for KKBR NP (2019-28, pp57) has 12 chapters. The budget in 10 sections amounts to US\$413,000 [619.4 m kyats] (~\$41,000 / year). Its activities include: a/ restoration of original habitat (9.1 m kyats); b/ conservation activities (583 m kyats); and c/ procurement (27.4 m kyats). Under 'a', activities include tree planting and salt licks. Under 'b' activities include signboards, establishing a medicinal plant park (3 m kyats), patrol,

¹⁰¹ Sustainability is considered to be the likelihood of continued benefits post GEF funding. Under GEF criteria each sustainability dimension is critical, i.e. the overall ranking cannot be higher than the lowest one.

¹⁰² UK Department for International Development

¹⁰³ Figures are not verified. FLEGT is an EU programme – Forest Law Enforcement, Governance and Trade

¹⁰⁴ No access on-site in the PAs, but there is access to Putao Town (where the KKBR NP and PKR WS offices are currently located) and Myitkyina State City

¹⁰⁵ 24m kyats was released which is far less than the plan budget. (*pers. comm.* with the warden)

awareness, dissemination, bird watching, data analysis, Takin & Red Panda survey, nature-based ecotourism opportunities, training, herpetofauna survey, and botanical survey. Under the RNH plan for HKV WS – the main activities are: patrolling, wildlife corridors¹⁰⁶, salt licks, awareness, camera traps, boundary pillars, signboards, forest restoration. But again, one issue is funds forgone as they can't be spent at present.

Lastly, to note, as a result of the RNH program, and individual PA management plans, there is now a much stronger link between government PA staffing budget and PA conservation management needs, albeit with funds still limited. This was one of the barriers mentioned in the prodoc.

4.2 Socio-economic Risks to Sustainability

The rating is 'Socio-economic Sustainability is Moderately Likely'

The land law is in the process of being updated, with the expectation that district-level land use committees can be established to support LUP and land tenure applications. It is unknown how this could affect the designation of land to forest estate, with a view to making it PA, CPA or CF, because at present such designation is on a fast-track which is being run from a high-level of government. This is good for biodiversity conservation and climate change commitments, but making the process inclusive for sustainable livelihoods could be seen as an issue. This is because securing land for biodiversity as its primary function, means that the basic living agriculture lifestyle is curtailed, which in turn means that alternative (and very different) income streams need to be developed. The obvious one is eco-tourism, that somehow is not controlled or profited by outsiders. The need to raise agriculture productivity on existing farmland is therefore paramount, as is the provision of societal benefits, such as schools, health posts, roads, internet connectivity etc. This means that whilst, the 'best-practice' governance model for biodiversity areas is one of 'co-management', it needs to re-visit the integrated conservation & development model, where 'development' is provided in return for limiting 'right of access' and 'right of use' to the conservation area.

4.3 Institutional & Governance Risks to Sustainability

The rating is 'Institutional & Governance Sustainability is Moderately Likely'

There have been a number of significant political shifts in recent years, all of which are on-going. These are changing from a military to a democratic government, from an armed internal conflict to a peace process, and from a closed to an open economy. Access to and control of land and natural resources is a prominent issue, thus recent laws such as those for land management, forestry and conservation are sensitive.

Myanmar remains in transition from military to democratic rule. Communities have been empowered over the last 10 years or so. There has been recent progress in the peace process and the political stance of ethnic groups, which has been a sticking point since the 2011 breakdown of the 17-year military - KIO ceasefire. However, some leaders still have a post-colonial mindset, meaning that whilst there has been some progressive change in government, certain ideas or lessons are still not reaching the FD. Despite this, government is committed to biodiversity conservation, and for example, they are proud of the designation of TMT WS as an ASEAN Heritage Park.

Concerning the governance of land, the legal side and expectation of ILCs, has progressed rapidly and significantly, during the project and as a result of the project. ILCs expect land rights, and in terms of community land for forestry and biodiversity, these have happened – Forest Law (2018) with CFs, and the CBPA Law (2018) with CPAs. In drafting the CBPA law, the term indigenous was not preferred but rather 'local', which is more encompassing, but less focused on 'traditional / indigenous' rights. The CBPA law (2018) and regulations (draft, 2018), refer to Local CPAs.

However, the conservation and donor community are also still making significant mistakes. The UNESCO KKBR Landscape WHS proposal, was without ILC support and proved to be insensitive. The UNDP GEF-6 Ridge to Reef conservation project (with another conservation NGO), also stalled at onset, as ILC were not consulted¹⁰⁷. These were two classic examples of UN agencies and conservation NGOs promoting community approaches, but not practicing them, basically because of a lack of understanding the need for social engagement expertise¹⁰⁸. In the

¹⁰⁶ Source - HKV WS Management Plan, which was prepared with WCS support

¹⁰⁷ GEF-6 Tanintharyi mangrove forest project – The UNDP – FFI project was announced without consulting with the communities and the Karen National Union. i.e. the ILCs were not engaged to the point of 'clear agreement'.

¹⁰⁸ The WHS proposal was managed by UNESCO consultants, not WCS.

former case, the CBPA – CPAs came out of it, as did guidelines for ‘prior informed consent’ concerning the establishment of PAs. In the process, an improved co-management approach was added to the conservation toolkit. Thus, the project (UNDP, WCS and the government) found a way forward which certainly was an achievement. However, a balance in the governance of land through a new land law has yet to be achieved. i.e. a balance between sustainable livelihoods and sustainable management of natural resources (biodiversity).

The project instigated the PAMSCs, which once set-up, took on a highly political life in Kachin and petered out in Sagaing¹⁰⁹. Their value to conservation is high, especially as a mediation platform, in the use of and designation of land needed for biodiversity conservation, and linkage to the other development needs of communities. However, they need significant outside support to maintain their direction.

PAs need to remain the responsibility of NWCD, with new PAs listed under the World Database on Protected Areas (WDPA)¹¹⁰, and with new data shared with CBD’s Clearing House Mechanism. Further support is needed to identify, document and delineate KBAs. This can be coordinated through the national KBA group.

4.3. Environmental Risks to Sustainability

The rating is ‘Environmental Sustainability is Moderately Unlikely’

Whilst, the government appears to have relatively stopped major environmental damage to the project PAs, issues remain in Kachin. For example, HKV WS had an extension approved in 2010, but has not been managed effectively since, and particularly since 2018. There has been a lack of political willpower to intervene during such a ‘civil conflict’ period. However, the issue is more one of expanding the PA network, so that sufficient habitat is secured for viable populations of wildlife and their dispersal / migratory needs.

The Ecosystems Red List data can be used to inform the next National Biodiversity Strategy & Action Plan (NBSAP) for 2020-30. However, such new conservation areas (KBAs, PAs, OECMs – CPAs, CFs, Peace Parks etc) still need to be integrated into local development planning (spatial, socio-economic and property rights – land title, resource access & use.) The changes in the legal system in Myanmar, now need to be complemented and supported by mature institutional mechanisms and improved communication between the FD and ILCs.

5. IMPACT & CATALYTIC EFFECT

5.1. Impact

The overall rating for impact is **Significant**. The capacity and tools for biodiversity conservation have been developed at the central level.

Reduction in stress on ecological systems

The stress on ecological systems remains high. Staffing and law enforcement remain low within most PAs. Ecological stress was reduced at TMT WS, primarily due to ILC consensus-building on the biodiversity value of TMT WS. This was then backed-up by patrolling and staffing on the ground, with awareness-building, and recently, the co-management of natural resources in the areas around TMT WS, in the form of CFs being designated. TMT WS is becoming an effective (model) PA with increasing populations of Red List Endangered species, although as these populations increase, the threats to them will increase, hence the need to secure adjacent (buffer) conservation-friendly land, such as the CFs. Despite this, external threats from gold and jade mining remain substantial across the project PAs in both Kachin and Sagaing. The CBPA law without enforcement and political willpower, will not stop this damaging self-interest.

In the same way, at the three PAs in Kachin, due to conflict (for reasons given elsewhere), there was a lack of patrolling, insufficient consultation with sensitive / politicised communities, and a lack of a co-management approach. The approach has now been identified and largely legislated for, i.e. CPAs, thus the process of biodiversity conservation can move forward again, and hopefully skirt around or finesse those using politics for self-interest. Both CF and CPAs are a major step forward in the country developing a PA system, with the ability to create community collaborative responsibility for areas of adjacent habitat, providing a buffer and dispersal / migratory element for wildlife populations.

Concerning forest cover, the project used the Global Forest Watch tool, which is more applicable to national

¹⁰⁹ Although planned to re-continue in Sagaing in later 2020, after the coronavirus threat has subsided

¹¹⁰ Managed by the World Conservation Monitoring Centre (WCMC) – see IUCN Protected Planet portal

planning, as its sensitivity towards habitat quality and ecological integrity are insufficient. This is where, the national take-up of Smart patrolling methods has a key role to play, but without law enforcement, the gains won't be made. This is especially true, once hunting has been stopped, but land conversion is not tackled. Land conversion is in a range from legal (which shouldn't have been sanctioned, but now need licences to be withdrawn), to disputable (which need the government to prosecute on behalf of the public), to illegal (which should be clearly punishable).

Regulatory & policy change at national and local level

Policy change flows internationally from the 2016 UNFCCC Paris Agreement and the CBD 2011-20 Aichi targets. Nationally there is the 2015-20 NBSAP, with the next under preparation. Regulatory change has been achieved, notably under the CBPA Law. The government is committed to expanding its PA network and in line with the Red lists for ecosystems and selected species groups developed under the project. The CBPA and forest laws together, indicate a clear and significant shift towards collaborative management of natural resources with ILCs. However, the policy to enforce the cessation of other legal / illegal resource exploitation activities, primarily mining, now lags behind, and the government willpower to prosecute through the legal system has not been tested. In this respect, ECD under MoNREC is under weak leadership, and local GADs are not being steered in this direction by central government¹¹¹. The land law lags behind in development. Obtaining tenure for agriculture land from DALMS is difficult and slow. Customary rights are not clear. DALMS themselves are under pressure to provide leases for larger 'business' – i.e. mining enterprises.

5.2. Catalytic Effect

Theory of Change

Parameter	Pathway (Component 1 – PA Framework)	(Component 2- in-situ PA Management)
Concept	Biodiversity conserved via enhanced PA policy, legal, institutional, and financial system	Conservation approaches demonstrated through PA management tools
Root causes & threats	Limited PA coverage. Limited capacity & finance. Not enough PAs under effective management. Weak biodiversity law and enforcement	Uncontrolled exploitation of natural resources PA administrations weak - lack of staffing, or standardised methods
Solution (Input to Output)	Build PA capacity nationally (academic, vocational, and on-the-job with the FD)	Evidence-based (Smart-patrolling) with legal enforcement of PA laws
Outcome required	Revised legal systems - New biodiversity law Conservation by consensus – Change in legal status to include communities in co-management approaches (CF, CPA)	Stop hunting & build wildlife populations Best practices in co-management tested and adopted. Capacity built
Result	PA coverage assessed via new Ecosystems Red list CPAs (~ICCAs) as a new tool legislated for within new biodiversity law PA sustainable financing still required	Smart patrol system, staff training, infrastructure, better outreach CF methods adopted to secure PA boundary
Impact	New PA legislation and tools to expand PA areas with community approaches	Hunting threats reduced. Action still needed on natural resources exploitation from mining

Scaling-up and Replication

There were a few examples of scaling-up and replication:

- PA expansion has continued, which was one of the primary objectives of the project and government. For example, Sagaing government plans to establish 5 new PAs in 2020.
- PAMSC institutional mechanism was replicated by Sagaing government for management around Alaung Daw Kathapa NP
- WCS and Sagaing FD are in discussion to support a PAMSC in Monywa, Sagaing Region in May 2020
- TMT WS was scaled-up in terms of its to regional importance to biodiversity, with its designation of as an

¹¹¹ This TE view which was consolidated from key informants, and meeting the ECD leadership, was not shared by UNDP, who felt that 'ECD's leadership is widely perceived as progressive with impact. For example, there are a number of new policies / regulations prepared & approved under the remit of ECD'.

ASEAN Heritage Park (2019). This was an unintended result and a significant achievement by the project¹¹².

- There are on-going discussions with NWCD to support future training in collaboration with WWF via the creation of a Wildlife Ranger College

Demonstration

- The project demonstrated use of appropriate tools (IUCN Red list for Ecosystems and for selected species groups) for the expansion of the PA network – with a new institutional set-up, namely the Key Biodiversity Areas (KBA) Coordination Group
- The application of CF as an appropriate co-management approach for ‘securing’ natural resource management around the external periphery of PAs
- PA Management Plan and PA Business Plan

Production of a new technologies /approaches

- Smart patrolling and its use as a law enforcement tool, now taken up nationally
- CPAs (~ICCAs in some other countries) as a similar co-management approach
- Use of Global Forest Watch to (relatively quickly and easily) monitor changes in forest cover at the PA scale
- PAMSC a new cross-sector institutional mechanism embedded in local government
- Myanmar Biodiversity Fund – as a new conduit for conservation financing

6. CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions & Lessons Learned

Myanmar missed out on GEF 1 - 4 funding cycles, with this project under GEF-5, being its first in biodiversity conservation. It also meant that it missed out on gaining experience in three generations of conservation approaches, and thus needed to learn to move quickly through these gears - 1st gear – ‘Protection-only (‘fence & fine’) [1970s-90s] to 2nd gear - Integrated conservation & development (ICD) [1990s-2010s] through to 3rd gear - Collaborative management (co-management) [2000s-20s]. With this in-mind, the project was ably guided, under NGO implementation modality, which could be replicated for future projects.

The government and its civil servants are committed to PAs and sustainable land management, but it only has a partial array of methods to solve problems. In some cases, the law is lagging, such as the land law, in others it is an institutional (capacity, resources, funds) issue, but moreover when these factors are put in context of a new political system, then a herd mentality with a lack of direction and leadership can become apparent.

With the designation of PAs being sensitive, the government has learnt of the importance of ‘Other Effective area-based Conservation Measures’ (OECMs, from UN CBD - CoP 10, 2010), which provide options for both biodiversity conservation and as addition coverage for the ‘PA network’. They exist in-country already in the form of Peace Parks for example. They also provide another co-management option, in addition to CPAs for example. Furthermore, they are likely to add to the land coverage under the UNFCCC Paris Agreement NDCs, and the CBD post-2020 biodiversity framework.

The project appreciably added to the legal framework for the PA system and its expansion, with the passing of the CBPA Law (2012), and in getting a set of draft CBPA regulations before parliament by project end. The IP backed up the regulations with sets of guidelines for: Free & Prior Informed Consent - Standard Operating Procedures for PA development and / or PLUP; PA stakeholder engagement; and PA buffer zones. They also updated their PLUP guideline, called Village consultation process (VCP) & village land use zoning.

The project institutionalized, legalised and supported community and stakeholder participation in PA management. Apart from direct threat reduction through patrolling, this was the perhaps the most important aspect of the project. This was manifested in four ways, through an institutional structure, namely the PAMSC, two co-management approaches, namely CPA and CF and a pre-cursor village engagement process, which varied somewhat from PRA through to more advanced PLUP.

WCS’s relationship and trust in-country has been built-up over 25 years, and in TMT WS for last 15 years. The TMT WS Management Plan was prepared with public consultation. The project was engaged there for the last five

¹¹² The project prepared its nomination in 2017. The application needed to present arguments as to why the site should be regarded as the best example of a particular ecosystem

years which was a significant boost to conservation activities, with the project allowing a considerable focus on the ILCs themselves, especially as resource protectors. This resulted in CFs around TMT WS, in further protection of it, and as a wider safe dispersal area for wildlife.

More profoundly, the experience from implementing the project changed the government and WCS's approach to community engagement, consultation and collaborative management. From ethnic group / ILC opposition (albeit incited) to the expansion of KKBR NP, to legalizing a new co-management approach in CPAs, to beginning to garner ILC support (and acceptance) again in PLUP, to introducing such CPAs, the government and WCS found a clear road to achieving biodiversity protection. This work on a central level, involved Myanmar's first extended national consultation on a law, namely the CBPA law, its regulations and inclusion of CPAs, as a mechanism to recognize Indigenous Community Conservation Areas (ICCAs). This was undertaken as a direct result of the opposition to the KKBR expansion and associated UNESCO WHS proposal. Whilst, the PLUP / CPA approach was sharpened in Kachin, support for the CF approach in Sagaing progressed rapidly.

Community concerns remain regarding CF and / or CPAs. If they are treated, despite the 'community' labels, as forest-controlled estate, then opportunities for ILC co-management with responsibility may be lost. In which case, the country may be headed more towards (IUCN) OECM designations. This would be a pity, as both CFs and especially CPAs have a valuable role to play in conservation, carbon and sustainable livelihoods. In the case of the KKBR Landscape WHS proposal, the route may be longer – to demonstrate CPAs elsewhere, before returning to the KKBR NP – PKR WS area, to practice, and then in some years' time, to suggest again the benefits of an over-arching WHS structure.

6.2. Recommendations

The recommendations are listed with the responsible party identified in brackets.

1. The GEF project formulation stage in Myanmar is to contain an addendum concerning appropriate community engagement methods, which are sensitive to indigenous & local community (ILC) land use issues. This should be prepared ahead of GEF-7 natural resource projects under consideration [UNDP and GEF with MoNREC]
2. Prepare a short guideline on the decision-making process for proposing a CPA, or CF, (or OECM) as a co-management strategy outside a PA. i.e. in the merits of guiding biodiversity conservation. When to choose which option, in which setting, and for what purpose [NWCD with WCS]
3. The PAMSC mechanism in Putao needs special attention, with regard to its operational procedures and the funding of meetings [NWCD with WCS]
4. There needs to be a continued close relationship with particular Literature & Culture Associations in the Kachin State in the project PA areas, especially with the Rawang and Lisu Peoples [NWCD via the GAD-led PAMSC in Putao, with WCS support]
5. Pilot the CPA process, in 2-3 areas including outside and inside the KKBR landscape [NWCD and WCS]
6. Ensure that the co-management process is inclusive of all ILC groups. The Chin People around the west of TMT WS (Sagaing) need to be engaged in CF, not just the Shan People [Khamti and Homalin FDs with WCS]
7. The Lisu People in the KKBR landscape area who have been approached with regard to CF designation, need further information, as to if CPA is more appropriate than CF, especially bearing in mind the Rawang People are now looking at CPAs at the best option in this area. The approaches need to be reconciled and / or harmonized [NWCD with WCS] – see also point 2.
8. The conservation donor community and MoNREC / FD need exposure to the lessons learned and best practices of this project, with regard to co-management approaches (including participatory land use planning) and how to approach sensitive land issues. This applies in particular to upcoming World Bank, EU, DfID and UNDP projects. For example, the Executive Summary should be prepared in Myanmar language and distributed to MoNREC / FD [UNDP with WCS]

7. ANNEXES

Annex 1: Delivery of Project Objective and Outcomes against Performance Indicators

Assessment Key:

Green: Completed / Achieved

Yellow: On target to be completed / achieved

Red: Not on target to be completed / achieved

Extracted from TE TOR (SRF dated March 2019)			IP to fill out this column with detail text on achievement	TE team	TE team fills out																		
Indicator	Baseline	End of Project target	2019 End term Level & Assessment	Achievement Rating	Justification for Rating																		
Objective: Strengthen the terrestrial system of national protected areas for biodiversity conservation through enhanced representation, management effectiveness, monitoring, enforcement and financing																							
<div>Indicator 1: coverage of Myanmar's terrestrial and aquatic PA network managed by the FD as indicated by increased coverage of under-represented ecoregions (see inset table)</div> <table><tr><th>Ecoregion</th><th>Baseline (2014)</th><th>EoP Target</th></tr><tr><td>Irrawaddy dry Forest</td><td>0.45%</td><td>3.0%</td></tr><tr><td>Irrawaddy moist deciduous forest</td><td>1.82%</td><td>3.0%</td></tr><tr><td>Kayah-Karen montane rain forest</td><td>0.60%</td><td>1.5%</td></tr><tr><td>Myanmar Coast mangrove</td><td>0.92%</td><td>3.0%</td></tr><tr><td>Nujiang Langcang Gorge alpine conifer and mixed forest</td><td>0.00%</td><td>3.0%</td></tr></table>	Ecoregion	Baseline (2014)	EoP Target	Irrawaddy dry Forest	0.45%	3.0%	Irrawaddy moist deciduous forest	1.82%	3.0%	Kayah-Karen montane rain forest	0.60%	1.5%	Myanmar Coast mangrove	0.92%	3.0%	Nujiang Langcang Gorge alpine conifer and mixed forest	0.00%	3.0%	5.6% coverage (3,788,697 ha) of Myanmar’s terrestrial and aquatic ecosystems	6% coverage (4,059,462 ha) of country land area	45 Designated PAs (3,959,315 ha) – 5.85% Coverage 23 Proposed PAs (1,206,675 ha) – 1.78% Coverage Several proposed PAs are likely to be gazetted before June 2020 following final cabinet approval. Additional areas are likely to be protected through OECMs In relation to Ecoregion EoP targets possible before June 2020: Irrawaddy Dry Forest – expansion through OECMs – Bagan World Heritage Site Irrawaddy moist deciduous forest – expansion through Maharmyaing Wildlife Sanctuary and Zalontaung National Park Kayah – Karen Montane rain forest – expansion through OECMs – Salween Peace Park Myanmar Coast Mangrove – expansion through OECMs – multiple Marine Management Areas in Taninthayi and revised management of Forest Department Reserve Forests. Nujiang Langcang Gorge alpine conifer and mixed forest – expansion through Eimawbon National	S	Whilst the target was expected to be reached, the target appeared to be very conservative
Ecoregion	Baseline (2014)	EoP Target																					
Irrawaddy dry Forest	0.45%	3.0%																					
Irrawaddy moist deciduous forest	1.82%	3.0%																					
Kayah-Karen montane rain forest	0.60%	1.5%																					
Myanmar Coast mangrove	0.92%	3.0%																					
Nujiang Langcang Gorge alpine conifer and mixed forest	0.00%	3.0%																					

<div>Tenasserim-south Thailand semi-evergreen rain forest</div> <div>5.16%</div> <div>25.0%</div>			<div>Park</div> <div>Tenasserim-south Thailand semi-evergreen rain forest – expansion through OECMs – Karen LCPAs but unlikely to reach target</div>																	
<div>Indicator 2: Habitat conditions at the target sites indicated by percentage change in forest cover measured through remote sensing during the project¹.</div> <div><table><tr><th>Protected Area</th><th>Baseline forest cover⁷⁵ (% change / year)</th><th>Target forest cover (% change / year)</th></tr><tr><td>Hukaung Valley Wildlife Sanctuary</td><td>0.95%</td><td>0.5%</td></tr><tr><td>Hkakaborazi National Park</td><td>0.95%</td><td>0.5%</td></tr><tr><td>Hponkanrazi Wildlife Sanctuary</td><td>0.95%</td><td>0.5%</td></tr><tr><td>Htamanthi Wildlife Sanctuary</td><td>0.95%</td><td>0.5%</td></tr></table></div>	Protected Area	Baseline forest cover ⁷⁵ (% change / year)	Target forest cover (% change / year)	Hukaung Valley Wildlife Sanctuary	0.95%	0.5%	Hkakaborazi National Park	0.95%	0.5%	Hponkanrazi Wildlife Sanctuary	0.95%	0.5%	Htamanthi Wildlife Sanctuary	0.95%	0.5%	See inset table for baseline annual rate of change in forest cover by PA	See inset table for target annual rate of change in forest cover by PA	<div>Hukaung Valley Wildlife Sanctuary 0.0604%</div> <div>Hkakaborazi National Park 0.0007%</div> <div>Hponkanrazi Wildlife Sanctuary 0.0032%</div> <div>Htamanthi Wildlife Sanctuary 0.0000%</div> <div>All data available online: http://myanmar-geotools.appspot.com</div>	S	The annual % loss figure was not easy to put in context over the project period. Whilst Global Forest Watch data was being used, it would have been useful for the IP to have undertaken a verification exercise
Protected Area	Baseline forest cover ⁷⁵ (% change / year)	Target forest cover (% change / year)																		
Hukaung Valley Wildlife Sanctuary	0.95%	0.5%																		
Hkakaborazi National Park	0.95%	0.5%																		
Hponkanrazi Wildlife Sanctuary	0.95%	0.5%																		
Htamanthi Wildlife Sanctuary	0.95%	0.5%																		
<div>Indicator 3: Financial Sustainability of PA System (measured through Financial Sustainability Scorecard)</div>	Financial Sustainability Scorecard score (October 2013) 15%	Financial Sustainability Scorecard score 25%	Financial Sustainability Scorecard score (December 2019) 42%	S	The method is subjective, but doesn’t indicate if the PA system is close to financial sustainability															
<div>Indicator 4: Number of direct project beneficiaries of which 50% are women</div>	0%	<div>No. of government staff who improved their knowledge and skills on management and threat reduction due to the project (160M, 160F 50%)</div> <div>No. of local people in project areas benefiting from engagement in conservation activities and improved livelihoods (5600M, 5600F 50%)</div>	<div>No. Government Staff 413M, 87F 17% were women</div> <div>No. of local people 10,507M, 13,165F 56% were women</div>	S	The project made a significant effort to engage with government staff and communities, but everyone underestimated the extent of engagement that was really needed to head off vested (self-) interests – legal and illegal economic factors															

¹ Baseline rates of change in forest cover are not available for the four PAs. The national average rate of 0.95% has therefore been used as a proxy, although local rates will vary. The baseline rates for the demonstration PAs will be updated based on the official 2013 forest cover map due for publication by 2015.

Outcome 1: Enhanced systemic, institutional and financial frameworks for PA expansion and management					
Indicator 5: Legal status enabling local people to use and benefit from sites within Protected Areas put in place and implemented.	Local people have no legal use rights and in PAs, PA buffer zones vary in location and legal status	Legislation passed and zones developed to enable local use of land within PAs with appropriate safeguards.	<p>CBPA Law 21 May 2018 – created a new PA category – Local Community Protected Area; and defined Buffer Zone in relation to community development and ecotourism</p> <p>CBPA Rules (Submitted January 2020 for Cabinet Review) – Additional clarification for the development of Local CPA and the relation of local rights to Buffer Zones as well as the use of FPIC in future PA development</p> <p>Draft FPIC Standard Operating Procedures in relation to PA development is in discussion with NWCD</p> <p>Draft Guidelines on PA Buffer Zones in discussion with NWCD</p> <p>Draft Guidelines on Community Participation in relation to PAs in discussion with NWCD</p>	HS	A new CBPA law was supported as was the drafting of CBPA regulations – these included CPAs
Indicator 6: institutional capacity of the Forest Department for the PA system planning and management as indicated by the Capacity Development Scorecard (Combined average for NWCD, Sagaing Region FD, Kachin State FD, the Training and Research Development Division and the Planning and Statistics Division)	<p>Baseline average of 56% (range: 48% to 65%)</p> <p>No formal training courses on PA management are available in Myanmar</p>	<p>67%</p> <p>Certificate-level Wildlife Conservation and PA management modules are incorporated into regular curricula for these groups: 1. Nature and Wildlife Conservation Division (NWCD), 2. University of Forestry and Environmental Science (UoFES), 3. Myanmar Forest School (MFS) and 4. Central Forestry Development Training</p>	<p>Final average: 62%</p> <p>Wildlife Conservation and PA Management curricula developed for NWCD, MFS and CFDTTC and used by UoFES in the development of the 4th Year Biodiversity and Protected Management trainings.</p> <p>Ongoing discussions with NWCD to support future trainings in collaboration with WWF and the creation of a Wildlife Ranger College.</p>	HS	The IP effort to upgrade the curricula for 4 institutions was good

		Centre (CFDTC) ¹			
Indicator 7: Piloted a feasible sustainable financing mechanism. 50% increase in total budget allocated to the protected areas in real terms compared to the baseline as indicated by the financial sustainability scorecard	No PA sustainable financing system US\$1,012,642 per year in Financial Scorecard for 2013-14	A Conservation Trust Fund is established 50% increase in budget allocated to the PAs compared to baseline	Myanmar Biodiversity Fund legally established in July 2019 – still needs to be capitalized US\$1,314,511 per year in Financial Scorecard for 2018-19 30% increase in budget allocated to the PAs compared to baseline	S	A mechanism was legally established. 30% increase in government budgeting
Indicator 8: Developed Red listed Ecosystem for PA expansion and network review	No national ecosystem information for comprehensive and representative PA gap analysis	Improved PA representation through gap analysis using national ecosystem information	In prep - Murray, N.J., Keith, D.A., Tizard, R., Duncan, A., Htut, W.T., Hlaing, N., Oo, A.H., Ya, K.Z., Grantham, H. (2019) IUCN Red List of Ecosystems of Myanmar. Report to the WCS. Final spatial calculations will be used to revise PA gap analysis, highlighting conservation priorities for threatened ecosystems.	HS	A major step forward in conservation planning and action
Outcome 2: Strengthened management and threat reduction in the target PAs and buffer zones					
Indicator 9: No. of business plan for PA developed and under implementation	No business plan of PA	Business plan of at least one model PA developed	Conservation Investment Plan drafted for Htamanthi Wildlife Sanctuary – still needs review and comments from NWCD	MS	The format of the plan needed adjustment
Indicator 10: Reduction of threats at the target sites as indicated by increase of patrol distance (km) and decrease of evidences of illegal activity (people, camps and hunting weapons) Stable or increased encounter rates for key indicator species in each demonstration PA based on annual summaries of Smart patrolling data and focused auditory surveys for gibbons.	See inset table for baseline patrol distance (km) and, encounters of people, camps and hunting weapons in 2015 and 2016 - Encounter rate of 2 Hoolock Gibbon groups/ km2 in Htamanthi WS. - 0.2 to 2.5 ungulate	See inset table for predicted annual target for patrol distance (km) and, encounters of people, camps and hunting weapons - Encounter rate of 2 Hoolock Gibbon groups/ km2 in Htamanthi WS. - 0.2 to 2.5 ungulate sign observations/ 100 km patrolled for all three	Final Patrol Rates Patrol Distance 19,473 km Total People Encountered 9 Total Camps Encountered 45 Total Hunting Weapons Encountered 51 Encounter rate of 3.01 Gibbon groups/km2 in Htamanthi WS 8.6 ungulate sign observations/ 100 km in Htamanthi WS	HS	It would have been HS, but the project needed to withdraw patrolling from the Kachin PAs

¹ To include SMART enforcement patrolling, biological monitoring of key ecosystems and threatened species, techniques for community-based conservation and environmental education at Central Forestry Development Training Centers. SMART (Spatial Monitoring and Reporting Tool) patrol system developed by WCS and partners globally is based on an established tool called Management Information System (or MIST). MIST allows rangers on field patrol to use handheld GPS devices to record geospatial and metadata information about encounters with poachers, snares, and other types of disturbance and encroachment in the protected area. Rangers also collect information about sightings or signs of key species they encounter. The field data is subsequently downloaded from the GPS device to a central computer where it is aggregated as a local and/or national level dataset. This compiled data gives PA managers and other conservation stakeholders an unparalleled 'big picture' view of where resources are most needed and where they can most effectively be deployed.

PA	Indicators	Baseline 2015	Baseline / PIR 2016	PIR 2017	EoP Target	sign observations/ 100 km patrolled for all demonstration site	demonstration sites.			
Htamanthi Wildlife Sanctuary	Patrol Distance (km)	4,196	6,133	116,193	130,000					
	Total People encountered	3,274	1,806	948	500					
	Total Camps encountered	33	29	31	20					
	Total Hunting weapons encountered	993	152	38	20					
Indicator 11: Management effectiveness of individual PAs covering 2,604,000 ha, indicated by the % increase in the METT assessment						Hkakaborazi National Park 51% Hponkanrazi Wildlife Sanctuary 12% Htamanthi Wildlife Sanctuary 49%	Hkakaborazi National Park 83% Hponkanrazi Wildlife Sanctuary 69% Htamanthi Wildlife Sanctuary 82%	Hkakaborazi National Park 48% Hponkanrazi Wildlife Sanctuary 49% Htamanthi Wildlife Sanctuary 64%	MS	The effort focussed on wardens who were replaced.
Protected Area		METT Baseline Score	METT Target Score							
Hukaung Valley Wildlife Sanctuary (1,737,300 ha)		52%	82%							
Hkakaborazi National Park (381,200 ha)		51%	83%							
Hponkanrazi Wildlife Sanctuary (270,400 ha)		12%	69%							
Htamanthi Wildlife Sanctuary (215,100)		49%	82%							
Indicator 12: Community and stakeholder’s participation systems piloted at demonstration PAs and landscapes, and incorporated into management plans						No existing systematic measures for community participation at demonstration PAs	Community and stakeholder’s participation systems piloted at demonstration PAs and landscapes, and incorporated into management plans	Community and stakeholder’s participation systems piloted at demonstration PAs. Incorporated into Htamanthi WS Management Plan – currently under review from NWCD	HS	A very high effort, but was somewhat undone by: 1/ vested interests in Kachin; 2/an under-estimate of the engagement and empowerment needed in communities
Indicator 13: Number of knowledge products reflecting best practices and lessons learned documented and disseminated for scaling-up.						n/a	Reptile, Bird and Mammal National Redlists	Reptile, Bird and Mammal National Redlist still being collected from related experts will be finished before EoP	HS	The knowledge products lead the field in conservation in

		<p>Ecosystem Redlist</p> <p>PA Representation Document</p> <p>NWCD Curricula for Biodiversity and Protected Area management</p> <p>UEAFS Curricula for Biodiversity and PA management</p> <p>MFS Curricula for Biodiversity and PA management</p> <p>CFDTC Curricula for Biodiversity and PA management</p> <p>Draft Conservation Biodiversity and PA Rules</p>	<p>Ecosystem Redlist Drafted. Finished before EoP</p> <p>PA Representation Document waiting for finalized red lists. Finished before EoP</p> <p>NWCD Curricula for Biodiversity and Protected Area management – Finished</p> <p>UoFES Curricula for Biodiversity and PA management – contributed to</p> <p>MFS Curricula for Biodiversity and PA management – Finished</p> <p>CFDTC Curricula for Biodiversity and PA management - Finished</p> <p>Draft Conservation Biodiversity and PA Rules – submitted for final approval January 2020</p>		Myanmar
Indicator 14: Strategies	Limited Strategy Documents	<p>Government develops strategies for PA related capacity development & sustainable financing.</p> <p>The Project develops an exit strategy</p>	<p>Capacity Development for PA Management in Myanmar – Finished</p> <p>Sustainable Financing currently being draft finished before EoP</p> <p>Project Sustainability Plan and Exit Strategy currently being revised based on UNDP comments</p>	MS	~ a training needs assessment

Note – the framework presented above is the approved version from March 2019. It contains some differences from the version in the prodoc

Annex 2: Delivery of Outputs

Outputs	Achievements Reported by IP	TE Comment
Project Objective:		
Outcome 1:		
Output 1.1: Strengthened national policies relating to PA management and biodiversity conservation	<p>CBPA Law 21 May 2018 – created a new PA category – Local Community Protected Area; and defined Buffer Zone in relation to community development and ecotourism</p> <p>CBPA Rules (Submitted January 2020 for Cabinet Review) – Additional clarification for the development of Local Community Protected Area and the relation of local rights to Buffer Zones as well as the use of FPIC in future protected area development</p> <p>Draft FPIC Standard Operating Procedures in relation to PA development is in discussion with NWCD</p> <p>Draft Guidelines on PA Buffer Zones in discussion with NWCD</p> <p>Draft Guidelines on Community Participation in relation to PAs in discussion with NWCD</p>	A new CBPA law was supported as was the drafting of CBPA regulations – these included CPAs
Output 1.2: Capacity of the Forest Department strengthened for effective management of the PA system	<p>Management effectiveness was measured through METT. In Hkakaborazi National Park management effectiveness decreased from 51% to 48% because of increased conflict with local communities and changes in revised Conservation of Biodiversity and Protected Area Law and draft rules.</p> <p>Hponkanrazi Wildlife Sanctuary management effectiveness increased from 12% to 49% because of the addition of assigned NWCD staff to the protected area. Additional progress was restricted due to conflict with local communities</p> <p>In Htamanthi Wildlife Sanctuary management effectiveness increased from 49% to 64% because of the direct support of the project. Improving management effectiveness in the protected area was challenged by the regular rotation of senior PA management staff limiting continued understanding and capacity.</p>	Overall, the scores were significantly below target. The METT scores for the three PAs in Kachin, were affected by conflict and changes in senior staff – wardens in particular.
Output 1.3: Training Programmes targeting PA managers institutionalised within the Forest Department	<p>The final average of the capacity development scorecard is 62% based on the Combined average for NWCD, Sagaing Region FD, Kachin State FD, the Training and Research Development Division and the Planning and Statistics Division.</p> <p>Wildlife Conservation and PA Management curricula were developed for NWCD, MFS and CFDT and used by UoFES in the development of the 4th Year Biodiversity and Protected Management trainings.</p> <p>Ongoing discussions with NWCD to support future trainings in collaboration with WWF and the creation of a Wildlife Ranger College.</p>	The 4 institutes represented the differing entry & practitioner levels of conservation professionals. They were carefully selected.
Output 1.4: A system-wide strategy for sustainable financing of the PA network is developed and piloted for the expanded PA system	<p>There is strategy for sustainable financing currently being draft and will be available before EoP.</p> <p>The Myanmar Biodiversity Fund was registered in July 2019 and is now being promoted by MoNREC as an independent trust fund mechanism. The fund still needs to be capitalized.</p>	The MBF was a high standard achievement.

Outputs	Achievements Reported by IP	TE Comment
		A system-wide strategy remains to be found
Output 1.5: Sub-national government units associated with the four demonstration PAs incorporate PA values into regional and local development	MoNREC has developed Protected Area Management Support Committees at the State/Region, District and Township level. These were held in Kachin State and Sagaing Region with limited response from District and Township level but Sagaing Region has responded positively to the process and this is likely to continue if supported by external funding. This output was removed following the MTR	The PAMSC mechanism was and remains important, but lacks understanding and leadership
Output 1.6: National PA system expanded based on gap analysis for terrestrial ecosystems and PA network review	45 Designated PAs (3,959,315 ha) – 5.85% Coverage 23 Proposed PAs (1,206,675 ha) – 1.78% Coverage Several proposed PAs are likely to be gazetted before June 2020 following final cabinet approval. Additional areas are likely to be protected through OECMs. PA expansion has continued slowly during the project timeframe. Changed in the CBPA Law and Rules have raised the interest of local people to develop Local Community Protected Areas. Much of the largest areas of intact habitat are in areas of continued conflict. Recent development of OECMs such as the Salween Peace Park have raised new opportunities to conserve biodiversity through mechanisms outside the National PA system.	Limited PA expansion, highlighted by the change in target
Outcome 2:		
Output 2.1: Strengthening management through business plans for the four demonstration PAs	Conservation Investment Plan drafted for Htamanthi Wildlife Sanctuary – still needs review and comments from NWCD Business plans were reduced from 4 to 1 after the MTR. Written as Indicator 9: No. of business plan for PA developed and under implementation	The business plan needs peer review on its structure
Output 2.2: Demonstration PA site operations strengthened to address existing threats to biodiversity	Final Patrol Rates Patrol Distance 19,473 km Total People Encountered 9 Total Camps Encountered 45 Total Hunting Weapons Encountered 51 Encounter rate of 3.01 Gibbon groups/km2 in Htamanthi WS 8.6 ungulate sign observations/ 100 km in Htamanthi WS Sites were reduced from 4 to 1 after the MTR. Rewritten as Indicator 10: Reduction of threats at the target sites as indicated by increase of patrol distance (km) and decrease of evidences of illegal activity (people, camps and hunting weapons)	Threat ranking was presented in the PA profiles, but this was not followed up. The threat in TMT WS was reduced. The mining threat remains at all 4 PAs. The new CBPA law needs enforcement and ECD to play a stronger role

Outputs	Achievements Reported by IP	TE Comment
Output 2.3: Pilot systems developed and implemented for community participation at the four demonstration PAs	Community and stakeholder's participation systems piloted at demonstration PAs. Incorporated into Htamanthi WS Management Plan – currently under review from NWCD Following MTR rewritten into Indicator 12: Community and stakeholder's participation systems piloted at demonstration PAs and landscapes, and incorporated into management plans	High achievement with CPAs and CFs as co-management approaches, along with PLUP as a precursor
Output 2.4 Analysis of drivers and planning for forestry and wildlife law enforcement in Kachin State	This output was removed following the MTR because of multiple increased conflicts in Kachin State.	MTR should not have stopped this. Reporting on the drivers remained highly relevant
Output 2.5 Increased capacity for monitoring, assessing and reporting the impacts of improved PA management on ecosystems, key species, threats and local livelihoods	Following the MTR this Output was redesigned into Indicator 13: Number of knowledge products reflecting best practices and lessons learned documented and disseminated for scaling-up; and Indicator 14: Strategies.	Continuity in capacity is an issue for NWCD

Annex 3: Co-financing Table

Note – this table includes the GEF funding for the purposes of clarity

Sources of Cofinancing ¹	Name of Cofinancer	Description of Cofinancing	Type of Cofinancing ²	Confirmed at CEO Endorsement (US\$)	Expected Amount by Project Closure	New Investment or Recurrent Expenditure	% of Expected Amount
GEF, UNDP, Co-financing signatories	GFF	GEF	Grant	6,027,397	5,773,031	New	96
	UNDP ⁴	TRAC	Grant	6,350,000	9,519,768	New	150
	UNDP ⁴	Non-Core	In-kind/Grant	5,650,000	2,815,596	New	50
GEF, UNDP & Partner Sub-Total				18,027,397	18,108,394	n/a	100
Nat'l Government	Forest Department, NWCD	Government	In-kind	4,646,300	5,630,429	Recurrent	121
Other	NGO	Wildlife Conservation Society	In-kind / Grant	1,250,000	2,356,821	New	189
Total				23,923,697	26,095,644	n/a	109

- Sources of Co-financing may include: Bilateral Aid Agencies, Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Multi-lateral agencies, Private Sector, Other
- Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other
- Government funding was not audited by the project
- Excludes PPG
- UNDP funds Considered a complementary and non-direct:
 - Core (TRAC): Pillar I – 1,800,000; Pillar II – 2,449,201; Pillar III – 1,350,000; SIGU (2018-20 CPD) Ridge to Reef 219,921; UNREDD 45,933; CF in Dry Zone – 268,495; Governance – 1,843,015
 - Non-core: Pillar II – DRR, Output 1 & 2 – 814,246; NRM Output 2 – 908,298; PEI – 373,277; SIGU (2018-20 CPD) – UNREDD 111,845; CC Risk & Water Resilience (CF in Dry Zone) – 607,930

Annex 4: Planned Budget and Expenditures at End-term

Outcome (US\$)	2015	2016	2017	2018	2019	Total (US\$)
Indicative Breakdown of Project Budget in Project Document:						
Outcome 1	331,683	438,991	469,383	328,880	301,610	1,870,547
Outcome 2	895,419	798,214	768,613	681,603	729,423	3,873,273
Project Management	62,657	53,024	54,432	55,881	57,583	283,577
Total	1,289,759	1,290,229	1,292,429	1,066,365	1,088,616	6,027,397
Outcome	2015 USD	2016 USD	2017 USD	2018 USD	2019 USD	Cumulative to end Dec 2019
Annual Work Plan Budgets and Actual Expenditures Incurred through Endterm:						
Outcome 1:						
Annual Work Plan	76,910	210,502	482,755	534,756	566,913	1,871,836
Disbursed	60,629	594,501	440,302	541,418	522,184	2,159,034
Balance (AWP-Disbursed)	16,281	-383,999	42,453	-6,662	44,729	-287,198
Outcome 2:						
Annual Work Plan	196,380	728,881	960,823	1,416,572	759,204	4,061,860
Disbursed	179,242	291,827	830,379	1,349,807	746,353	3,397,609
Balance (AWP-Disbursed)	17,138	437,054	130,444	66,765	12,851	664,251
Project Management						
Annual Work Plan	21,845	46,571	25,096	27,018	52,937	173,467
Disbursed	23,070	26,528	46,390	59,387	61,012	216,388
Balance (AWP-Disbursed)	-1,225	20,043	-21,294	-32,369	-8,075	-42,921
Grand Totals:						
Annual Work Plan	295,135	985,954	1,468,674	1,978,346	1,379,054	6,107,163
Total Disbursed	262,941	912,857	1,317,071	1,950,613	1,329,550	5,773,031
Balance (AWP-Disbursed)	32,194	73,097	151,603	27,733	49,504	334,132

Note – End term taken as End December 2019, not end of project

Annex 5: Brief review of Sectoral plans, Technical reports, Training materials, Misc.**Contents**

- Project Board (PB) Attendance
- History of PB key decisions
- PAMSC meeting list
- How the project managed Risk
- Training data
- PA Gap Analysis
- Example Threat Profile for KKBR NP
- Some observations - community engagement in ethnic areas

Project Board Attendance

Q4 2016 – FD (Chair), UNDP (Co-chair), FD, NWCD x 3, Planning & Statistics Department, FD's Planning & Statistics Division (PSD), CFDTTC, ECD, WCS x 3, UNDP x 3 (16 attendees)
Q3 2017 - FD (Chair), UNDP (Co-chair), NWCD x 5, FD's PSD, ECD, WCS x 3, UNDP x 4
Q3 2018 - FD (Chair), UNDP (Co-chair), FD, NWCD x 4, PSD, FD's TRDD, ECD, WCS x 5, UNDP x 2
Q1 2019 – FD (Chair), UNDP (Co-chair), NWCD x 3, ECD, WCS x 6, UNDP x 3
Q3 2019 - FD (Chair), UNDP (Co-chair), FD x 2, NWCD x 3, WCS x 5, UNDP x 3
Q4 2019 - FD (Chair), UNDP (Co-chair), NWCD x 3, ECD, WCS x 8, UNDP x 3

History of selected key points / decisions by the Project Board

Date	Key Points	TE Comment
Q4 2016 (1 st meeting)	<ul style="list-style-type: none"> - Agreed to form the PCU and TAG - Approved AWPB 2017 	<ul style="list-style-type: none"> - 1st PB meeting held Nov 2016 ~ 17 mths after project launch - Who approved AWPB in 2015 and 2016?
Q3 2017 (2 nd)	<ul style="list-style-type: none"> - FD chair mentioned: Nat. Biodiversity Plan for 2020; how this project contributes to UNFCCC and CBD; the need to address livelihood activities where PAs exclude them - Dry season – field work; Wet season – policy work - No access to Hukaung Valley WS due to Kachin Independence Army (KIA) - Insufficient FD staff in Hponkanrazi WS limits activities - To buy a vehicle for Hponkanrazi for project activities - To support TRDD to transform Myanmar Forest School 9-mth vocational course to a 2-year diploma - To support NWCD to deliver a professional ranger training program in 2018 - To explore engaging CSOs to work between gov't / project and ethnic armed forces in Hukaung Valley - MTR planned in 2017 - For FD, UNDP and WCS to visit project sites and PAMSC meetings and meet with Chief Ministers 	<ul style="list-style-type: none"> - MTR planned already by time of 2nd PB meeting - The idea of employing a mediator was commendable, but unfortunately was not followed up -
Q3 2018 (3 rd)	<ul style="list-style-type: none"> - The project contributes to NBSAP - Responses to MTR considered - Two project staff to be hired to work at NWCD 	-
Q1 2019 (4 th)	<ul style="list-style-type: none"> - (Extra) vehicles to be delivered Feb 2019 - Pilot FPIC in PAs (using UNREDD method) - To develop SOP for Buffer Zone Management and CPAs - Revised logframe (in line with MTR) to go to GEF 	<ul style="list-style-type: none"> - Why weren't the appropriate number of vehicles bought at project start? - FPIC is interesting, but would REDD methods be appropriate? - Buffer zones are inside or outside PAs in Myanmar - Logframe was only sent to RTA
Q3 2019	<ul style="list-style-type: none"> - 5 vehicles to be transferred to FD at project close 	-

(5 th)		
Q4 2019 (6 th)	<ul style="list-style-type: none"> - Noted the project's significant contribution to CPAs - PAs are a major component for NDC to implement the Paris Agreement and the post-2020 Global Biodiversity Framework - 7 CFs supported around Htamanthi - CBPA Regulations submitted to MoNREC before going to parliament - Ecosystems Red list – to be published before end of project - To support designation of vacant / fallow land to Public Protected Forest with a view to CF gazettelement 	-

PAMSC Workshops and Meetings

February 22 2016 - Myitkyina, Kachin State - "Workshop on State Level Stakeholder Committee on PAs"
May 10, 2016 - Putao District, Kachin State - "Workshop on Site Level Stakeholder Committee on PAs"
February 18 2017 - Myitkyina, Kachin State - "Kachin State PAs Supporting Committee Workshop"
March 16 2017 - Putao District, Kachin State - "Kachin State, District and township level, Boundary management Support Team Workshop" - associated with the Hkakaborazi National Park southern extension
September 2017 - Public protests against World Heritage Nomination
November 16 2017 - Myitkyina, Kachin State - "Kachin State Natural Resource Management Auxiliary Workshop"
August 9 2018 - Myitkyina, Kachin State - "Kachin State Natural Resources Management Team Workshop"
Project reduced activities following this meeting
....
June 21-22 2017 - Monywa, Sagaing Region - "First PA Management Supporting Committee In Sagaing Region Workshop"
March 19 2018 - Monywa, Sagaing Region - "Second PA Management Supporting Committee In Sagaing Region Workshop"
April 28 2018 - Khamti, Sagaing Region - "First District PA Management Committee Consultation Workshop"
August 3 2018 - Khamti, Sagaing Region - "Second District PA Management Committee Consultation Workshop"
No PAMSC was conducted in 2019

How the project managed Risk

Selected risks from the IP 2019 Q1 Risk Table:

Description	Countermeasure / Management response	TE Comment	Date logged / updated / status	Probability & Impact (P&I)
Increased international illegal trade in wildlife and biodiversity drives demand at project sites	<p>Law enforcement & regular patrols - average 1 patrol per month in Hkakaborazi NP, No patrol per month in Hponkanrazi WS, 1 patrol per month in Hukaung Valley WS, and 7 patrols per month in Htamanthi WS have been conducted. Smart system has been applied to assess the effectiveness of patrols.</p> <p>Sometime, the cooperation with FD, Police Force and GAD, the special operation has been conducted for the illegal gold mine activity in the northern boundary of Htamanthi WS.</p> <p>WCS is coordinating with Kachin State and Sagaing Region PAMSC to explore means to reduce wildlife trade and trafficking</p> <p>In March 2019, Sagaing PAMSC has been held to reduce illegal trade threats on Htamanthi and other PAs in Sagaing Landscape.</p> <p>WCS will conduct wildlife trade survey in the environs of Htamanthi WS in May 2109.</p> <p>The government has also developed an Illegal Wildlife Trade Task Force in Sagaing Region and WCS has additional resources to increase support for capacity building (PIR 2019)</p>	<p>The illegal trade in NTFPs from KKBR WS across to China was not stopped by the project. After 2018, the project could not operate in the Kachin PAs, only in Myitkyina and Putao district town.</p> <p>The project effort to stop illegal wildlife crime (and less so land conversion) was integral to the project design and the <i>modus operandi</i> of the IP – WCS.</p> <p>Significant resources were allocated for Smart patrolling and associated actions – camera trapping and data analysis, including it being a significant component of the project’s development of conservation training curricula for 4 institutions</p>	<p>June 2015 March 2019 Increasing</p>	<p>P – KKBR 4; PKR 4; HKV 3; THT 3 I 3</p>
Political tension between gov’t & KIA limit ability to implement the project in Hukaung Valley WS	<p>Government has endeavored to bring all ethnic armed groups including Kachin Independence Army (KIA) to the national peace building process and national political dialogue platform but the progress has been slow. Project activities in Hukaung Valley have been seriously limited by ongoing conflict.</p> <p>The KIA have not signed the national ceasefire agreement and violence has escalated since the project was developed. Following the MTR, Hukaung activities were seriously reduced and all activities will end in Dec. 2019 (PIR 2019)</p>	<p>The project and FD was unable to operate under the radar due to the control of land by local KIA and vested interests / militias.</p>	<p>June 2015 March 2019 Increasing</p>	<p>P - HKV 4 I – HKV 4</p>
Shan National Army (SNA) was trying to enter Htamanthi WS which limits biological monitoring & patrolling	<p>WCS has coordinated with the network of Shan Literature & Culture Society to reduce any potential conflicts between SNA and the park.</p>	<p>By Feb 2020, this threat appeared to have dissipated. The issue is now post-project, with a reduced patrolling regime, if the law enforcement can be maintained</p>	<p>Jan 2018 March 2019 No change</p>	<p>P - TMT 1 I – TMT 1</p>
Heavy rains & flooding due to climate change limit activities	<p>To adapt to changing climatic patterns, field-based activities such as patrolling and wildlife surveys and monitoring have been accelerated in dry season (Oct - April) and policy / capacity building activities (workshops / trainings) have been organized in wet season (May to Sept).</p>	<p>The CC threat was not likely to be significant during a 5-year project cycle, with activities expected to be planned to account for monsoonal weather</p>	<p>June 2015 March 2019 No change</p>	<p>P - 3 I - 3</p>

FD and NWCD have many competing multilateral and bilateral activities	WCS has informed in advance to FD for all collaborative project activities to ensure the highest level of participation possible. The project has an open system for communication with government but meetings for PB, PCU are not conducted as often as planned due to competing time priorities	The project managed to build capacity in FD / NWCD, but the next generation of conservation professionals remain dependent on sufficient gov't funding and planning ability to rationalize key conservation work	January 2016 March 2019 Decreasing	P - 22 I - 3
Limited cooperation of other law enforcement agencies	FD and WCS have facilitated the coordination through Township/ State / Region PAMSCs. With support from WCS, FD (Sagaing region) led PAMSC, which was successfully held in Monywa in March.	The project established the important cross-sector 'gov't collaboration system of PAMSCs, but could have done more to guide and fund at the key meeting level, as opposed to more general workshops to establish them and raise awareness of their role	June 2015 March 2019 Decreasing	P - 2 I - 2
Limited trained government staff to implement activities	WCS and FD trainers have provided different types of trainings to park staff in project sites as well as national level. Smart patrolling and GIS application training was conducted at Popa Mountain Park as a national level from 11-21 Feb 2019. Updated curriculum about PA and Biodiversity Management for CFDTTC was submitted to FD in Feb 2019.	The training of conservation professionals and their skills (curricula) was well worked	June 2015 March 2019 Decreasing	P - 2 I - 2
Violent threats from residents towards FD and WCS in KKBR NP and PKR WS (Aug - Sept 2018) became strained at start of open season	Park Wardens reported to Kachin Director of FD in Myitkyina, Director of NWCD in Naypyitaw, Putao Township and District GAD and Putao Military Strategic Command. WCS discussed openly with Putao District GAD, Regional Myanmar Army and leaders of Rawang Literature & Culture Society in order to reduce risks. State councilor along with Union Minister for MoNREC, DG of FD, Director of NWCD visited Putao and Hkakaborazi NP to ease political and conservation issues in the region.	It was difficult to determine how much the IP could become involved in mediation (re. conservation approaches / efforts), when working so closely to gov't FD. Independent CSOs needed to be engaged in social consultation from project start. The IP missed an opportunity here, and was caught out with the lack of consultation on the WHS proposal	Oct 2018 March 2019 Resolved	P - KKBR 4, PKR 4 I 4
Ethnic tension between Chin & Shan groups for land use in Htamanthi WS	Apply participatory land use mapping Encourage legally recognized village land use Facilitate each group to mitigate tension	The project engaged Shan people in CF, but lacked a sufficiently inclusive approach to engage Chin people as well. However, the IP did well to utilize the CF approach to good effect around TMT WS	January 2018 March 2019 No change	P - 2 I - 2

Probability and Impact – both 1-5 scales: Probability: 5 Expected; 4 Highly Likely; 3 Moderately Likely; 2 Not Likely; 1 Slight. Impact: 5 Critical; 4 Severe; 3 Moderate; 2 Minor; 1 Negligible.

If impact is 4 or over and together with probability being 3 or over, then the significance of the risk is considered 'high' (red colour)

Hkakaborazi National Park – KKBR NP; Hponkanrazi Wildlife Sanctuary PKR WS; Hukaung Valley Wildlife Sanctuary HKV WS; Htamanthi Wildlife Sanctuary TMT WS

The project was designed under the UNDP Environmental & Social Screening Procedure (ESSP) with no significant negative environmental or social impacts identified. In fact, it was expected to result in major positive impacts for biodiversity and for indigenous & local communities (ILCs). Thereafter based on the MTR, such potential risks were updated based on the UNDP Social & Environmental Screening Procedure (SESP, 2016). This TE presents below an edited version, with the main risks separated out and commented on.

SESP (September 2018, updated December 2019)

Risk	Risk relates to	Countermeasure (inc. if ESIA is needed)	TE Comment	Impact, Prob., & Signif.
Human rights - Not all community members (women, vulnerable, minorities, disadvantaged groups) engaged in decisions on their land, culture and rights	Right holders i.e. community groups not able to claim their rights due to their own limited knowledge / capacity / power Duty bearers (central / local gov't, park authorities, FD) do not meet their obligations to deliver adequate services / legal protection, to the communities engaged in existing / proposed PAs. E.g. against illegal mining, forest extraction. The principal land threat is from external sources (logging, mining, extractive licences, land leasing)	In prodoc: - Developing relationships with local ethnic leaders to increase awareness, build trust and encourage participation in project activities to ensure that tension is limited - Design of project enables achievement of outcomes even if security situation in HKV WS seriously deteriorates, by the inclusion of 3 relatively secure PAs: KKBR NP, PKR WS and TMT WS. - In case of security issues, project could consider to support alternative PAs within upper tiger conservation landscape such as Natmataung NP and Rakhine Yoma Elephant Range	See risk table comment of TE	I=4 P=4 S - High
Human rights - Communities protecting their natural resources may be exposed to violence by logging / mining companies and others wanting to gain access	Areas are located in and adjacent to conflict with Ethnic Armed Organizations (EAOs), logging and mining companies	measures in prodoc: - Developing relationships with local ethnic leaders to increase awareness, build trust and encourage participation in project activities to ensure that tension is limited	The IP could only do so much at site level, when it also had a full calendar of activities in developing a comprehensive conservation system in-country	I=4 P=2 S - Moderate
Biodiversity Conservation - Possible negative consequences on endangered species / critical habitats if not planned or implemented correctly including insufficient enforcement of PA management rules	Insufficient enforcement and the management of natural forest areas through CFs.	The activities maximize the benefits of biodiversity conservation. The project will support land and resource tenure through the legal implementation of CF 30-year certificates resulting in management rights for communities organized through forest user groups.	The risk was that local communities would be alienated if excluded from PAs. This is needed (inevitable) in most cases (if biodiversity is going to be conserved), whereby the law & regulations need to, effectively get people out of the parks, and / or break their chain of resource use. Then the communities can be brought back in with co-management approaches – either within the PA boundaries or given greater access rights to resources around the PA in return for greater resource protection responsibilities – which is what the IP did via CFs and legislating for future CPAs	I=4 P=4 S - High

Displacement & Resettlement - Project interventions may result in economic displacement, and new land tenure arrangements	Legal implementation of PAs to stop illegal natural resource extraction and commercial sale will potentially adversely impact economic displacement. The management of natural forest areas through CFs. CF Certificates provide a 30-year management right for Communities as organized through Forest User Groups	The legal structure of PAs limit access to some natural resources especially the extraction of legally protected resources such as wildlife and medicinal plants and their commercial sale. The project will support improved resource management although there is an existing conflict with national laws. The project will support land and resource tenure through the legal implementation of CF certificates resulting in 30-year management rights for communities organized through forest user groups	The project improved the legal structure, but at site level CFs also now need to be supported as do future CPAs	I=4 P=3 S - High
Overall		Four risks of high or moderate significance	The risks were partly mitigated through best practice 'co-management' approaches to conservation, but the weight of illegal resource extraction, fuelled by power, money, military, and ethnic tensions, meant that the project ended as a strong demonstration of conservation, but with much to do in the future.	High Risk

Training Data

National Training

	Activity	Host Organizations	Participant		Participant - NWCD & FD		Participant - WCS		Location	Date
			Male	Female	Male	Female	Male	Female		
1	WCS Field Training	UoFES	57	13			2		Paunglaung Reserve Forest	16.12.2016 - 17.12.2016
2	First TAGPA meeting	NWCD, INGOs, NGOs							Amara Hotel	22.05.2017
3	Community-based Forestry Management Training	Comm. reps. of Kanpatlat, CFDT	19	4	6		2	2	Kanpatlat, Chin State	19.06.2017 - 23.06.2017
4	Training Workshop - Preparing National Red List of Threatened Species	IUCN, WWF, FD, WCS	9	7	3	7	4	2	Forest Research Institute, Yezin	24.07.2017 - 28.07.2017
5	Capacity Development Training for Wildlife Conservation	University of Forestry, Yezin	8	7			2	1	University of Forestry, Yezin	29.07.2017 - 30.07.2017
6	National Red list assessment training workshop, First meeting	NWCD, INGOs, NGOs	26	12	4	4	14	4	Amara Hotel	25.09.2017 - 27.09.2017
7	Consultation workshop on Sustainable Financing for protected areas	NWCD, INGOs, NGOs	10	7	1	1	5	3	Amara Hotel	12.12.2017
8	Protected Areas and Biodiversity Conservation Training	Forest School			93		5	5	Myanmar Forest School, Pyin Oo	27.10.2017 - 30.10.2017
9	Study Tour Program for University Students to Thailand (Fourth and Final year)	UFES, WCS	3	9				3	Thailand	2.11.2017 - 9.11.2017
10	Basic Wildlife Survey Short Training for Forth year student of University of Forestry	University of Forestry	72	16			2	1	Paunglaung Reserve Forest	16.12.2017 - 17.12.2017
11	Training of Trainers for Basic Wildlife Management Course	NWCD, WCS			14		4	3	Popa Mountain Park	14.4.2018 - 16.4.2018
12	World Biodiversity Day	Community, Students	55	40				3	Chon Monastery	21.05.2018
13	Basic Wildlife Management Course, Batch (1)	NWCD, WCS			33		4	3	Popa Mountain Park	4.6.2018 - 13.6.2018
14	Developing for Fouth year Biodiversity and Protected area text books	University of Forestry, Yezin	1		3	3	3	3	UFES Hall	16.06.2018
15	Capacity building - Conservation Investment and Project cycle management	WCS					14	4	Nay Pyi Taw Office	3.7.2018 - 6.7.2018
16	Training Workshop - Preparing National Red List of Threatened Species	IUCN, WWF, FD, WCS	20	22	8	8	8	5	Forest Research Institute, Yezin	23.7.2018 - 26.7.2018
17	Second TAGPA meeting	Government Official, INGOs, NGOs	2	3	3		3	4	Amara Hotel	25.08.2018
18	Consultation w/shop - Conservation of Biodiversity & Protected Areas (CBPAs) Draft Rule	FD, NWCD, WWF, WCS, FFI	178	485					Myintkyinar, Mandalay, Yangon,	14.09..2018 - 31.9.2018
19	Coaching at Participatory Extension Training Course	FD, WCS	20				1	1	Mandalay	10.09.2018
20	Basic Wildlife Management Course, Batch (2)	NWCD, WCS			36	4	7	4	Popa Mountain Park	3.09.2018 - 12.10.2018
21	Expert Round Table (1) Consultation Workshop for Draft Rule of CBPA	FD, NWCD, WWF, WCS, FFI	42	19					Mount Pleasant Hotel, Nay Pyi Ta	29.10.2018 - 30.10.2018
22	Study Tour Program for University Students to Thailand	UoFES, WCS	2	4			2	4	Thailand	15.10.2018 - 26.10.2018
23	Study Tour Program for University Students to Htamanthi Wildlife Sanctuary	UoFES, WCS	11	14			2	1	Htamanthi Wildlife Sanctuary	31.10.2018 - 15.11.2018
24	Expert Round Table (2) Consultation Workshop for Draft Rule of CBPA	FD, NWCD, WWF, WCS, FFI	56	38					Nawe Thar Gi Hotel, Nay Pyi Taw	15.10.2018 - 30.10.2018
25	Multi stakeholder Consultation workshop for the CBPAs Draft Rule	FD, NWCD, WWF, WCS, FFI	104	37					Royal Nay Pyi Taw Hotel, Nay Pyi	12.12.2018
26	Training Workshop on National Red List of Mammal Assessment	FD, NWCD, WWF, WCS, FFI, Universitie	19	13					Amara Hotel	15.1.2019 - 18.1.2019
27	Capacity Building Training for Park Staff using National Level SMART Software	FD, NWCD, NEA, WCS	42		2		2		Popa Mountain Park	11.2.2019 - 23.2.2019
28	Training Internship on Biodiversity and Protected area Management	FD, UoFES, WCS	15	8					Htamanthi Wildlife Sanctuary	14.10.2019 - 26.10.2019
29	Study Tour to Singapore	UoFES, WCS	4	8					Singapore	28.10.2019 - 1.11.2019
			718	753	206	27	84	56	Total	
Total Men			1008							
Total Women			836							

Putao Training

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	Activity	Host / Participant	Participant		Participant - NWCD, FD, ECD		Participant - WCS		Location	Date
			Male	Female	Male	Female	Male	Female		
1	Community Guardian	Hkakaborazi NP villagers	21		3		6	4	Hkakaborazi National Park Forward Station	29.01.2017 - 31.01.2017
2	Tourism Awareness Discussions	Government Officers in Putao	35	4	2	2	2	2	Environ'tal Ed. Centre at Hkakaborazi NP	16.08.2017 - 23.08.2017
3	Tourism Awareness Discussions	Rawang Literature & Culture Committee	36	10	2	2	2	2	Rawang Literature & Culture Committee Office	16.08.2017 - 23.08.2017
4	Tourism Awareness Discussions	Jinhgphaw & Shan Lit. & Culture Committee	28	13	2	2	2	2	EEC at Hkakaborazi NP	21.08.2017 - 23.08.2017
5	Tourism Awareness Discussions	Lisu Literature & Culture Committee	33	21	2	2	2	2	Lisu Literature and Cultural Committee Office	21.08.2017 - 23.08.2017
6	Community Guardian	Hkakaborazi NP villagers	15	9	3	2	5	2	Hkakaborazi National Park Forward Station	11.09.2017 - 13.09.2017
7	Conservation Gallery Walk	Lisu Festival visitors	182	211	5		3	1	Lisu Cultural New Year Festival	16.01.2018 - 18.01.2018
8	International Wet Lands Day	Community	25	15	3		2		Namshalkot village	2.02.2018
9	International Wet Lands Day	Community		40					Domestic Training School	2.02.2018
10	World Wildlife Day	Community	35	49	3		3		Nyaysarladi Village	3.03.2018
11	Community Outreach for Conservation	Community	25	17	3	1	3		Pammati Village	11.03.2018
12	Awareness Raising on Migratory Birds	Community	54	73	3		4		Mulashidi Village	18.03.2018
13	Awareness Raising on Migratory Birds	Community	37	18	2		4		Mulaon	19.03.2018
14	Awareness Raising on Migratory Birds	Community	20	43	2		3		Mamainshidi	19.03.2018
15	Awareness Raising on Migratory Birds	Community	20	18	3		4		Sahtainlaw (1)	19.03.2018
16	Awareness Raising on Migratory Birds	Community	17	19	3		3		Sahtainlaw (2)	19.03.2018
17	Awareness Raising on Migratory Birds	Community	40	30	2		3		Namshal	25.03.2018
18	Awareness Raising on Migratory Birds	Community	60	50	3		4		Htoosan	25.03.2018
19	Awareness Raising on Migratory Birds	Community	22	20	3		3		Mudon Villages	25.03.2018
20	World Environmental Day	Students and teachers	260	310					BEHS, Putao	5.06.2018
21	World Environmental Day	Students and teachers	240	260					BEHS, Donehtan	5.06.2018
22	World Environmental Day	Community	9	6					Darkushiphar village	5.06.2018
23	World Environmental Day	Students and teachers	136	109					BEHS, Ma Chan Baw	25.06.2018
24	World Environmental Day	Students and teachers	147	200					Sub-BEHS, Out Shan Khaung	28.06.2018
25	World Environmental Day	Government Officers in Putao	40	17					Ma Chan Baw (GAD)	29.06.2018
26	Ecotourism Awareness Raising	Students and teachers	94	95					BEHS, Nam Khan	6.07.2018
27	Ecotourism Awareness Raising	Students and teachers	73	107					BEHS, Htayanthan	6.07.2018
28	Ecotourism Awareness Raising	Students and teachers	57	51					Ho Khao Monastery	7.07.2018
29	Ecotourism Awareness Raising	Students and teachers		67					Domestic Training School	13.07.2018
30	Ecotourism Awareness Raising	Students and teachers	118	209					BEHS, Mulashidi	16.07.2018
31	Ecotourism Awareness Raising	Students and teachers	54	76					Sub-BEHS, Nam Hol	18.07.2018
32	Ecotourism Awareness Raising	Community	27	46					Ya Won Church	22.07.2018
33	Awareness Raising on protected areas	Students and teachers	208	250					BEHS, Naung Mon	23.07.2018
34	Awareness Raising on protected areas	Students and teachers	59	88					BHES, Yat Bot	23.07.2018
35	Awareness Raising on protected areas	Community	50	81					Kasankhu Village	24.07.2018
36	Awareness Raising on protected areas	Community	46	63					Guthtu Village	24.07.2018
37	Awareness Raising on protected areas	Community	31	44					Upper Shan Khaung Village	29.07.2018
38	Training for PAM & biodiversity	Trainee	22	3					Park Office	31.01.2019 - 4.02.2019
39	Training for PAM & biodiversity	Trainee	16	0	2		1		Forward Station (Naung Mon)	6.02.2019 - 11.02.2019
40	In House Capacity Building Training, Batch (2)	Park staff	12	0					Biodiversity Education Center, Myitkyina	3.04.2019 - 7.04.2019
41	Vocat'l Skills - Basic Hotel & Hospitality (Batch-1)	Community	2	3					Mandalay	22.04.2019 - 21.06.2019
42	Farmer-Led Extension (Sustainable Agriculture)	Community	9	0					Alarm Focus Village, Myitkyina, Kachin	1.07.2019 - 15.09.2019
43	Vocat'l Skills - Basic Hotel & Hospitality (Batch-2)	Community	2	8					Mandalay	20.08.2019 - 19.10.2019
44	Landuse Mapping Training (Batch-1)	Community	16	0					Putao	2.10.2019 - 9.10.2019
45	Landuse Mapping Training (Batch-2)	Community	7	0					Putao	6.12.2019 - 18.12.2019
	Total	Putao	2440	2753	51	11	59	15		
		Men	2550							
		Women	2779							

Hukaung

	Activity	Organization	Participant		Participant - NWCD & FD		Participant - WCS		Location	Date
			Male	Female	Male	Female	Male	Female		
1	Comm. reps to Farmer Extension School	Community	5	1			1		Myitta Foundation, Myitkyina	July - Sept 2017
2	Global Tiger Day	Students, PAMCC & comm.	259						Hukaung Hall, Tanai	29.07.2017
3	Conservation Education Gallery	Naga people & visitors			7	3	3		Naga Culture New Year Fest.	13-16.01.2018
4	Ceremony for boards at World Wildlife Day	Elders, teachers, students	7	23	10		3		Shinbweyan-Nanyoon Road	31.03.2018
5	Conservation Awareness Raising Activity		29	31	6		2		Thayathit Naga Romancatholic	20.04.2018
6	World Migratory Birds & Int'l Biodiversity Day	Teachers and students	42	218	9	2	2	2	No. (2), BEHS (Tanai)	14.05.2018
7	School Program	Teachers and students	100	180					BEPS, Ta Khat village	2019, January
8	Community based natural resource training	Community	7	0					Ta Khat Village	2019, January
9	World Wetland Day	Teachers and students	51	87	6		2	2	BEMS, Shin lon gar Village	2.02.2019
		Total	500	540	38	5	13	4		
			Men	551						
			Women	549						

Htamanthi

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	Training	Organization Host	Participant		Participant - NWCD and FD		Participant - WCS		Location	Date
			Male	Female	Male	Female	Male	Female		
1	Gender and Community Engagement Training	WCS staff, WCS Volunteers and interns	10	5	2			1	Htamanthi Forward Station	6.2.2017 - 7.2.017
2	Natural Resource Governance Training	Shan Lit. Ass., Homalin Youth, WCS Volunteers	15	6				1	Htamanthi Forward Station	15.01.2017 - 19.01.2017
3	Community Guardian Training (3)	Community rep., NWCD and WCS staff	41	2	1		2	2	Htamanthi Village	29.01.2017 - 31.01.2017
4	Training of Trainers at Community Forestry	Community rep, NWCD and WCS staff	20	3	5			2	Htamanthi Forward Station	20.05.2017 - 26.05.2017
5	Community Guardian Training (4)	Comm. Rep. + Shan Lit. & Culture Association	22	20	1		2	1	Shan Lit. & Culture Off., Homalin	05.06.2017-07.06.2017
6	Community Forestry Training	Rep.- villages around Htamanthi WS	31	6	1		2	2	Htamanthi Village	16.10.2017-20.10.2017
7	Community Forestry Process	Only Lin Pha Village	12	15					Lin Pha Village	23.10.2017-2.11.2017
8	Community Forestry Process	Only Swal Khaung Ngaw Village	15	8					Swal Khaung Ngaw Village	4.12.2017 - 18.12.2017
9	Community Forestry Process	Only Nan Sa Bi	12	13					Nan Sa Pi Village	6.1.2018 - 18.1.2018
10	Community Forestry Process	Only Naung Tone Ngao Village	12	8					Naung Tone Ngao Village	4.2.2018 - 3.3.2018
11	Community Forestry Process	Only Hmaw Yone Myaing Village	15	19					Hmaw Yone Myaing Village	26-3.2018-18-5-2018
12	Community Forestry Process	Only Hwe Na Village	10	12					Hwe Na Villaage	27.5.2018 - 6.6.2018
13	Community Forestry Follow Up Training	Villagers around Htamanthi WS	13	9			3	2	Htamanthi Village	12.02.2018 -13.02.2018
14	Community Forestry Committee	Villagers around Htamanthi WS	19	6			2	2	Htamanthi Forward Station	15.02.2018 - 19.02.2018
15	Community Forestry & Community Based NRM (5)	Villagers around Htamanthi WS	15	12	1		4	1	Ye Baw Mee Village	7.6.2018- 13.6.2018
16	Community Forestry Follow-up	Only Lin Pha Village	23	32			1	2	Lin Pha Village	18.7.2018 - 23.7.2018
17	Community Forestry Process	Only Ye Baw Mee Village	17	22					Ye Baw Mee Village	22.9.2018 - 4.10.2018
18	Community Forestry Committee	Villagers around Htamanthi WS	28	1			3	2	HTRC	14.1.2019 - 14.1.2019
19	Community Forestry Process	Only Tone Ma Law Village	12	15					Tone Ma Law Village	6.2.2019-5.3.2019
20	Community Forestry Follow - up	Only Ye Baw Mee Village	10	13					Ye Baw Mee Village	21.2.2019 - 22.2.2019
21	Community Forestry Committee	Villagers around Htamanthi WS	12	5					HTRC	17.6.2019-19.6.2019
22	Sustainable Agriculture Training	Villagers around Htamanthi WS	16	19					HTRC	11.7.2019 - 14.7.2019
23	Community Engagement	Villagers around Htamanthi WS	33	0					Htamanthi Forward Station	23.8.2019 - 27.8.2019
24	Study Tour for Community Forestry Processes	Villagers around Htamanthi WS	10	0					Kachin and Shan States	23.9.2019 - 1.10.2019
		Total	423	251	11	0	19	18		
		Men	453							
		Women	269							

Myitkyina

N	Activity	Organization	Participant		Participant _ NWCD, FI and ECD		Participant _ W		Place	Date
			Male	Female	Male	Female	Male	Female		
1	School Program	Students & teachers	96	106	3	2		2	No. (7), BEMS, Kyunpinthar Quarter, Myitkyina	4.09.2017
2	School Program	Students & teachers	104	138	3	2		2	BEHS, Shwesat Quarter, Myitkyina	7.09.2017
3	School Program	Students & teachers	100	72	2	2		2	Dhamma School, Myaymyint Quarter, Myitkyina	14.09.2017
4	Int'l Day - Preserve the Ozone Layer	Officials, teachers, student	170	230					Town Hall, Myitkyina	16.09.2017
5	Int'l Day - Preserve the Ozone Layer		100	72	6	1		2		17.09.2017
6	School Program	No. (2), BEPS, Kyunpinthar	98	102	5	4		2	No. (2), BEPPS, Kyunpinthar Quarter, Myitkyina	17.10.2017
7	School Program	No. (3), BEMS, Yampuu, M	78	82	5	4			No. (3), BEMS, Yampuu, Myitkyina	17.10.2017
8	School Program	No. (13), BEPS, Myitkyina	72	80	5	4			No. (13), BEPPS, Myitkyina	20.10.2017
9	School Program	Students and teacher	56	53					No. (18), BEPPS, Myitkyina	20.10.2017
10	Conservation awareness raising	Community	37	13	5			2	Malikha village, Pitaung Wildlife Sanctuary	17.10.2017
11	School Program	Students and teacher	56	71					No. (2), BEHS, Winemaw	2.11.2017
12	School Program	Students and teacher	87	86					BEHS (Minar), Winemaw	2.11.2017
13	School Program	BEMS, Ayemyathayar Shar	36	15	5			3	BEMS, Ayemyathayar Shan Village, Myitkyina	5.11.2017
14	School Program	Students and teachers	64	36	4	3		2	No. (19), BEPPS, Khaymarthiri Quarter, Myitkyina	9.11.2017
15	School Program		55	53	4	3		2	No. (10), BEHS, Dukahtaung, Myitkyina	9.11.2017
16	Comm. Socio-economic Dev.	community members	16	4					Myitta Foundation Training Hall, Arlun village	20.11.2017
17	School Program		56	71	4	3		2	No. (2), BEHS, Wine Maw	28.11.2017
18	School Program		87	86	4	3		2	BEHS, Minar Village	28.11.2017
19	Conservation awareness raising	Students & teachers	0	116					Midwifery Training School	13.12.2017
20	Conservation awareness raising	Students & teachers	25	103					Myitkyina University	14.12.2017
21	Conservation awareness raising	Students & teachers	48	78					Myitkyina Education College	16.12.2017
22	Conservation awareness raising	Students & teachers	52	41					Myitkyina Computer University	20.12.2017
23	Conservation awareness raising	Students & teachers	72	58					Myitkyina University of Technology	20.12.2017
24	Conservation awareness raising	Students & teachers	95	251	1	3		2	Moenyin Degree College	12.01.2018
25	Conservation awareness raising	Students & teachers	171	72	1	3		2	Moenyin Technological College	12.01.2018
26	Conservation awareness raising	Students & teachers	155	155	1	4		2	Border & Ethnic Races Dev. Training School	21.01.2018
27	Conservation awareness raising	Community members	28	13	4			2	Nankynn village, Myitkyina township	17.01.2018
28	Conservation awareness raising	Community members	21	22	6			2	Nankynn village, Myitkyina township	26.01.2018
29	Consultation - Ecotourism Man't Plan	State government membe	24	6					State government office	08.01.2018
30	World Wetland Day	Community members	30	37	6			2	Ngwe Pyaw village	2.02.2018
31	Conservation awareness raising	Students & teachers	260	440					Myitkyina Education College	8.02.2018
32	Conservation awareness raising	Students & teachers	100	102					Education Institute	9.02.2018
33	Conservation awareness raising	Students & teachers	0	155					Midwifery Training School	9.02.2018
34	World Wildlife Day	Community members	22	33	7		1	1	Malikha village, Pitaung Wildlife Sanctuary	3.03.2018
35	Conservation Education Gallery	Visitors & communities	610	1000	5	2	1	5	Shwe Moe Hill, Wine Maw Township	19-21.03.2018
36	Conservation awareness raising	Community & students	53	31	6	1		1	Pa La Na Group, Ingyinmyaing village, Pitaung	22.04.2018
37	Environ'tal Conservation Diploma	Government officials	11	16					Environmental Conservation Department	14-25.05.2018
38	Comp. - Environ't Conservation day	Students and teachers	15	32					No.7, BEHS	21.05.2018
39	World Migratory Birds Day	Community & students	22	21	6			2	Malikha village and Nan Kham village, Pitaung	3.05.2018
40	Int'l Day - Biodiversity Conservation	Community	31	40	6			2	Thazin Myaing village, Pitaung Wildlife Sanct	22.05.2018
41	World Environmental Day	Visitors & communities	157	229					Myotaw Hall, Myitkyina	5.06.2018
42	School Program	Students & teachers	47	20					No.9, BEHS, Myitkyina	11.06.2018
43	School Program	Students & teachers	46	65					No.11, BEMS, Myitkyina	12.06.2018
44	School Program	Students & teachers	143	170					No.2, BEHS, Myitkyina	18.06.2018
45	School Program	Students & teachers	76	94					No. 2, BEHS, Shwe Nyang	20.06.2018
46	Tree planting event - rain season	Students & teachers	300	700					Myitkyina University	16.06.2018
47	School Program	Students & teachers	100	100					No.4 BEHS, Myitkyina	3.07.2018
48	School Program	Students & teachers	120	180					Sub-BEHS, Shan village	4.07.2018
49	School Program	Students & teachers	60	60					BEPPS, Kyat Paung	5.07.2018
50	School Program	Students & teachers	320	420					No.5, BEHS, Myitkyina	16.07.2018
51	School Program	Students & teachers	58	75					No. 10, BEHS, Myitkyina	17.07.2018
52	School Program	Students & teachers	135	168					No. 6, BEHS, Myitkyina	25.07.2018
53	Conservation awareness raising	Students & teachers	300	700					Myitkyina University	06.07.2018
54	School Program	Students & teachers	289	304					No. 10, BEHS, Myitkyina	2.08.2018
55	Environ'tal Conservation Training	Community Member	39	75					Myay Myint Monastery	20.08. - 7/9/2018
56	Workshop - PAM committee	State govern't	50	9					Samar Dhuwar Sinwarnaw Hall	09.08.2018
57	Ceremony - Ozone Layer day	Visitors & communities	152	248					Myotaw Hall, Myitkyina	16.09.2018
58	School Program	Students & teachers	38	48					BEHS, Si Thar Pu Quarter	25.09.2018
59	School Program	Students & teachers	55	64					BEPPS, Si Thar Pu Quarter	27.09.2018
60	School Program	Students & teachers	30	45					No. 2, BEPPS, Kyun Pan Thar	5.10.2018
61	School Program	Students & teachers	65	65					No. 2, BEPPS, Lal Kone	5.10.2018
62	School Program	Students & teachers	150	200					No. 3, BEMS	31.10.2018
63	Community Socio-economic Dev.	community members	17	3					Myitta Foundation Training Hall, Arlun village	12-16.11.2018
64	Environ'tal Conservation Diploma	Students & teachers	51	65					Myitkyina University	12.11 - 7/12.2018
65	School Program	Students & teachers	69	54					No. 12, BEPPS, Kyun Pen Thar	11.12.2018
66	School Program	Students & teachers	76	107					No. 29, BEPPS, Kha Hla Ya, Myitkyina	14.12.2018
67	School Program	Students & teachers	44	46					No. 6, BEPPS, Lal Kone, Myitkyina	17.12.2018
68	School Program	Students & teachers	35	37					No.13, BEPPS, Lal Kone, Myitkyina	17.12.2018
69	School Program	Students & teachers	45	40					BEMS, Pyi Htaung Village	15.01.2019
70	School Program	Community	31	9					Nyaung taw village,	27.01.2019
71	Conservation awareness raising	Community	0	156					Border and Ethnic Races Development Traini	14.02.2019
72	Conservation awareness raising	Community	99	96					Ka Bu Dann Village, Myitta Yankhwn Hall	25.02.2019
73	Conservation awareness raising	Community	16	24	3		1	1	Nan Kwae Village	27.02.2019
Total			6426	8868	107	44	3	47		Total
Men			6536							
Women			8959							

Gap Analysis of PA System

Gap analysis of the PA system (prodoc, Annex 1)

High priorities for the expansion of the PA Network:

- Proposed PAs across Taninthayi Region in the Tenasserim-south Thailand semi-evergreen rain forest ecoregion – global importance
- Gazettement of the potential Imawbum PA in eastern Kachin State - would cover a large portion of the Nujiang Langcang Gorge alpine conifer & mixed forest ecoregion within Myanmar – global importance
- Additional PAs within the Kayah-Karen montane rain forest ecoregion
- Coastal zones - coastal mangrove, coastal rain forest, and tropical / sub-tropical moist broadleaf forests ecoregions – the area is poorly covered by PAs due to the lack of forest area controlled by the FD combined with high people population and unclear responsibility between the Department of Fisheries and the navy

Medium level priorities:

- Chin Hills - Arakan Yoma montane forest, Irrawaddy dry Forest, Irrawaddy freshwater swamp forest, Irrawaddy moist deciduous forest, Northern Indochina subtropical forest
- Further protection should focus on protecting ecosystem services as well as globally threatened species that are not currently found within the PA network
- Small PAs in the Dry Zone, Chin Hills, Ayeyawady Delta and Shan Plateau - need to incorporate ecosystem and species conservation into their existing development plans

Coverage of the Northern Triangle sub-tropical forest, Mizoram-Manipur- Kachin Rain forest, and the Eastern Himalayan alpine shrub and meadow are potentially already sufficient if managed well

Example Profile - The project prepared profiles for each of the 4 sites - KKBR NP – List of threats

Over-exploitation of animals (Commercial), Over-exploitation of animals (Subsistence), Wildlife trade, Over-exploitation of NTFP (Commercial), Over-exploitation of NTFP (Subsistence), Over-fishing (Commercial), Over-fishing (Subsistence), Logging, Agricultural expansion, Shifting cultivation, Conversion of forest to plantations, Infrastructure development, Pollution, Human encroachment, Over-grazing, Forest Fire, Economic growth and increasing consumption, Poverty, Capacity constraints, Weak environmental safeguards, Lack of comprehensive land-use policies and planning, Weak systematic biological monitoring systems, Weak systematic threat monitoring systems, Undervaluation, Global climate change, Low conservation awareness, Low grassroots support for conservation, Weak laws, Low awareness of laws, Weak law enforcement

Some observations re. the importance of community engagement in ethnic areas

Planning workshop (Htamanthi, Dec 2019) – Shan Literature & Culture Association (LCA). The Shan LCA indicated that their priority was livelihood improvement and that they depend on the natural resources within or around TMT WS. Tiger is important in their culture and they wish to be known as the protectors of the Htamanthi tiger, but also that conservation was not their priority. They also indicated that politics and ethnic conflicts play an important role in their decision-making and that they had these issues on the ground. In order to be involved in conservation, they need livelihood support. Tenure security or economic benefits should be clearly spelt out.

WCS discussed community-based tourism and agriculture-based conservation incentive schemes. The members of the Shan LCA team appreciated WCS's efforts to involve community in CPA/ICCA discussions and agreed that the schemes were important in the effort to protect tigers.

The WCS staff must not see them as 'part of the problem', and that they must feel free to disagree with some of WCS interventions. They should not be considered 'bad' if they do. It is important to have dialogue with these communities to understand the problem, and what should WCS do to remove their doubts. WCS should have a clear message regarding their approach to the communities. The message should resonate and include how the community can benefit from WCS's activities.

The Shan LCA is in favor of protecting the Htamanthi tigers. They will need to develop a social and cultural message why they feel this is important. They cannot enforce or punish, but can initiate a powerful social movement among their people to protect the Htamanthi tigers. WCS can help them develop this message and help them spread it among their people.

Working with the villagers' in the Htamanthi area will need a more careful approach. WCS will need to be very careful that WCS interventions will not harm the relationship between the Shan LCA and the villages. WCS interventions will require agreement with the Shan LCA, if we want them to support us on the ground. However, once the Shan People feel it is important to protect Htamanthi tigers, then in time the villages around Htamanthi can be called "Protectors of the Htamanthi Tiger".

Annex 5a: Protected Area Location Data & Geo-coordinates

Item	Region	District	Township	Item Name (Protected Area)	Area (ha)	Geo-coordinates	Date Established	Delineated boundary map	Responsible Office	Gazetted / not gazetted
Protected Area	Magway Region	Pakoku	Yesagyo and Myaing	Shinmataung Wildlife Sanctuary	5,332	21°33'50.16"N, 95°5'27.78"E	26-10-2015		NWCD Naypyidaw	Gazetted
Protected Area	Kachin State	Myintkyina	Myint Kyi Nar	Inkhainbon National Park	30,052	25°39'55.28"N, 97°24'29.75"E	2-2-2017	www.protectedplanet.net/555626075	NWCD Naypyidaw	Gazetted
Protected Area	Kayin State	Hpa-An	Hpa-An	Htaung-Wei (Geo-physically Significant Reserve)	67	16°50'33.98"N, 97°37'9.65"E	16-8-2018	www.protectedplanet.net/555651508	NWCD Naypyidaw	Gazetted
Protected Area	Kayin State	Kawkareik	Kyain Seikgyi	Saytaung Wildlife Sanctuary	23,381	15°26'50.62"N, 98°8'52.17"E	7-11-2018	www.protectedplanet.net/555651507	NWCD Naypyidaw	Gazetted
Protected Area	Kayin State	Hpa-An	Hpa-An	Eait Sa Tha Ya cave (geo-physically Significant Reserve)	30	16°54'13.87"N, 97°45'34.69"E	6-11-2019		NWCD Naypyidaw	Gazetted
Protected Area	Chin State	Hakha	Thantlang	Bwaipataung National Park	21,001	22°21'52.95"N, 93°30'50.34"E	8-4-2019	www.protectedplanet.net/bwe-par-taung-national-park-national-park	NWCD Naypyidaw	Gazetted
Protected Area	Kachin State	Myintkyina	Chipwi and Tsawlaw	Eimawbon National Park	156,280	26°27'3.68"N, 98°34'17.26"E	29-4-2016		NWCD Naypyidaw	Gazetted
Protected Area	Mon State	Mawlamyng	Yae	Saytaung Wildlife Sanctuary	19,163	15°22'46.33"N, 98°5'44.59"E	7-11-2016		NWCD Naypyidaw	Proposed
Protected Area	Kachin State	Putao	Naungmaung and Putao	Hkakabo Razi (extension) National Park	362,210	27°33'25.21"N, 97°43'47.10"E	28-7-2017		NWCD Naypyidaw	Proposed
Protected Area	Sagaing Region	Katha	Banmauk	Zalontaung National Park	24,389	24°34'43.72"N, 95°50'33.24"E	15-6-2017		NWCD Naypyidaw	Proposed
Protected Area	Kayah State	Loikaw	Loikaw and Bawlakeh	Panthitaung National Park	23,379	19°11'58.72"N, 97°26'2.58"E	26-7-2018		NWCD Naypyidaw	Proposed
Protected Area	Chin State	Hakha	Thantlang	Kyeeyeyan-Taung National Park	3,394	22°42'14.89"N, 93°12'12.92"E	22-1-2018		NWCD Naypyidaw	Proposed
Protected Area	Chin State	Falam	Tedim	Kanaydy (or)Laythar Taung National Park	9,495	23°24'30.37"N, 93°47'34.65"E	15-5-2018		NWCD Naypyidaw	Proposed
Protected Area	Chin State	Hakha	Thantlang	Me-A-Pi Taung	5,000	22°28'22.64"N, 93°19'18.66"E	26-7-2018		NWCD Naypyidaw	Proposed

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Protected Area	Chin State	Hakha and Falam	Haka and Thantlang	Zein-Mu Taung National Park	8,068	22°49'46.18"N, 93°30'50.02"E	26-7-2018		NWCD Naypyidaw	Proposed
Protected Area	Chin State	Hakha	Thantlang	Sar Mhon Taung National Park	11,473	22°14'13.18"N, 93°18'21.63"E	28-12-2018		NWCD Naypyidaw	Proposed
Protected Area	Sagaing Region	Shwe Bo	Wetlet	Shanemakar Wildlife Sanctuary	128	22°15'59.53"N, 95°58'52.85"E	17-7-2018		NWCD Naypyidaw	Proposed
Protected Area	Shan State	Muse	Kutkai	Loi-Sam-Sit Taung Nature Reserve	6,596	23°22'53.95"N, 98° 0'13.50"E	3-7-2018		NWCD Naypyidaw	Proposed
Protected Area	Shan State	Taunggyi	Ywangan	Panlaung-Pyadalin Cave Wildlife Sanctuary (Extension)	6,475	21° 6'22.17"N, 96°15'30.94"E	17-7-2018		NWCD Naypyidaw	Proposed
Protected Area	Chin State	Hakha	Hakha	Mhone Taung Community Conserved Area	569	22°39'15.56"N, 93°45'47.87"E	28-5-2019		NWCD Naypyidaw	Proposed
Protected Area	Sagaing Region and Mandalay Region	Kanbalu	Kanbalu and Thabate Kyin	Bat Cave Mountain (Geo-physically Significant Reserve)	12,265	23°22'03.7"N, 95°52'60.0"E	24-4-2019		NWCD Naypyidaw	Proposed
Protected Area	Tanintharyi Region	Myeik	Kyunsu	Done Kyunsu Marine National Park	366,696	12°16'59.6"N, 98°01'55.9"E	2-10-2019		NWCD Naypyidaw	Proposed
Protected Area	Magway Region	Minbu	Ngaphae	Man Wildlife Sanctuary	12,424	21°37'7.29"N, 95° 4'25.08"E	29-3-2019		NWCD Naypyidaw	Proposed
Protected Area	Rakhine State	Sittwe	Sittwe and Yathaetaung	Nantthar Kyun Marine National Park	3,606	18°03'47.5"N, 94°05'17.4"E	1-10-2019		NWCD Naypyidaw	Proposed
Protected Area	Ayeyarwaddy Region	Phyarpone	Bogalay and Phyarpone	Meinmahla Kyun Wildlife Sanctuary(extension)	3,901	15°46'40.1"N, 95°14'37.1"E	3-12-2019	www.protectedplanet.net/555624679	NWCD Naypyidaw	Proposed

Annex 6: List of Persons Interviewed

No	Date	Name	Position	Organization/Department
1	19.2.2020	Mr. Biplove Choudhary	Chief of Unit	Sustainable and Inclusive Growth, Yangon
		Ms. Pem Wangdi	Programme Specialist	Sustainable and Inclusive Growth, Yangon
		Daw Phyu Phyu San	Programme Analyst	Sustainable and Inclusive Growth, Yangon
2	19.2.2020	U Saw Htun	Country Director	Wildlife Conservation Society, Yangon
		Mr. Robery Tizard	Chief Technical Advisor	Wildlife Conservation Society, Yangon
		U Hla Naing	Deputy Country Director	Wildlife Conservation Society, Yangon
		Dr. Naw May Lay Thant	Landscape Coordinator	Wildlife Conservation Society, Yangon
		Daw Khin Myo Thet	Assist. Perm. Secretary	Minister Office of MoNREC
3	20.2.2020	Daw Su Klar Htun	Assist. Perm. Secretary	Minister Office of MoNREC
		Daw Phyu Phyu Thant	Assist. Director (Finance)	Forest Department, MoNREC
		U Khin Maung Htwe	Staff Officer	NWCD, Forest Department, MoNREC
		Daw Su Nandar Aung	Ranger	NWCD, Forest Department, MoNREC
4	21.2.2020	Dr. San Win	Rector (Interim)	University of Forestry and Environmental Science
		Dr. Khin Maung Sint	Rector	University of Forestry and Environmental Science
		U Than Swe	Director (Admin)	University of Forestry and Environmental Science
		U Maung Maung Lwin	Deputy Director (Admin)	University of Forestry and Environmental Science
		Dr. Rosy Ne Win	Associate Professor	University of Forestry and Environmental Science
		Dr. Thwe Thwe Win	Associate Professor	University of Forestry and Environmental Science
		Daw Khin Kyi	Associate Professor	University of Forestry and Environmental Science
		Daw Thandar Aye		University of Forestry and Environmental Science
5	21.2.2020	U Soe Win	Director	Training & Research Development Division, FD
		U Myint Soe	Principal	CFDTC, Forest Department
		U Tet Toe	Principal	Myanmar Forest School, Forest Department
		U San Win Htun	Assistant Lecturer	Myanmar Forest School, Forest Department
6	21.2.2020	U Hla Maung Thein	Director General	Environmental Conservation Department
		Daw Thaw Thaw Han	Deputy Director	Environmental Conservation Department
		Dr. Win Htein	Staff Officer	Environmental Conservation Department
		Daw Cherry Moe	Staff Officer	Environmental Conservation Department
		U Hein Htet Aung	Deputy Staff Officer	Environmental Conservation Department
		U Akar San	Staff Officer	Environmental Conservation Department
7	21.2.2020	U Ngwe Thee	Deputy Director	Planning and Statistics Division, Forest Department
8	21.2.2020	Dr. Tin Zar Kywe	Assistant Director	Nature & Wildlife Conservation Division, FD
		U Zin Phyo Han Tun	Range Officer	Nature & Wildlife Conservation Division, FD
9	21.2.2020	Dr. Nyi Nyi Kyaw	Director General	Forest Department
10	23.2.2020	U Khin Maung Oo	Director	Forest Department, Kachin State
		U Htein Win	Assistant Director	Forest Department, Kachin State
11	23.2.2020	U Nyunt Hlaing	Range Officer	Hukaung Valley, NWCD
		U Aung Ye Tun		WCS
12	24.2.2020	U Thein Htay	Park Warden	Hponkanrazi WS
		U Aung Myat Soe	Park Warden	Hkakaborazi National Park
		U Chan Nyein Kyaw	Staff Officer	Forest Department, Putao
		U Thant Zin	District Administrator	General Administration Department, Putao District
13	24.2.2020	U Zaw Win Htay	Dep. District Admin.	General Administration Department, Putao District
		U Zaw Naing Oo	Assistant Director	General Administration Department, Putao District
		U Min Zaw Oo	Township Admin.	GAD, Naung Mon Township
		U Jung Khaw	Deputy Officer	General Administration Department, Putao District
		U Mayit Yaw Shu	Chairman	Rawang Literature and Culture Organization
14	24.2.2020	U Sarep Dee	Secretary	Rawang Literature and Culture Organization
		U Cin Laing Yaw Da	Chairperson for Justice	Rawang Literature and Culture Organization
			Member	Rawang Literature and Culture Organization
15	24.2.2020	U Ra Ni	Vice-Chairman	Lisu Ethnic group
			Secretary	Lisu Ethnic group
			Youth Leader	Lisu Ethnic group
16	27.2.2020	Htamanthi WS		26 members of CF groups from 6 villages
17	27.2.2020	U Win Hlaing	Park Warden	Htamanthi WS, NWCD
		U Zaw Win Hlaing	Range Officer	Htamanthi WS, NWCD
		U Kaung Khant Zaw	Forester	Htamanthi WS, NWCD
		U Thein Zaw Lwin	Community Guard	Htamanthi WS, NWCD
		U Than Htay Aung	Community Guard	Htamanthi WS, NWCD

		U Sein Thauung Lwin	Community Guardian	WCS
		U Tun Tun	Community Guardian	WCS
18	28.2.2020	U Aye Min Hlaing	Staff Officer	Forest Department, Homalin Township
19	28.2.2020			Shan Literature and Culture Association, Homalin
20	29.2.2020	U Aung Win Tun	Director	Forest Department, Sagaing Region, Monywa
		Daw Kyawt Kyawt Aung	Assistant Director	Forest Department, Sagaing Region, Monywa
21	2.3.2020	U Lar Htaung Lan	Sagaing Regional Minister	MoNREC/Minister of Chin Ethnic Affairs
22	5.3.2020	U Paing Soe		WWF
23	5.3.2020	David Abrahamson	International Consultant	
		U San Win	National Consultant	
24	5.3.2020			6 Board of Directors - Myanmar Biodiversity Fund
25	5.3.2020	Mr. Tashi Dorji	Reg. Technical Advisor	UNDP (Skype)
26	5.3.2020	Mr. Biplove Choudhary	Chief of Unit	UNDP
	5.3.2020	Ms. Pem Wangdi	Programme Specialist	UNDP
		Daw Phyu Phyu San	Programme Analyst	UNDP
		Mr. Robert Tizard	Chief Technical Advisor	WCS
		Mr. Hla Naing	Deputy Country Director	WCS

Participant List - TE Feedback Seminar, Nay Pyi Taw, 4th March 2020

No	Name	Designation	Department/Organization
1	U Soe Thant Kyi	Deputy Principal	Myanmar Forest School
2	U Soe Win Naing	Assistant Lecturer	Myanmar Forest School
3	U Zaw Min Tun	Demonstrator	Myanmar Forest School
4	U Zin Phyo Han Tun	Range Officer	NWCD, Forest Department
5	Daw Kyawt Kyawt Aung	Assistant Director	Forest Department, Sagaing Region
6	U Thant Zin	District Administrator	General Administration Department, Putao District
7	U Thein Htay	Park Warden	Hponkanrazi WS
8	U Khin Maung Oo	Director	Forest Department, Kachin State
9	U Soe Win	Director	Training and Research Development Division, FD
10	Daw Khin Myo Thet	Assistant Permanent Secretary	Minister Office, MoNREC
11	Mr. Timothy Boyle	CTA	UNDP
12	U Chain Hein Thu	Coordination Associate	UNDP
13	Robert Tizard	STA	IP (WCS)
14	Pem Wangdi	Programme Specialist	UNDP
15	Daw Phyu Phyu San	Programme Analyst	UNDP
16	Dr. Tin Zar Kywe	Assistant Director	NWCD, FD
17	Dr. Nyi Nyi Kyaw	Director General	FD
18	Daw Lat Lat Aye	Senior Advisor	UNDP
19	Mr. Gordon Johnson	Resident Representative a.i.	UNDP
20	U Myint Sein	Principal	CFDTC
21	U Aung Win Tun	Director	Forest Department, Sagaing
22	U Win Hlaing	Staff Officer	NWCD, Htamanthi
23	U Aung Myat Soe	Staff Officer	Forest Department, Putao
24	U Myo Nyunt	Staff Officer	Forest Department, Tanai Township
25	U Rhi Zil	SPC	WCS, Yangon
26	U Saw Htun	Country Director	WCS, Yangon
27	Daw Phyu Phyu Thant	Assistant Director	Forest Department, Nay Pyi Taw
28	U Hla Naing	Deputy Country Director	WCS, Yangon
29	U Sein Aung Min	Deputy Director	Environmental Conservation Department
30	U Ngwe Thee	Deputy Director	Forest Department, Nay Pyi Taw
31	U Than Myint	Chairman	Myanmar Biodiversity Fund

Annex 7: List of Documents Reviewed

1. Project Identification Form (PIF) and GEF FA strategic program objectives
2. UNDP Initiation Plan and Implementing/Executing partner arrangements / contract
3. UNDP Project Document and Logframe revisions
4. CEO Endorsement Request
5. UNDP Environmental and Social Screening results
6. Project Inception Report
7. Project Implementation Reports (PIRs)
8. Annual Project Reports
9. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
10. Atlas Risk Register
11. Quarterly progress reports and work plans of the various implementation task teams
12. Annual Work Plans
13. Mid Term Review (MTR) Report
14. MTR Management Response
15. M&E Data management system
16. Audit reports
17. Tracking Tools
18. Oversight mission reports by the project manager, RTA, and others
19. Monitoring reports prepared by the project
20. Financial and Administration guidelines used by Project Team
21. Co-financing realized, itemized according to template provided by TE team
22. Financial expenditures, itemized according to template provided by TE team
23. Project operational guidelines, manuals and systems
24. UNDP Development Assistance Framework (UNDAF/ICF) and Evaluation
25. UNDP Country Programme Document (CPD) and Country Programme Action Plan (CPAP)
26. Project site location maps
27. Project activity maps with management actions and intervention
28. Technical consultancy reports
29. Training materials (PPTs etc.)
30. News and Awareness materials / Photo library / Video films about the projects
31. Project Summary PowerPoint files for the TE

Annex 8: Stakeholder List

Location	Stakeholder
Nay Pyi Taw / Yezin	<ul style="list-style-type: none"> - NWCD, TRDD / CFDTTC, MFS, Planning & Statistics (FD), - Budget & Planning, ECD (MoNREC) - UoFES
Kachin State - Myitkyina / Putao	<ul style="list-style-type: none"> - FD (state / district), GAD (Putao) - 3 PAs - Hukaung Valley WS Hponkanrazi WS, Hkakaborazi NP – Wardens / staff officers - Rawang / Lisu Literature & Culture Associations (Putao) - Conservation Awareness Centre
Sagaing Region -Monywa/ Homalin / Htamanthi WS	<ul style="list-style-type: none"> - Natural Resources Minister (Sagaing) - FD (Monywa / Homalin Township) - 1 PA - Htamanthi WS & Range Post (Warden / ranger staff / community guards / project community guardians) - Htamanthi Training and Research Centre (HTRC) - 6 CF Groups - Shan Literature & Culture Association (Homalin)
Yangon	- UNDP CO / RTA, WCS, Myanmar Biodiversity Fund, WWF, others

Stakeholder	TE Interest
National Government	<ul style="list-style-type: none"> •
Forest Department - MoNREC	<ul style="list-style-type: none"> • Indicator 5 - Forest and wildlife regulation & enforcement • Indicator 7 – Biodiversity Trust Fund
Nature & Wildlife Conservation Division (NWCD), FD - Nay Pyi Taw	<ul style="list-style-type: none"> • Indicator 1 (PA coverage) • Indicator 6 – capacity / Output 1.2 • Indicator 9 – Business plan for Htamanthi WS – lack of comments / approval / ownership / funding source identified? • Indicator 12 – Htamanthi WS Management Plan – consultation, collaboration, co-management responsibility – lack of comments on plan by DNWC • Output 1.1 – see Output table re. CBPA law & regulations; PA buffer zone and community involvement guidelines – lack of comment • Output 1.3 – Training – who is using the Wildlife Conservation & PA Management Curricula (WCS) – NWCD, MFS, CFDTTC?
Department of Planning & Statistics (DPS), MoNREC Nay Pyi Taw [Note this is the level above FD]	<ul style="list-style-type: none"> • Financial Sustainability - MoNREC's office to decide funding levels for forestry, agriculture etc. To ask: % forestry gets; trend in funding; external donor funds • Myanmar Biodiversity Fund? • DPS – the primary coordinating body within MoNREC • Provides oversight to / from MoNREC Minister via Project Board membership • To receive institutional capacity building from the project
Planning & Statistics Division (DPS), FD, Nay Pyi Taw	<ul style="list-style-type: none"> • M&E of foreign funded forestry projects – reports monthly to DG of FD
Myanmar Forest School, (FD), Pyin Oo Lwin - Nay Pyi Taw	<ul style="list-style-type: none"> • Indicator 6 – training – certificates in PA management in curricula • Output 1.3 – Training – who is using the Wildlife Conservation & PA Management Curricula (WCS) • Provide service training to reach forest ranger level
Training & Research Development Division (TRDD), FD	<ul style="list-style-type: none"> • Conduct all education and capacity building activities of DoF staff usually at CFDTTC
Central Forestry Development Training Centre (CFDTTC), FD, Hmaw Bi Township - Nay Pyi Taw	<ul style="list-style-type: none"> • Indicator 6 – training – certificates in PA management in curricula • Output 1.3 – Training – who is using the Wildlife Conservation & PA Management Curricula (WCS)

	<ul style="list-style-type: none"> Indicator 13– courses using knowledge products – see list in indicators table [post MTR - Output 2.5 put into Indicator 13 and 14]
University of Forestry & Environmental Sciences – (UoFES) Yezin, Nay Pyi Taw	<ul style="list-style-type: none"> Indicator 6 – training – certificates in PA management in curricula Indicator 13 – courses using knowledge products – see list in indicators table UoFES - the main education facility for training forest officers + ~200 range officers / year Recipient of project training curricula
Environmental Conservation Department / GEF Focal Point - Nay Pyi Taw	<ul style="list-style-type: none"> Indicator 6 – capacity of FD; other projects; performance of FD / Project Board etc Myanmar Biodiversity Fund – capitalisation? Implement National Environmental Policy; Short, medium & long Term Strategy / Framework / Action Plan for environment into national sustainable development
Project Board - Nay Pyi Taw	<ul style="list-style-type: none"> Project responsibility; decision-making; membership & attendance; balance
TAG on PA (TAGPA) – Nay Pyi Taw <ul style="list-style-type: none"> - WWF; FRED; BANCA; IUCN; FFI - Myanmar Forest Association (Yangon) - University of Monywa (Department of Zoology) - University of Myitkyina (Department of Zoology) 	<ul style="list-style-type: none"> Delegation of project responsibility; decision-making; membership & attendance; balance
Myanmar Biodiversity Fund	<ul style="list-style-type: none"> Output 1.4
Kachin State	<ul style="list-style-type: none">
Kachin State Government – Myitkyina	<ul style="list-style-type: none"> Socio-economic sustainability Output 1.5 - Mainstreaming state / regional development plans (to get) Protected Area Management Support Committee (PAMSC) – operational methods, its funding, legal mandate, its role and its future post-project Output 2.4 – wildlife law enforcement analysis / trends (MTR removed)
Director, Forest Department – Myitkyina	<ul style="list-style-type: none"> Inkhainbon National Park gazetted 2017
Officer, Forest Department - Putao Township	<ul style="list-style-type: none"> Indicator 6 – capacity / Output 1.2
Deputy Director, General Administration Department (GAD) - Putao District	<ul style="list-style-type: none"> Indicator 6 – capacity / Output 1.2 Coordination with police, prosecutions
Hkakaborazi National Park (NP) (Putao District, Naungmon and Putao Townships) Meeting with Park Warden	<ul style="list-style-type: none"> Indicator 2 - Forest cover
Hponkanrazi WS (Putao, Kachin) Meeting with Park Warden	<ul style="list-style-type: none"> Indicator 2 - Forest cover
Hukaung Valley Wildlife Sanctuary (WS) (62% in Myitkyina; 38% in Sagaing) Meeting with Park Warden in Myitkyina	<ul style="list-style-type: none"> Indicator 2 - Forest cover
Sagaing Region	<ul style="list-style-type: none">
Minister (Sagaing MonREC/Minister for Chin Ethnic Affairs) Sagaing Regional Government - Monywa	<ul style="list-style-type: none"> Socio-economic sustainability Output 1.5 - Mainstreaming state / regional development plans (to get) Protected Area Management Support Committee (PAMSC) – operational methods, its funding, legal mandate, its role and its future post-project
Forest Department – Monywa City (regional)	<ul style="list-style-type: none"> Sagaing regional government Socio-economic sustainability Output 1.5 - Mainstreaming state / regional development plans (to get)

	<ul style="list-style-type: none"> Protected Area Management Support Committee (PAMSC) – operational methods, its funding, legal mandate, its role and its future post-project
Forest Department - Homalin Township	<ul style="list-style-type: none"> Community forestry PAMSC
Htamanthi Wildlife Sanctuary (WS) (Homalin District, Sagaing Region)	<ul style="list-style-type: none"> Indicator 2 - Forest cover Indicator 9 – Business / Investment plan for Htamanthi WS (reduced to 1 plan post-MTR) Indicator 10 / Output 2.2 – Patrol records – incidence and prosecutions (reduced to 1 site post-MTR)
Htamanthi Training & Research Centre (TRC) located at Htamanthi WS, Homalin	<ul style="list-style-type: none"> Indicator 9 – Business plan for Htamanthi WS – collaboration / ownership / funding
Nam Ei Zu Ranger Station, Htamanthi WS & Community Leaders, Guardians and Guards CF User groups (5-9 members (management))	<ul style="list-style-type: none"> Indicator 10 – Patrol records – incidence and prosecutions Indicator 12 / Output 2.3 – Htamanthi WS Management Plan – consultation, collaboration, co-management responsibility -
Others	<ul style="list-style-type: none">
WCS (PCU) – Yangon	<ul style="list-style-type: none"> Indicator 8 IUCN Ecosystem Red list Indicator 14 – Capacity Dev. Report; PA Financing report; project exit plan
UNDP CO – Yangon	<ul style="list-style-type: none"> Policy

No	Stakeholders	Location
1.	Nature and Wildlife Conservation Division, FD, MoNREC	Nay Pyi Taw
2.	Planning and Statistics Division, FD, MoNREC	Nay Pyi Taw
3	Myanmar Forest School, FD, MoNREC, Pyin Oo Lwin	Representative in Nay Pyi Taw
4	CFDTC, FD, MoNREC, Hmawbi Township	Representative in Nay Pyi Taw
5	University of Forestry and Environmental Sciences	Yezin, Nay Pyi Taw
6	Environmental Conservation Department, GEF Focal	Nay Pyi Taw
7	Technical Advisory Group on PA (TAGPA)	Some members from FD in Nay Pyi Taw
8	Project Steering Committee (PSC) member	Some members from FD in Nay Pyi Taw
9	WCS Team (Project Management Unit)	Yangon
10	Kachin State Forest Department	Myitkyina
11	Putao Forest Department	Putao Township
12	Putao General Administration Department	Putao Township
13	Community Leader	Putao Township
14	NWCD/Forest Staff and communities	HTRC
15	Homalin Forest Department	Homalin Township
16	Sagaing Regional Government Officials	Monywa
17	Mr. Tashi Dorji (Regional Technical Specialist)	On Skype
18	UNDP Myanmar CO	UNDP Yangon

Annex 9: Rating Scales

The following UNDP-GEF grading scales were applied in the evaluation

Evaluation Criteria

Criteria	Definition
Effectiveness - Objective	- The extent to which an objective has been achieved or how likely it is to be achieved.
Effectiveness - Outcomes	- Results include direct project outputs, short to medium-term outcomes
Relevance	<ul style="list-style-type: none"> - The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. - The extent to which the project is in line with the GEF Operational Programs or the strategic priorities under which the project was funded. (Retrospectively, relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.)
Efficiency	- The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.
Sustainability	<ul style="list-style-type: none"> - The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion - Projects need to be environmentally, as well as financially and socially sustainable
Impact	<ul style="list-style-type: none"> - The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention. - Longer term impact including global environmental benefits, replication effects and other local effects.

Rating Scale for Outcomes (Overall, Effectiveness & Efficiency)

Highly Satisfactory (HS)	<p>The project had no shortcomings in the achievement of its objectives in terms of effectiveness (outcomes), or efficiency.</p> <p>The project is expected or has achieved its global environmental objectives.</p> <p>The project can be presented as 'good practice'.</p>
Satisfactory (S)	<p>There were only minor shortcomings</p> <p>The project is expected or has achieved most of its global environmental objectives.</p>
Moderately Satisfactory (MS)	<p>There were moderate shortcomings</p> <p>The project is expected or has achieved most of its relevant objectives but with moderate / significant shortcomings or modest overall relevance.</p> <p>The project isn't going to achieve some of its key global environmental objectives</p>
Moderately Unsatisfactory (MU)	<p>The project had significant shortcomings</p> <p>The project is expected to achieve its global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.</p>
Unsatisfactory (U)	<p>There were major shortcomings in the achievement of project objectives in terms of effectiveness, or efficiency</p> <p>The project is not expected to achieve most of its global environment objectives</p>
Highly Unsatisfactory (HU)	<p>The project had severe shortcomings</p> <p>The project has failed to achieve any of its major environment objectives</p>

Or Not Applicable (N/A); Unable to Assess (U/A)

Note

Overall Outcome: Achievement of the project objective will be rated HS to U.

Effectiveness: Each of the project's three outcomes will be rated HS to U. The colour coding of the individual indicator targets in **Annex 1** will partially help determine the grade. Each of the outcome indicators will also each be given a grade (in the justification column), however the final rating for each of the three outcomes will be due to appropriate weighting in terms of attaining project objectives. This means that professional judgement of the TE team will also be a key consideration.

Efficiency: An overall rating for cost-effectiveness will be provided

Rating Scale for Outcome (Relevance)

Relevant (R)	Not relevant (NR)
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Rating Scale for Implementing Agency (IA) and Executing Agency (EA) Execution

Highly Satisfactory (HS)	The agency had no shortcomings in the achievement of their objectives in terms of quality of implementation or execution. Implementation of all five given management categories – IA or EA coordination & operational matters, partnership arrangements & stakeholder engagement, finance & co-finance, M&E systems, and adaptive management (work planning, reporting & communications, including update to project design) – has led to an efficient and effective project implementation. The agency can be presented as providing ‘good practice’
Satisfactory (S)	The agency had only minor shortcomings in terms of the quality of implementation or execution. Implementation of most of the five management categories has led to an efficient and effective project implementation
Moderately Satisfactory (MS)	The agency had moderate shortcomings Implementation of some of the five management categories has led to a moderately efficient and effective project implementation
Moderately Unsatisfactory (MU)	The agency had significant shortcomings Implementation of some of the five management categories has not led to efficient and effective project implementation
Unsatisfactory (U)	There agency had major shortcomings in the quality of implementation or execution Implementation of most of the five management categories had not led to efficient and effective project implementation
Highly Unsatisfactory (HU)	The agency had severe shortcomings with poor management leading to inefficient and ineffective project implementation

Rating Scale for Monitoring & Evaluation

Highly Satisfactory (HS)	The M&E system – its design and implementation had no shortcomings in the support of achieving project objectives. The M&E system was highly effective and efficient and supported the achievement of major global environmental benefits. The M&E system and its implementation can be presented as ‘good practice’.
Satisfactory (S)	The M&E system – its design and implementation had minor shortcomings in the support of achieving project objectives. The M&E system was effective and efficient and supported the achievement of most of the major global environmental benefits, with only minor shortcomings
Moderately Satisfactory (MS)	The M&E system – its design and implementation had moderate shortcomings in the support of achieving project objectives. The M&E system supported the achievement of most of the major relevant objectives, but had significant shortcomings or modest overall relevance
Moderately Unsatisfactory (MU)	The M&E system – its design and implementation had major shortcomings in the support of achieving project objectives. The M&E system supported the achievement of most of the major environmental objectives, but with modest relevance
Unsatisfactory (U)	The M&E system – its design and implementation had major shortcomings and did not support the achievement of most project objectives. The M&E system was not effective or efficient
Highly Unsatisfactory (HU)	The M&E system failed in its design and implementation in terms of being effective, efficient or supporting project environmental objectives or benefits.

Rating Scale for Sustainability

Likely (L)	Negligible risks to sustainability with key Outcomes achieved by the project closure and expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some Outcomes will be sustained
Moderately Unlikely (MU)	Significant risk that key Outcomes will not carry on after project closure, although some outputs should carry on
Unlikely (U)	Severe risks that project Outcomes as well as key outputs will not be sustained

According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability are critical: i.e., the overall rating for sustainability is not higher than the lowest-rated dimension.

Ratings should take into account both the probability of a risk materializing and the anticipated magnitude of its effect on the continuance of project benefits.

Risk definitions:

- a) Whether financial resources will be available to continue activities resulting in continued benefits
- b) Whether sufficient public stakeholder awareness and support is present for the continuation of activities providing benefit
- c) Whether required systems for accountability / transparency & technical know-how are in place
- d) Whether environmental risks are present that can undermine the future flow of the project benefits.

Rating Scale for Impact

Significant (S)	Minimal (M)	Negligible (N)
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Project Impact is rated as Significant; Minimal or Negligible, but also the positive or negative aspect of the impact will be stated.

Concerning impact, the TE will consider the extent of

- a) Verifiable improvement in ecological status; and/or
- b) Verifiable reductions in stress on ecological systems
- c) Regulatory and policy changes at regional, national and/or local levels

Process indicators will be specified to demonstrate achievement of stress reduction and/or ecological improvement.

Part of the impact assessment, will concern catalytic effect. The TE will consider if the project exhibited

- a) Scaling up (to regional and national levels)
- b) Replication (outside of the project),
- c) Demonstration, and/or
- d) Production of a public good, such as new technologies /approaches)

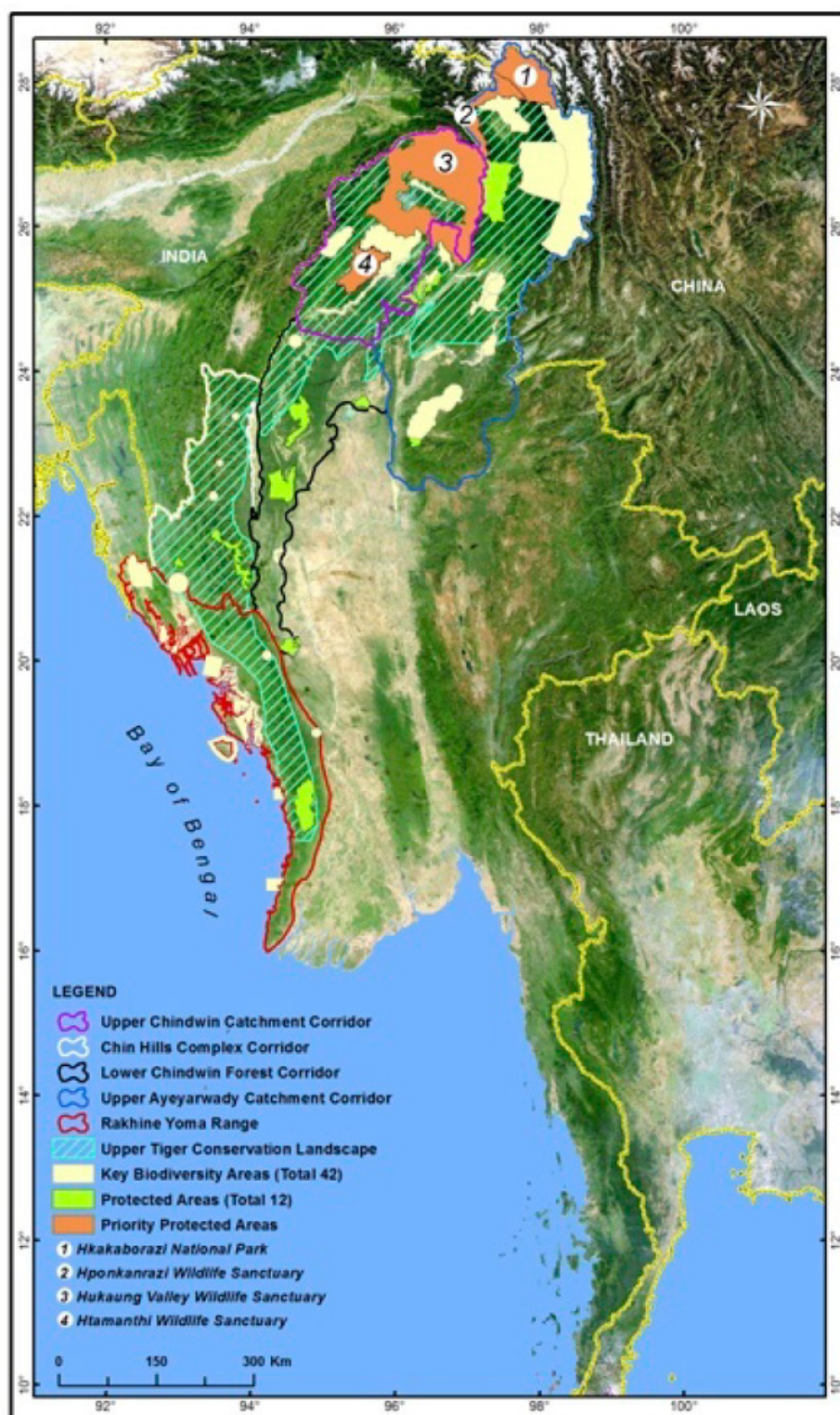
Annex 10: Mission Itinerary

Day/Date	Time	Activity	Participants / Contact	Remarks
Tue 18 Feb 2020		Mr Sobey - Arrival in Yangon		Hotel Yangon
Wed 19 Feb 2020	9.00 am	UNDSS Meeting	TE Consultants	
	10.00 am	Meeting with UNDP SIG Unit	Biplove, Pem, PPS	Confirmed! On skype meeting with Biplove;
	1:30 PM	Meeting with WCS team	U Saw Htun, Robert Tizard, U Hla Naing, Daw Naw May Lay Thant	Confirmed
	1730	Leave for Nay Pyi Taw		Evening flight to NPT: UB FLT 121 17:30 pm, 18:20 pm arrival at NPT Aureum Hotel NPT
Thu 20 Feb 2020	10	Meeting with Director of Budget Division within MoNREC	Director of Budget Division and relevant officers	Confirmed; at MoNREC Office No.(28); Contact Person: Daw Thandar, Deputy Director @09974253848
Fri 21 Feb 2020	9:00 AM	Meeting - Rector, University of Forestry & Environment Science	Rector of UoFES; TAGPA member	Confirmed. Venue: UoFES, Yezin - Rector link with the training curricula? - Rector is the right person to meet. Will also request Dr. Thwe Thwe Win (technical focal point) to join the meeting
	11.00 am	Meeting with DG, FD	Director General, Forest Department (Chair, Project Board) / Division Nature & Wildlife Conservation (also National Project Director)	Confirmed
	01.00 pm	Meeting with ECD DG	DG, Environmental Conservation Department (GEF Operational Focal Point)	Confirmed
	02.30	Planning and Statistic Division, FD	Director, PSD (Member, Project Board)	Confirmed
	03.15 pm	TRDD Division	Director of TRDD (Member, TAGPA)	Confirmed
		Myanmar Forest School	MFS Principal	Confirmed
		Central Forestry Development Training Center (Hmawbi)	Principal	Confirmed
	4:00 PM	Drive to Mandalay from Nay Pyi Taw	WCS colleagues to accompany	by Car (approx. 4 hours), Mandalay. Confirmed!
Sat 22 Feb 2020	AM	Rest		
	3:15 PM	Fly from Mandalay to Myitkyina	WCS colleagues to accompany	Mandalay to Myitkyina: KBZ K7 622 15:10 departure, 16:20 arrival at MKT (Confirmed); until 24th Feb for MKT airport to depart to Putao. Hukaung Hotel Myitkyina
Sun 23 Feb	10.00 am	Meeting with Director of FD in Myitkyina	Director of FD in Myitkyina, Kachin State (Secretary, Regional PAMSC)	Confirmed
		Range Officer for Park Warden	Range Officer, Park Warden	TBC; Hukaung Hotel Myitkyina
Mon 24 Feb 2020		Depart Myitkyina for Putao		By air UB 685, departure: 09.00; arrival: 09.40 Confirmed
	1.30 pm	Meeting with Deputy Director, GAD in Putao District	Deputy Director, GAD in Putao (Chairperson, District PAMSC)	Confirmed! At GAD District Office!

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	PM	Meeting with FD Putao Township	FD Township Officer in Putao (Secretary, District PAMSC); Hkakaborazi and Hponkanrazi Park Wardens	Confirmed! Time not yet mentioned!
	PM	Ethnic Community/CSO Leaders	Putao - Ethnic Community/CSO Leaders	Confirmed! Time not yet mentioned!
Tue 25 Feb 2020	10:25 AM	Fly to Mandalay (Putao-Myitkyina-Mandalay)	with morning flight	UB 616 11:35 departure from Putao, 12:15 arrival at MKT (confirmed)K7 623 16:35 departure from MKT, 17:45 arrival at Mandalay (confirmed)
Wed 26 Feb 2020	AM	Mandalay to Khamti to HTRC		Mandalay to Khamti by air YH739 departure: 12.25 pm; arrival 13.40 pm – Confirmed. Khamti to HTRC by road / Night stop in HTRC Guest House
Thu 27 Feb 2020		Meeting with NWCD/FD Staff	Park Warden and field FD staff at Htamanthi TRC	TBC
		Meeting with Project Communities	Lin Phar ; Swel Khaung Ngaw ; Nam Sa Bi ; Hwe Nar; Ye Baw Mee; Tone Ma Law; Hmaw Yone Myaing villages	Night at HTRC Guest House
Fri 28 Feb 2020		Travel inside Htamanthi WS	by boat and Nam Ei Zu Ranger Station	By boat
		Nam Ei Zu Ranger Station to HTRC		By car
		Meeting with FD, Homalin Township	Staff Officer, Homalin Township	Night at HTRC Guest House
Sat 29 Feb	PM	Depart Homalin for Monywa		By air UB581, departure 14.10; arrival 15.05 / Win Unity Hotel Monywa
Sun 1 Mar	AM /	TE preparation of Feedback Seminar		Win Unity Hotel Monywa (Confirmed)
Mon 2 Mar 2020		GOVERNMENT HOLIDAY	WCS Project Manager, STA, M&E Officer – Interview WCS Team using the GEF UNDP evaluation questions	Win Unity Hotel Monywa (Confirmed)
Mon 3 Mar 2020	AM	Meeting with Director FD, Sagaing Region at Monywa	Director, Regional Forest Department (Regional Secretary, PAMSC)	Win Unity Hotel Monywa (Confirmed)
	AM	Meeting Minister of Natural Resources & Chin Ethnic Affairs U Lar Htaung Lan	(Chairperson, Sagaing Regional PAMSC)	Win Unity Hotel Monywa (Confirmed)
	12 noon	Leave for Nay Pyi Taw	By car (6 hours)	Aureum Hotel NPT
Tue 4 Mar 2020	AM	IUCN	Project Coordinator, TAGPA member	TBC / Aureum Hotel NPT
	PM	TE Feedback Seminar	Project Stakeholders (Govt. Officers, UNDP, WCS)	By air UB 122, departure 18.50; arrival 19.40 (Confirmed)
Wed 5 Mar 2020	09.30	Meeting with WWF		Confirmed
	11. .00	PA Governance Policy review	David Abrahamson	
		Meeting Myanmar Biodiversity Fund	Directors	Confirmed (specific time to confirm)
	PM	UNDP debrief	RR a.i, DRR, Biplove, Pem, San	
	PM	Skype - Mr. Tashi RTA	Tashi Dorji, Regional Technical Advisor	TL leave for airport late in evening 10.30 PM
Fri 6th		Depart Yangon		Flight 1.50 AM in the night (i.e very early in the morning)

Annex 11: Map



Annex 12: Indicative TE Evaluation Matrix

This questionnaire was used as a general aid during the field visit with the results described in section 3. (Note there is no further information to be presented in the blank boxes.)

Evaluation Question	Response / Finding	Conclusion/ Recommend
Relevance: How does the project relate to the main objectives of the GEF FA, and to the environment and development priorities at the local, regional and national levels?		
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?		
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?		
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?		
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and / or improved ecological status		
Findings discussion – 3 areas - Project formulation, project implementation, and project results.		
Project Strategy		
Project Design:		
To what extent is the project in line with national and local priorities?		
To what extent is the Project aligned to the main objectives of the GEF focal area?		
Have synergies with other projects and initiatives been incorporated in the design?		
Were lessons from other relevant projects properly incorporated into the project design?		
Decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?		
Have issues materialized due to incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document?		
Results Framework:		
Are the project objective / outcomes clear, practicable, & feasible within its time frame?		
Were the project's logframe indicators and targets appropriate?		
How "SMART" were the midterm and end-of-project targets (Specific, Measurable, Attainable, Relevant, Time-bound)? Any amendments?		
Progress towards Results		
Progress towards Outcomes Analysis:		
Review the logframe indicators against delivery at end-of-project targets using the Results Matrix (see Annex).		
Compare and analyse the GEF Tracking Tool at the Baseline, MTR and End.		
Which barriers hindered achievement of the project objective		
PROJECT FORMULATION		
Were the project's objectives and components clear, practicable and feasible within its time frame?		
Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed?		
Were lessons from other relevant projects properly incorporated in the project design?		
Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?		
Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?		
Were the project assumptions and risks articulated in the PIF and project document?		
Whether the planned outcomes were SMART		
ASSUMPTIONS AND RISKS		
As per logframe - Logical and robust, and have helped to determine activities and planned outputs.		
Externalities (i.e. effects of climate change, global economic crisis, etc.) which are relevant to the findings.		
Project Implementation & Adaptive Management		
GEF Partner Agency / Implementing Entity – UNDP		
Has there been an appropriate focus on results?		
Has the UNDP support to the Executing Agency/Implementing Partner and Project Team been adequate?		
Has the quality and timeliness of technical support to the Executing Agency/ Implementing Partner and Project Team been adequate?		
How has the responsiveness of the managing parties to significant implementation problems (if any) been?		
Has overall risk management been proactive, participatory, and effective?		
Are there salient issues regarding project duration, for instance to note project delays? And, how have they affected project outcomes and sustainability?		
Candor and realism in annual reporting		
Executing Agency/ Implementing Partner Execution		
Were the capacities of the executing institution(s) and its counterparts properly considered when the Project was designed?		
Were partnership arrangements properly identified and roles and responsibilities negotiated prior to Project approval?		
Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry?		
Have management inputs and processes, including budgeting and procurement been adequate?		

Has there been adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure?		
Whether there was an appropriate focus on results and timeliness?		
Quality of risk management?		
Candor and realism in reporting?		
Government ownership (when NEX) or level of support if 'in cooperation with' the IP.		
Work Planning / PROJECT IMPLEMENTATION		
Effective partnerships arrangements established for implementation of the project with relevant stakeholders involved in the country/region, including the formation of a Project Board.		
Lessons from other relevant projects incorporated into project implementation.		
Feedback from M&E activities used for adaptive management.		
Has the project experienced delays in start-up and/or implementation? What were the causes of the delays? And, have the issues been resolved?		
Were work-planning processes results-based?		
Did the project team use the results framework/ logframe as an M&E and a management tool?		
Were there any changes to the logframe since project start, and have these changes been documented and approved by the project board?		
FINANCE & CO-FINANCE		
<u>Prodoc</u> Did the prodoc identify potential sources of co-financing as well as leveraged and associated financing? Prodoc include strong financial controls that allowed the project management to make informed decisions regarding the budget, allow for the timely flow of funds and for the payment of project deliverables Did the prodoc demonstrate due diligence in the management of funds, including periodic audits.		
Sufficient clarity in the reported co-financing to substantiate in-kind and cash co-financing from all listed sources. The reasons for differences in the level of expected and actual co-financing. The extent to which project components supported by external funders were integrated into the overall project. Effect on project outcomes and/or sustainability from the extent of materialization of co-financing. Evidence of additional, leveraged resources that have been committed as a result of the project. (Leveraged resources can be financial or in-kind and may be from other donors, NGOs, foundations, governments, communities or the private sector)		
<u>Cost-effective factors</u> Compliance with the incremental cost criteria and securing co-funding and associated funding. Project completed the planned activities and met or exceeded the expected outcomes in terms of achievement of Global Environmental and Development Objectives according to schedule, and as cost-effective as initially planned. The project used either a benchmark approach or a comparison approach (did not exceed the costs levels of similar projects in similar contexts)?		
<u>Standard Finance questions</u> (see MTR) Have strong financial controls been established allow the project management to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and the payment of satisfactory project deliverables?		
Are there variances between planned and actual expenditures? If yes, what are the reasons behind these variances?		
Has the project demonstrated due diligence in the management of funds, including annual audits?		
Have there been any changes made to the fund allocations as a result of budget revisions? Assess the appropriateness and relevance of such revisions.		
Has pledged cofinancing materialized? If not, what are the reasons behind the cofinancing not materializing or falling short of targets?		
Project-level Monitoring and Evaluation Systems		
The quality of the Monitoring and Evaluation (M&E) plan's design and implementation: An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, MTR, TE, and adequate funding for M&E activities.		
M&E plan at project start up, considering whether baseline conditions, methodology and roles and responsibilities are well articulated. Is the M&E plan appreciated? Is it articulated sufficiently to monitor results and track progress toward achieving objectives?		
Were sufficient resources allocated effectively to M&E?		
Were there changes to project implementation / M&E as a result of the MTR recommendations?		
Are the M&E systems appropriate to the project's specific context? - effectiveness of monitoring indicators from the project document for measuring progress and performance		
Do the monitoring tools provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective?		
To what extent has the Project Team been using inclusive, innovative, and participatory monitoring systems?		
To what extent have follow-up actions, and/or adaptive management measures, been taken in response to the PIRs? Check to see whether APR/PIR self-evaluation ratings were consistent with the MTR and TE findings. If not, were these discrepancies identified by the project steering committee and addressed?		
Compliance with the progress and financial reporting requirements/ schedule, including quality and timeliness of reports		
The value and effectiveness of the monitoring reports and evidence that these were discussed with stakeholders and project staff		
The extent to which development objectives are built into monitoring systems: How are perspectives of women and men involved and affected by the project monitored and assessed?		

How are relevant groups' (including women, indigenous peoples, children, elderly, disabled, and poor) involvement with the project and the impact on them monitored?		
Has there been adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure?		
STAKEHOLDER ENGAGEMENT		
Are the interactions as per the prodoc? Stakeholder interactions include information dissemination, consultation, and active participation in the project.		
Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?		
Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?		
Participation and public awareness: How has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?		
Are there any limitations to stakeholder awareness of project outcomes or to stakeholder participation in project activities? Is there invested interest of stakeholders in the project's long-term success and sustainability?		
Reporting:		
How have adaptive management changes been reported by the Project Team and shared with the Project Board?		
How well have the Project Team and partners undertaken and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs?), and suggest trainings etc. if needed?		
How have PIRs been shared with the Project Board and other key stakeholders?		
How have lessons derived from the adaptive management process been documented, shared with key partners and internalized by partners, and incorporated into project implementation?		
Communication:		
Internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and long-term investment in the sustainability of project results?		
External project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)		
Are there possibilities for expansion of educational or awareness aspects of the project to solidify a communications program, with mention of proper funding for education and awareness activities? What aspects of the project might yield excellent communications material, if applicable?		
ADAPTIVE MANAGEMENT		
Changes in the environmental and development objectives of the project during implementation, why these changes were made and what was the approval process. Causes for adaptive management: a) original objectives were not sufficiently articulated; b) exogenous conditions changed, due to which a change in objectives was needed; c) project was restructured because original objectives were overambitious; d) project was restructured because of a lack of progress;		
How these changes were instigated and how these changes affected project results: - Did the project undergo significant changes as a result of recommendations from the MTR? Or as a result of other review procedures? Explain the process and implications. - If the changes were extensive, did they materially change the expected project outcomes? - Were the project changes articulated in writing and then considered and approved by the project steering committee?		
PROJECT RESULTS		
A 'result' is defined as a describable or measurable development change resulting from a cause-and-effect relationship. In GEF terms, results include direct project outputs, short- to medium-term outcomes, and longer-term impact including global environmental benefits, replication effects, and other local effects. Assess the results based management (RBM) chain, from inputs to activities, to outputs, outcomes and impacts.		
Assess the project results using indicators and relevant tracking tools		
BROADER ASPECTS OF PROJECT OUTCOMES		
Country Ownership		
Project concept had its origin within the national sectoral and development plans?		
Have Outcomes (or potential outcomes) from the project have been incorporated into the national sectoral and development plans? Has the government enacted legislation and/or developed policies and regulations in line with the project's objectives?		
Relevant country representatives (e.g., governmental official, civil society, etc.) were actively involved in project identification, planning and/or implementation, part of steering committee?		
Was an intergovernmental committee given responsibility to liaise with the project team, recognizing that more than one ministry should be involved?		
The recipient government has maintained financial commitment to the project?		
Mainstreaming (Broader Development and Gender)		
Whether broader development and gender issues had been taken into account in project design and implementation?		
In what way has the project contributed to greater consideration of gender aspects, (i.e. project team composition, gender-related aspects of environmental impacts, stakeholder outreach to women's groups, etc). If so, indicate how.		
Did the MTR recommend improvements to the logframe with SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits? - Were these taken up?		
1. Whether it is possible to identify and define positive or negative effects of the project on local populations (e.g. income generation/ job creation, improved natural resource management arrangements with local groups, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources for long term sustainability).		

2. If the project objectives conform to agreed priorities in the UNDP country programme document (CPD) and country programme action plan (CPAP).		
3. Whether there is evidence that the project outcomes have contributed to better preparations to cope with natural disasters.		
The mainstreaming assessment should take note of the points of convergence between UNDP environment-related and other development programming.		
Sustainability		
Risk Management		
Are the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module the most important? And, are the risk ratings applied appropriate and up to date? If not, explain why.		
Financial Risks to Sustainability (of the project outcomes)		
What is the likelihood of financial and economic resources not being available once the GEF assistance ends? (This might include funding through government - in the form of direct subsidies, or tax incentives, it may involve support from other donors, and also the private sector. The analysis could also point to macroeconomic factors.)		
What opportunities for financial sustainability exist?		
What additional factors are needed to create an enabling environment for continued financing?		
Has there been the establishment of financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (i.e. from the public and private sectors, income generating activities, and market transformations to promote the project's objectives)?		
Socio-Economic Risks to Sustainability:		
Are there social or political risks that may threaten the sustainability of project outcomes?		
What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?		
Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?		
Is there sufficient public/ stakeholder awareness in support of the project's long-term objectives?		
Have lessons learned been documented by the Project Team on a continual basis?		
Are the project's successful aspects being transferred to appropriate parties, potential future beneficiaries, and others who could learn from the project and potentially replicate and/or scale it in the future?		
Institutional Framework and Governance Risks to Sustainability:		
Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize project benefits?		
Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project's closure?		
How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?		
How has the project identified and involved champions (i.e. individuals in government and civil society) who can promote sustainability of project outcomes?		
Has the project achieved stakeholders' (including government stakeholders') consensus regarding courses of action on project activities after the project's closure date?		
Does the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership)? Can the project strategies effectively be incorporated/mainstreamed into future planning?		
Environmental Risks to Sustainability:		
Are there environmental factors that could undermine and reverse the project's outcomes and results, including factors that have been identified by project stakeholders? E.g. climate change risk to biodiversity		
Impact - Progress towards the achievement of impacts		
Verifiable improvements in ecological status (or via process indicators to show it is likely in the future)?		
Verifiable reductions in stress on ecological systems (via process indicators)?		
E.g. as a result of the project, there have been regulatory and policy changes at regional, national and/or local levels? (Use tracking tools and indications from baseline to target)		
Identify the mechanisms at work (i.e. the causal links to project outputs and outcomes);		
Assess the extent to which changes are taking place at scales commensurate to natural system boundaries; and		
Assess the likely permanence (long lasting nature) of the impacts.		
On the basis of the outcome and sustainability analyses, identify key missing elements as that are likely to obstruct further progress.		
Theory of Change – Identify project intended impacts – verify logic – analyse project outcome to impact pathway		
Based on the theory of change (building blocks, catalysts etc), has the progress towards impact has been significant, minimal or negligible.		
Catalytic role		
Scaling up - Approaches developed through the project are taken up on a regional / national scale, becoming widely accepted, and perhaps legally required		
Replication - Activities, demonstrations, and/or techniques are repeated within or outside the project, nationally or internationally		
Demonstration - Steps have been taken to catalyze the public good, for instance through the development of demonstration sites, successful information dissemination and training		
Producing a public good –		
(a) The lowest level of catalytic result, including for instance development of new technologies and approaches.		
(b) No significant actions were taken to build on this achievement, so the catalytic effect is left to 'market forces'		

Annex 13: Signed UNDP Code of Conduct Agreement Form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

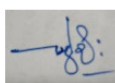
Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultants: May Nwe Soe, Richard Sobey

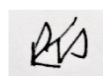
We confirm that we have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed 4th February 2020

Signed 4th February 2020




May Nwe Soe
National Consultant / Team Specialist



Richard Sobey
International Consultant, Team Leader

Annex 14: Signed TE Final Report Clearance Form

<u>Terminal Evaluation Report Reviewed and Cleared By:</u>	
<u>Commissioning Unit</u>	
<u>Name:</u>	
<u>Signature:</u> 	<u>Date:</u>
<u>UNDP-GEF Regional Technical Advisor</u>	
<u>Name:</u> Tashi Dorji	
<u>Signature:</u>	<u>Date:</u> 3 July 2020

Annex 15: Terms of Reference

As the presented on the UNDP ERC webpage