Capacity and Competency Needs Assessment and Strengthening for Cook Islands Ridge to Reef Approaches and Protected Area Management

Capacity Needs Assessment Report

Report prepared for Ridge to Reef (R2R) Project and UNDP

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Contents

Acronyms and abbreviations

CDS	Capacity development scorecard
CIBD	Cook Islands Biodiversity Database
CIMP	Cook Islands Marine Park (synonymous with Marae Moana)
CITIC	Cook Islands Tourism Industry Council
CITC	Cook Islands Tourism Corporation
CNA	Capacity needs assessment
CNAR	Capacity needs assessment report
CR	Capacity result
CSAP	Capacity strengthening action plan
CTA	Chief Technical Adviser
EEZ	Exclusive Economic Zone
FFA	Forum Fisheries Agency
FSS	Financial sustainability scorecard
FY	Financial year
GEF	Global Environment Facility
GIS	Geographic information system
HoA	House of Iriki
IUCN	International Union for Conservation of Nature
Marae Moana	Cook Islands Maori term for the entire marine protected area; means 'Our nourishing source of life; respected, cared for and used wisely, today and for generations to come'.
M&E	Monitoring and evaluation
MEE	Management effectiveness evaluation
MER	Monitoring, evaluation and reporting
METT	Management effectiveness tracking tool
MM	Marae Moana
MMCO	Marae Moana Coordination Office
MMR	Ministry of Marine Resources
MoA	Ministry of Agriculture
MPA	Marine protected area
MSP	Marine spatial plan
MTR	Mid Term Review
NBSAP	National Biodiversity Strategic Action Plan
NES	National Environment Service
NGO	Non-government organisation
NHT	Natural Heritage Trust
NRM	Natural resources management
OPM	Office of the Prime Minister

OPSC	Office of the Public Service Commissioner
PA	Protected area
PAMs	Protected area managers
PMU	Project Management Unit
ProDoc	Project Design Document
Ra'ui	traditional form of protected area as used in Cook Islands
R2R	Ridge to Reef
SFM	Sustainable financing mechanism
SRF	Strategic results framework
TAG	Technical Advisory Group
ToR	Terms of Reference
UNDP	United Nations Development Program
VSA	Volunteer Service Abroad
WCPA	World Commission for Protected Areas

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Executive Summary

The Cook Islands Ridge to Reef (R2R) project is funded by the UNDP Global Environment Facility (GEF) in partnership with the Cook Islands Government. The project aims to enhance the capacity of the Cook Islands to effectively manage its protected areas and sustainably manage its productive landscapes at local scales while considering food security and livelihoods.

This capacity needs assessment report (CNAR) aims to identify the capacity needed to implement and complete the R2R project and to establish and manage the overall system of protected areas in the Cook Islands.

Methodology and approach

Capacity needs were identified at system, organisational and protected area/site levels. Project implementation status and performance was rapidly assessed in recognition that capacity development is about closing the gap between actual and desired performance.

Organisations assessed were the R2R Project Management Unit (PMU), National Environment Service (NES), Ministry of Marine Resources (MMR), Ministry of Agriculture (MoA), Cook Islands Tourism Corporation (CITC), and Marae Moana Coordination Office (MMCO), within the Office of the Prime Minister (OPM). Marae Moana (Cook Islands Marine Park) was the main site/protected area assessed.

The R2R capacity development process used a five-step approach:

- Step 1: *Where are we now?* A mixed methods assessment approach - quantitative and qualitative – was targeted at each capacity level. Data was collected and analysed using a capacity development scorecard, management effectiveness tracking tool, financial sustainability scorecard and qualitative methods.
- Step 2: *Where do we want to go?* Answering this question involved a rapid assessment of the current status of project implementation and performance. The output was a R2R Prognosis Report. This analysis showed that overall just 18% of project performance indicators are on track to be completed by the time the project closes in January 2021; 58% are at risk unless significant remediation action is taken; and 24% are not expected to be completed by closure.
- Step 3: *What capacity do we need to achieve goals?* This step defined the capacity that exists now compared with the current performance and status of the R2R project and what the project is likely to achieve over the remaining 18 months. This process identified capacity gaps/deficiencies and therefore the capacity needs.
- Output from steps 1-3 is this CNAR.
- Steps 4-5 comprise the capacity strengthening action plan and implementation phases and will be undertaken after the CNAR is approved.

Main findings

Capacity needs at system level include:

- Redesign and reform of the legislation for protected areas. The absence of a coherent legislative design and functional responsibility map for protected area organisations is a very significant capacity gap and need for the country.
- Thorough review of existing governance forums with a view towards introduction of greater efficacy and integrated; use of the existing Marae Moana governance forums is advocated.
- Strengthened relationships between protected area managers and the tourism sector. Having the right people – particularly in NES - that can manage and harness this relationship is a major capacity gap – for remainder of R2R and beyond.
- Finalisation of the R2R study into sustainable financing mechanisms and identification of additional capacity needed for implementation. Currently there is weak capacity for sustainable financing and this situation has not improved over the past five years; capacity for revenue generation is particularly weak. Opportunities for R2R to provide additional capacity support for sustainable financing should be examined.

- Consideration of how whole-of-government information management functions (databases, GIS) are best addressed and organised (centralised or dispersed).
- Cross-sectoral partnerships and collaboration. R2R design and performance in this area cross-sectoral partnerships were seen by informants as its biggest weakness yet greatest opportunity. There is a need to build skills and experience in partnerships and relationships; sch capacity should be recruited and brought it in if necessary.
- Development of improved systems for activity management by implementation organisations.
- Selectin of 1-2 pilot projects where the R2R approach can be trialled and demonstrated. The Aitutaki lagoon master plan was identified as one such project that could be expanded to encompass a land-to-sea scope. This expanded project transcends multiple organisations: PMU, MMR, NES, MMCO, CITC, local landowners, and other stakeholders; it will require additional technical and managerial capacity and greater senior manager involvement (potentially through the Marae Moana TAG).
- Use of high-level governance forums such as the Marae Moana Technical Advisory Group (TAG) to develop and maintain cross-sectoral partnerships and to address disputes.

Capacity needs at organisational level include:

- Greater managerial oversight of the PMU and increased level of technical expertise in protected area policy, strategy, procurement and management of consultants, and multi-stakeholder partnerships.
- Focused attention on completion of high priority activities and outputs from the R2R Sustainable Results Framework (SRF) – notably protected areas legislative reform, national system for protected areas, categorisation system for protected areas, and management plans - that will have long-lasting benefits.
- Greater priority given to data analysis and technical report writing by NES and MMR – converting biodiversity and water quality data into reports with management recommendations.
- Greater hands-on involvement of NES senior management in R2R implementation for the remainder of the project.
- Potential lead coordination role for MMCO in reform of protected areas legislation and governance ‘architecture’, and organisational redesign, that give greater efficacy and simplification.
- Expansion of the role of the Marae Moana Council, TAG and MMCO to include the national protected area system and legislation, and strategic oversight and periodic evaluation of its management.
- For both MMR and MoA, review and confirmation that their R2R-funded activities are properly aligned with project outcomes, indicators and targets.
- Strategic planning for post-R2R and transfer of functions, assets and activities. This is of particular importance for MMR as they have been the primary recipient of R2R activity funding and have R2R-funded staff.
- Greater endeavours on behalf of the PMU and senior staff in MMR and MoA to improve understanding of the landscape scale and land-to-sea vision of R2R and the core role that implementation agencies could and should play in attainment of that vision.
- Expansion of the CITC tourism accreditation system to encompass biodiversity conservation and ecotourism.
- Engagement of a Sustainable Tourism Adviser who can provide specialist advice to tourism operators regarding infrastructure developments, tours and ecotourism.

Capacity needs for Marae Moana (Cook Island Marine Park) include:

- Although modest improvement in management effectiveness was demonstrated and is promising, the reality is Marae Moana remains a 'paper park' with substantial capacity gaps in planning, zoning, financing, field staff, compliance, enforcement and communications.
- Improved understanding and awareness of Marae Moana so it has a more tangible, visible, and felt presence in the lives of islanders, its organisations and visitors. An enormous communications effort is needed – including engagement of traditional leaders and the tourism sector.
- Dialogue across government agencies to ensure that any new and amended legislation is complimentary to Marae Moana and serves to strengthen - not weaken or duplicate - coordination and integration mechanisms.
- Development of a specific needs assessment and strengthening plan for surveillance and enforcement requirements (once marine spatial plans are completed).

Capacity needs at island protected areas level include:

- Undertake management effectiveness reviews of the five protected areas that are part of the R2R scope and strategic results framework; this will generate important information about management performance and capacity needs at site level.
- Development of a national classification system and framework for all formal and customary protected areas; this will build understanding as to how the diverse array of traditional sites fit into the national scheme.
- Continued effort to overcome the difficulty in negotiating customary land ownership outcomes and satisfying community and leader expectations and needs.
- Need to build upon, enhance and finalise already drafted management plans, rather than start from scratch.
- Opportunity to have field officers (rangers, fisheries officers) branded as Marae Moana to assist in giving Marae Moana a greater physical and 'felt 'presence.

1. Introduction

1.1 Project outline

The Cook Islands Ridge to Reef (R2R) project is funded by the UNDP Global Environment Facility (GEF) in partnership with the Cook Islands Government. The project aims to enhance the capacity of the Cook Islands to effectively manage its protected areas and sustainably manage its productive landscapes at local scales while considering food security and livelihoods. This includes the operationalisation of the Cook Island Marine Park (CIMP) (covering approximately 1.1 million km^2 of Cook Islands southern Exclusive Economic Zone - EEZ[1]) and the establishment and strengthening of various forms of protected and locally managed areas within the CIMP, including protected natural areas, community conservation areas, and ra'ui sites.

In so doing, the project will support the Cook Islands in maintaining traditional resource management and conservation systems and approaches, including a leading role for traditional and local leaders and the local communities that they represent in the declaration and management of protected areas, while also integrating these traditional systems into a formal legal and institutional system of protected areas.

The project will support the Government in tailoring policy, regulatory and institutional frameworks to suit the specific characteristics of the Cook Islands and of the new CIMP, recognising that protection and sustainable use will need to be zoned and planned carefully, and that tenure over most land areas is vested in local communities through a traditional tenure system.

The project has been designed to engineer a paradigm shift in the management of marine and terrestrial protected areas - from a site centric approach to a holistic 'ridge to reef' management approach, whereby tourism and agriculture activities in production landscapes adjacent to marine and terrestrial protected areas will be managed to reduce threats to biodiversity.

The project started in July 2015 (upon signature of the project document) and was originally intended to be completed and close in July 2019. However approval was provided in early 2019 for a no-cost project extension to 6 January 2021.

The Cook Islands National Environment Service (NES) is the lead executing agency for R2R, responsible for project management, coordination and collaboration with implementation partners.

The project has seven output areas as follows:

- Output 1.1: Strengthened legal / regulatory and policy frameworks for protected areas
- Output 1.2: Expanded and strengthened management systems for protected areas
- Output 1.3: Strengthened institutional coordination and capacities at the national and local levels for the participatory management of protected areas
- Output 1.4: Financial sustainability framework developed for system of protected areas
- Output 2.1: Ridge to Reef approaches integrated into land use and development planning
- Output 2.2: Biodiversity conservation mainstreamed into agriculture sector
- Output 2.3: Biodiversity conservation mainstreamed into tourism sector.

This report forms part of a broader capacity needs assessment and planning activity that fits within Output 1.3. There are three major outputs:

- Inception report (July 2019) (Twyford 2019)
- Capacity needs assessment report (August 2019) (this report)
- Capacity strengthening action plan (to bed developed in September-October 2019).

[1] Since the R2R project was initially designed and commenced (in July 2015), the CIMP (renamed as Marae Moana) has been extended to cover the entire EEZ.

1.2 Aims

This report aims to:

- Provide a brief overview of capacity development concepts, models and good practice.
- Outline a framework for capacity development for R2R, Marae Moana and broader protected area management in Cook Islands.
- Describe the methodology and approach to assess R2R capacity needs.
- Identify the capacity needed to complete the R2R project and to establish and manage the overall system of protected areas.
- Provide basis for development of the R2R capacity strengthening plan.

1.3 Context

The R2R design document (extract at Annex 1) identified that a capacity needs assessment and action plan would be developed, and funding was provided in the R2R project budget for this to be enacted. Despite the project having been underway for four years no capacity needs assessment or action plan has yet been produced, nor any robust, systemic approach to capacity delivery[2].

Ideally this consultancy would have been undertaken early in the life of R2R and not in its last 16 months; accordingly this consultancy has a constrained timeframe and outlook for implementation.

2. Consultancy overview

2.1 Terms of reference

The terms of reference (ToR) (Annex 2) for this consultancy specify that 'the consultant will be responsible for conducting a comprehensive capacity and competency needs assessment on key capacity issues relevant to implementing Ridge to Reef and to establish and manage protected areas in the Cook Islands. The assessment will determine the technical, institutional and individual capacity and resources needed to implement R2R approaches and to establish and manage the overall system of protected areas, the Cook Islands Marine Park (CIMP) and individual protected areas, and it will assess to what degree those capacities and resources exist in the Cook Islands'.

The ToR are informed and guided by information in the R2R project design document (ProDoc) (UNDP 2015); extracts relevant to capacity development are at Annex 1.

2.2 Consultancy deliverables

The deliverables (outputs) for this consultancy have been planned at request of UNDP and NES to take account of availability of partner organisation counterparts. Key inputs and outputs (in italics) have been planned and scheduled as follows:

- *Inception Report*: prior to first mission[3]. This report was completed in July 2019 (Twyford 2019); its main aims were to propose a methodology, approach, and an inputs plan to be used throughout the consultancy; to identify important scope issues that needed resolution; and seek NES and R2R Project Management Unit (PMU) approval on management measures. The inception report was approved in late July 2019.
- First mission: 7-21 July
- *Capacity Needs Assessment Report* (this report): to be submitted after first mission.
- Second mission: scheduled for 11-20 September and to include *presentation* of the Capacity Needs Assessment Report and Capacity Strengthening Action Plan to key government and non-government stakeholders.
- *Capacity Strengthening Action Plan*: to be submitted after second (and final) mission.

[2] The R2R design and mid-term review (MTR) report (Laurie 2018) did list a range of required staff training courses however this appears to be in the absence of any consideration of needs, existing and desired capacity, or organisational performance.
[3] Report completion was delayed due to late supply of key UNDP and R2R documents.

2.3 Inputs plan

The consultancy inputs are as follows:

Mission	Main activities	Total input days

#1: 7-21 July	• Travel 7-8 July, Port Vila – Auckland - Rarotonga
	• In-country: 8-19 July
	  ○ briefings, stakeholder meetings, agency interviews, meeting with partner representatives to present initial observations and findings, and seek feedback and verification
	  ○ consultant analysis and write-ups
	• Travel 20-21 July, Rarotonga – Auckland - Port Vila
		15

# 2: 11-20 September	• Travel 11-12 September, Port Vila - Auckland - Rarotonga 	
	• In-country: 11-18 September:
	  ○ briefings, stakeholder meetings, meeting with partner representatives to present main observations and findings, and seek feedback and verification
	  ○ presentation of the CNA Report and draft Capacity Strengthening Action Plan to key government and non-government stakeholders
	  ○ consultant analysis and write-ups
	• Travel 18-20 September, Rarotonga – Auckland - Port Vila
		10

Home-based	As required throughout contracting period - desk research and report preparation	**5**

3. Capacity development concepts, models and good practice

3.1 Capacity and capacity development

Capacity in the context of development cooperation can be defined as 'the ability of people, organisations and society as a whole to manage their affairs successfully' (OECD/DAC 2006). UNDP defines capacity as 'the ability of individuals, institutions and societies to perform functions, solve problems and set and achieve objectives in a sustainable manner' (UNDP 2006).

Capacity development is defined as 'the process by which individuals, groups and organisations, institutions and countries develop, enhance and organise their systems, resources and knowledge; all reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives' (OECD/DAC 2006). Others define capacity development as 'the process through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time' (WCPA 2015).

By definition, capacity is more than just the knowledge and skills of individuals, although this is a common misperception. Another misconception is capacity development means training of individual staff and that alone. It doesn't: training is but one of many strategies used in capacity development. It is now widely acknowledged that capacity development of individuals is of minimal value if the organisation is not structured, responsive and working in partnership with communities and other actors (Acemoglu & Robinson 2012; Muller et al. 2015).

The overwhelming majority of development organisations (including UNDP and GEF), donors and partner countries - and global protected area organisations such as IUCN and World Commission for Protected Areas (WCPA) - all recognise that capacity development is multi-facetted and must target multiple layers: system, organisations, sites and individuals.

3.2 Capacity development in protected areas

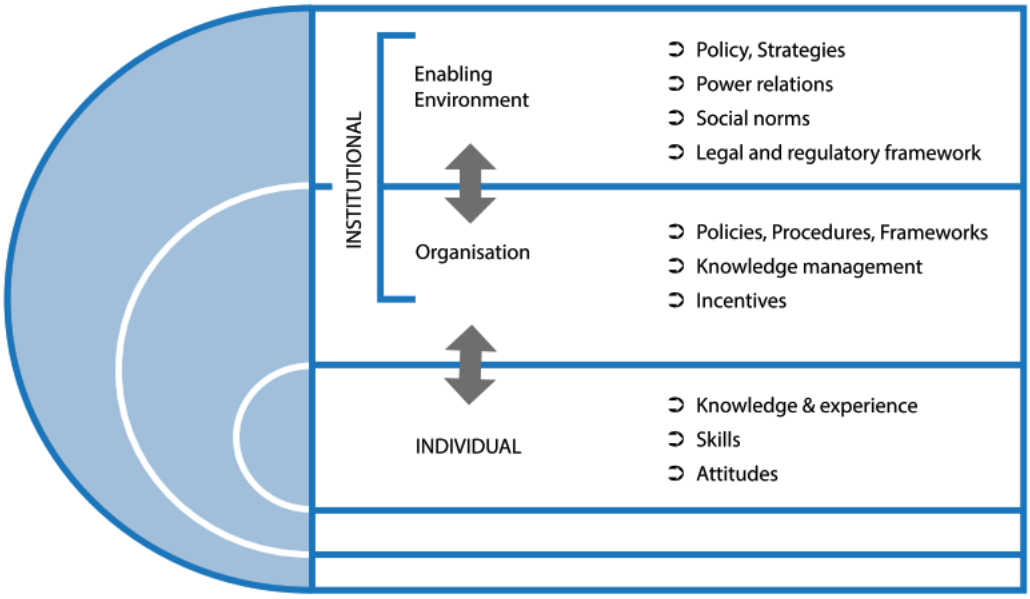
To achieve management effectiveness of protected areas, there must be combined performance from individuals and organisations working together. Capacity development therefore must go beyond the enhancement of the skills and knowledge of individuals and is very closely related to the quality of the organisations and enabling environment (system) in which they work. Nevertheless, achieving organisational and system capacity is also dependent upon the capacity of the individuals within the institution to build and run it effectively (Muller et al. 2015).

Thus, capacity development must take place at three levels – system (also known as enabling environment), organisations and individuals - as represented in the widely adopted model for capacity development (Figure 1).

This model has also been adopted by the UNDP and GEF who recognise that capacity development occurs at these three, irrelated levels of intervention:

- At the **system** level, capacity development is concerned with the 'enabling environment', the overall policy, economic, regulatory, and accountability frameworks within which organisations and individuals operate. Relationships and processes between organisations, both formal and informal, as well as their mandates, are important considerations at this level.
- Capacity development at the **organisational** level focuses on overall performance and functioning capabilities, such as developing mandates, tools, guidelines and management information systems to facilitate and catalyse organisational change. At the organisational level, capacity development aims to develop a set of constituent individuals and groups, as well as to strengthen links with the broader system.
- At the **individual** level, capacity development refers to the process of changing attitudes and behaviours, most frequently through imparting knowledge and developing skills through training. However it also involves learning by doing, participation, ownership, and processes associated with increasing performance through changes in management, motivation, morale, and improving accountability and responsibility (GEF 2010).

Figure 1. A systems approach to capacity development in protected areas[4]

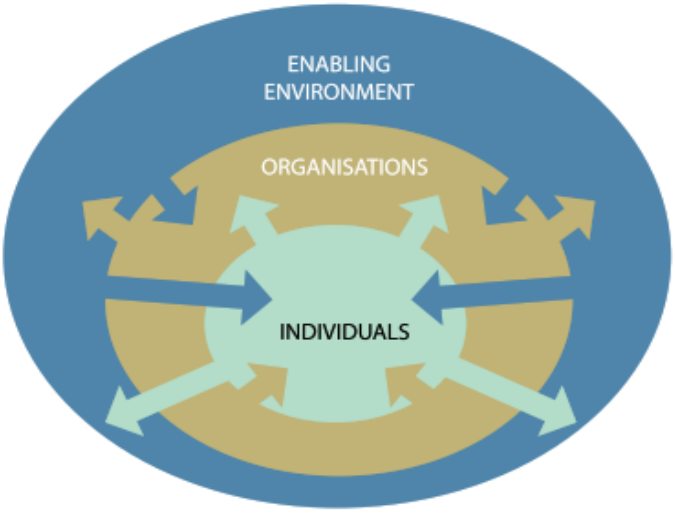


Source: Muller et al. (2015)

[4] In this model 'enabling environment' is synonymous with 'system'.

The model described in Figure 1 is a useful representation of the different levels of capacity development however is considered overly simplistic; a more adequate representation is provided in Figure 2 which better reflects the dynamics and interactions that exist between the three levels.

Figure 2. Dynamic model of capacity development



Source: Muller et al. (2015)

Since capacity development happens at the individual, organisational and system levels, assessment must happen at these levels also. Outcomes, however, depend strongly on the enabling environment, which depends on external factors such as policy or politics, the capacity of high-ranking officials, funding and other issues (Muller et al. 2015).

There are many different methods and guides to assess capacity needs (eg. CBD 2014; GEF 2001, 2005; Kay et al. 2008; Pew n.d.; RECOFTC 2011; Stephen & Triraganon 2009; UNDG 2009; UNDP 2007, 2009, 2014; World Bank 2012). The basis is frequently a comparison of the current situation (existing capacity and current organisational performance) assessed against a desired state (future capacity), and the action needed to get there.

3.3 UNDP and GEF approaches to capacity development

GEF projects use a standard suite of tools and approaches to support assessment, and monitoring, evaluation and reporting (MER) of capacity. These are described below.

3.3.1 Capacity development scorecard

In 2008 the UNDP specified that GEF environmental projects should develop and measure capacities against five result areas (building blocks):

1. Capacities for engagement
2. Capacities to generate, access and use information and knowledge
3. Capacities for policy and legislation development
4. Capacities for management and implementation
5. Capacities to monitor and evaluate (GEF 2010).

GEF uses a capacity development scorecard (CDS) to measure capacity changes (template at Annex 3). The scorecard comprises the five result areas (as above), 15 indicators, numerical ratings (0-3), and provision for project-specific indicators. GEF specify that the framework should be used, at a minimum, at the beginning of a project, at its mid-point and at the end, and if needed can also be used each year to assess capacity development progress.

The scorecard is designed to be an integral part of project delivery, monitoring and reporting, and should be mainstreamed with the existing structures and mechanisms of partner organisations. The scorecard and its indicators are to be part of project log-frames and the overall monitoring and evaluation plan for projects (GEF 2010).

The scorecard system is complementary to the management effectiveness tracking tool (METT) (discussed in Section 3.3.2) and now used on all GEF-funded protected area projects (GEF 2010).

3.3.2 Management effectiveness tracking tool

Over the past 10-15 years management effectiveness evaluations (MEE) have emerged as a fundamental tool for protected area management systems (Hockings et al. 2006; Leverington et al. 2008). MEEs are based on the establishment of management standards and assessment of performance against these standards. Management benchmarks use a stepped scoring system from 'complete failure' to 'full compliance' and can help identify areas that require capacity development and other support (Muller et al. 2015).

Many capacity plans are based on a generic checklist of potential capacity needs (or the personal 'wants' and aspirations of individual staff), rather than on a systematic assessment of the actual management weaknesses and threats within a protected area site and system. The protected areas METT developed by IUCN (Stolton et al. 2007) is a valuable approach that can address this methodological flaw and give better outcomes.

The METT is now widely used and undertakes an assessment across 30 management themes. For each theme, assessors select which of four prescribed responses best describes the situation in the protected area being assessed. The METT score (expressed as a percentage of ideal effectiveness) is calculated from the results.

METT measures performance of protected sites (and is a defacto measure of protected area organisations) rather than individual staff competence. However a very close relationship and correlation exists between the capacity and performance of protected area organisations and staff capacity: organisations and sites with strong METT scores have staff with good capacity (Appleton 2016). This interplay - between individual staff, sites, organisations and systems - reinforces the dynamic nature of capacity and performance and the relationships between the different levels of the system (as highlighted in Figure 2).

A variation of the METT has also been developed by the World Bank for use in marine protected areas (World Bank 2004); more recently WCPA has released global standards for MPAs (WCPA 2018).

Ideally, protected area planners should integrate management effectiveness results into the capacity assessment and action planning process. This focus on management effectiveness and performance helps ensure that the capacity interventions are relevant and are focused on improving the most urgent capacity weaknesses and abating the most important threats to the system and individual sites. Furthermore, many capacity assessments focus exclusively on skill development and capacity needs of individual staff, rather than on broader institutional, system and societal capacities. Tools such as METT help planners to consider the range of capacity levels and what is needed to ensure a comprehensive and well-managed protected area system (Muller et al. 2015).

3.3.3 Financial sustainability scorecard

Part of the GEF tracking tool for biodiversity and protected area projects is a scorecard comprising a series of indicators and numerical scores that assess elements of the financing system and its sustainability. Although targeted at system level the tool can also be used at site or individual protected area level. The scorecard has three sections:

- Part I – Basic protected area information and overall financial status of the system
- Part II – Assessment of finance system elements
  - Legal, regulatory and institutional frameworks that enable sustainable protected area financing

    - Business planning and tools for cost-effective management
    - Tools for revenue generation and mobilisation.
- Part III – Scoring.

3.4 Capacity development initiatives in the Cook Islands

There has been a range of capacity development interventions previously undertaken in the Cook Islands and some recent ones of particular relevance to R2R, protected areas and the environment sector.

The Office of the Public Service Commissioner (OPSC) conducts a wide-ranging initiative to prepare capacity assessments for Cook Island government agencies. A key result from the assessment report is the capacity development and workforce plan (OPSC 2019). Assessments and plans are undertaken upon request of agencies and are subject to OPSC prioritisation and resources. Financial and human resources currently allow for two agencies to be completed each year.

Of relevance to R2R and this inception report is that the Ministry of Agriculture (MoA) has had a draft CNA completed and NES has requested to be assessed which is under negotiation. It is important that R2R CNA and action planning interfaces with these government initiatives[5] and that activities are not duplicative.

Some capacity needs for protected areas were identified through the National Biodiversity Strategic Action Plan (NBSAP) Capacity Development Plan (Hilyard & Tairea 2017). To build on this work, the Marae Moana Action Plan 2018-21 (MMCO 2018) identified that a needs assessment is required that identifies the competencies that organisations need to deliver their outputs.

The R2R Project Design Document (UNDP 2015) has an overview of protected area capacity issues (extract is at Annex 1).

Over the period 2005-09 the NES coordinated a national self-assessment of capacity needs for various environmental functions with emphasis on implementation of UN treaties and conventions (Carruthers 2004; NES 2005, 2007a, 2007b, 2009).

3.5 Existing approaches to R2R capacity development

As required by project design (Annex 1), R2R has an established framework for capacity development and data collection and reporting at periodic intervals. Data collected so far includes:

- As part of R2R program design the capacity development scorecard (CDS) was used to assess baseline capacity across multiple levels: systemic, institutional, and individual[6] (UNDP 2015, p121). The CDS has not been undertaken again throughout the R2R project, despite being a GEF requirement at MTR. Regardless, if used in conjunction with other quantitative and qualitative assessment tools, the CDS offers some potential to be a useful means of assessing capacity and any changes over time.
- The management effectiveness tracking tool (METT) was completed at baseline and again at MTR for each of the six protected areas within the R2R scope.
- The financial sustainability scorecard was completed at baseline and at MTR for the overall system.

[5] With this in mind the OPSC Policy Advisor Ms Nukutau Pokura joined the R2R Capacity Development Team and was extensively involved in agency interviews and capacity assessment work undertaken during mission #1.

[6] The R2R project document has a summary of baseline assessment results. It is presumed that UNDP used the CDS tool to assess capacity at system, organisation and protected area/site levels, and then aggregated results. UNDP Samoa were requested to secure the original assessment file so that this could be used to disaggregate results and provide a useful baseline; at time of writing, this file was not available.

4. Key issues identified at inception

The inception report (Twyford 2019) identified strategic-level issues affecting the CNA. These issues are summarised in the section below as they have important bearing on the scope of this CNAR.

4.1 Design changes

The capacity needs of R2R must be very closely integrated with and cognisant of the current status of the project, in particular achievement of the outputs and targets as specified in the R2R Strategic Results Framework (SRF)[7]. At this stage of R2R, taking account of progress with implementation and status of individual outputs and activities, and noting closure in January 2021, there are very important questions about overall project strategy:

> *Should the project continue implementation as per the approach used so far or should elements of the SRF be adjusted and targets changed? Indeed should some aspects be completely dropped because of the unsuitability of the target, or change in circumstances and priority, or inability to be completed by the deadline?*

Questions around project strategy lead to other important questions about the strategic use of resources for capacity development, and where to target time and effort:

> *Should resources be targeted at individuals, or groups/teams within organisations, or organisations themselves, or the system? Or some or all of these parts? And what relative emphasis should be given to each?*

With R2R proceeding through a closure phase, and with there being some uncertainty about project design [refer recommendations from MTR for a design review (Laurie 2018) and MTR management response (NES/UNDP 2019)], any CNA and action planning must be done in such a way as to optimise flexibility and not be overly prescriptive.

In posing these questions it is important that one has an eye for the medium to longer term. R2R will end soon[8]: it is very important that the project completes as much as it can in the time remaining and leaves a useful legacy. Some activities will completely wind-up while for others there must be a handover of responsibilities to partner organisations.

Capacity needs assessment and planning should consider and respond to these factors - and strengthen the enabling system and organisations - to suit post-project operations.

4.2 Breadth and depth

The consultancy expectations are very ambitious, wide-ranging and complex: to do them justice would require far more than the 30 days allocated. The task is of great breadth and depth in its expectation:

- The project has *scope breadth* – the consultant is expected to assess and plan for capacity development across the R2R project itself and identify requirements to 'establish and manage the overall system of protected areas, the Cook Islands Marine Park (CIMP) and individual protected areas' (as per consultancy ToR, see Annex 2).
- The project has *geographic breadth* - across the seas and islands of the entire country (1.9 million km$^{2)}$ - and *institutional breadth* - across the many government organisations, customary owners, NGOs, private sector and community, responsible for and with interests in protected areas and biodiversity conservation.

[7] The R2R Mid-Term Review (MTR) (Laurie 2018) identified concerns with and limitations about the SRF and its applicability. The MTR called for a review of the SRF to be undertaken and to inform the remainder of the project; this recommendation was accepted in the MTR management response (NES/UNDP 2019). This review has not yet been undertaken however is understood to be a key task for the R2R Chief Technical Adviser (CTA) currently being recruited by UNDP.

[8] Typically GEF projects begin to wind-up three months prior to closure. For R2R this means that just 13 months remain (September 2019 – October 2020) to implement the remainder of the project.

- And great *depth*, as shown by the expectation of capacity assessment and planning at multiple levels: from system to organisation to individual protected areas, and to individual people.

The R2R PMU and NES agreed that it would be unrealistic to comprehensively assess and plan for capacity needs for all organisations and individuals involved in R2R. They approved that project scope would be narrowed and defined as follows.

4.2.1 Scope of capacity assessment

In undertaking any capacity development initiative, it is necessary to consider and answer the question of *"capacity for what?"*

The R2R CNA and strengthening plan will focus on the R2R project and the capacity needs of government organisations to effectively and efficiently complete the project. However it is anticipated that the needs assessment will inevitably consider sustainability of the R2R interventions and the capacity needs of those agencies that have legislative and policy mandates for Marae Moana and protected areas, beyond the life of R2R.

The CNA and strengthening plan will also identify those needs that are specific to completion of the project; and it will also undertake a preliminary assessment of medium to longer term capacity needs (post-R2R) that are required for agencies to meet their mandates. It is expected that this second objective will be undertaken in a more comprehensive way through the capacity needs assessment initiatives of the OPSC (described in more detail in Section 3.4).

4.2.2 Organisations to be assessed

There are two key questions to be answered.

Firstly which 'organisations' are to be included in the capacity needs assessment and subsequent action plan? The ToR state that the consultant will focus 'first on project partner institutions, as well as relevant local leaders (Islands council and traditional leaders), local communities, private landowners', civil society and private sector partners…'.

Secondly, to what extent (or depth) will each 'organisation' be assessed?

The R2R PMU and NES recognised the relatively small number of in-country input days and that this precluded site visits to outer islands and assessment of capacity of customary owners. They approved that the consultant will:

- Concentrate on and prioritise project partner agencies – R2R Project Management Unit (PMU) and National Environment Service (NES) as the executing agency, Ministry of Marine Resources (MMR), Ministry of Agriculture (MoA), Cook Islands Tourism Corporation (CITC), and Marae Moana Coordination Office (MMCO), and subject to availability House of Ariki (agency representative of island leaders).
- Undertake an incidental assessment of capacity needs of individual protected area practitioners (staff, customary owners). This assessment should form the basis for a separate project to assess capacity needs and strengthening focussed on the unique needs of customary land owners[9] and government staff.

[9] It is noted that management of protected areas by customary landowners, and assessment of their capacity needs, is a major gap in global knowledge and approaches, and an area that requires specialised expertise and knowledge. In their Strategic Framework for Capacity Development 2015-2025 the World Commission for Protected Areas (WCPA) identifies indigenous protected area owners and managers as a priority for further global support, research and management (WCPA 2015).

4.2.3 Assessment levels

This report (sections 3.1 - 3.2) identifies that good practice capacity needs assessment and action planning occurs at multiple, inter-related levels:

1. System (or enabling environment)
2. Organisational
3. Individual protected areas (sites)
4. Individuals (staff and others).

Capacity needs of individuals (level 4) warrants specific comment.

In the past 20 years, there has been increasing interest in adopting a competence-based approach for protected area practitioners. Competencies provide a comprehensive framework for assessing and identifying capacity needs, enabling the accurate and efficient targeting of resources for capacity development. The WCPA, recognising the need to professionalise protected area management, has developed a comprehensive set of competencies for protected area staff at four levels: skilled workers, middle managers, senior protected area managers, and higher-level staff of protected area systems (Appleton 2016).

These competencies can be used in many ways: to plan organisational structures, to define job descriptions, to measure and assess current skills and performance, and as the basis for capacity development programs and qualifications (Muller et al. 2015).

To assess the capacity and competence[10] needs of individual staff and other protected area practitioners (eg. customary landowners), across multiple organisations and in a systematic, strategic and useful way is a major task in its own right, and outside the scope of the ToR[11].

The R2R PMU and NES approved that the consultant will:

- Establish and put in place a capacity needs assessment and action plan for levels 1-3.
- As part of the capacity strengthening action plan, identify the key tasks required to further assess the capacity needs and actions for individual staff and other protected area practitioners such as customary owners (Level 4). Emphasis will be placed on use of the WCPA competence standards for protected area practitioners (Appleton 2016).

5. Methodology and approach

This section outlines the methodology and approach used to assess capacity needs.

5.1 Capacity development project team

A R2R Capacity Development Project Team was established to coordinate and lead capacity development work across R2R implementation partner agencies. Terms of reference follow.

Membership: R2R Project Manager (and NES Deputy Director) (chair); Manager Island Futures, NES; R2R Project Coordinator; Director MMCO; Policy Adviser OPSC; and Capacity Development Consultant.

Specific tasks:

1. Support the consultant with organisation of meetings and workshops with partner organisations and other stakeholders.
2. Provide advice, guidance and direction to the consultant in his capacity development work.
3. Take lead role in completion of specific capacity needs assessment scorecards and tracking tools.

[10] Competence can be defined as 'the ability of the individual within an occupation to carry out a defined task' (Appleton et al. 2009).

[11] The ToR are somewhat ambiguous, referring to 'individual protected areas'; and elsewhere to 'individual' – this has been interpreted to mean 'individual protected areas' rather than individual staff.

5.2 Principles

The capacity needs assessment was conducted consistent with the following principles:

- Consider all levels of the capacity chain: system, organisation and site, and where information is readily available, individual capacities.
- Recognition that capacity development is about closing the gap between actual and desired performance.
- Capacity development must be fundamentally tied to and must be built on an understanding of current project status and performance (*what is the project to trying to achieve* and *where is it currently positioned*).
- Critically examine and rapidly assess the current implementation status and performance of the project in achieving its outcomes, outputs and targets as specified in the Strategic Results Framework.
- Integrate performance and status assessment, and existing scorecard and management effectiveness results, into the capacity assessment and action planning process.
- Include a diversity of stakeholders from different sectors in the capacity assessment and planning process, including environment, tourism, economic development, fisheries, agriculture, government policy, and peak NGOs.
- Emphasise a collaborative self-assessment approach, empowering and involving agency staff and senior managers to identify their capacity needs and constraints.
- Build on what already exists rather than create new or different models and approaches.
- Recognise the extensive conceptual and practical work already in existence and designed for situations like the Cook Islands (eg. global and regional initiatives of the WCPA).

5.3 Conceptual model and process

The R2R capacity development process uses a five-step approach described below.

5.3.1 Step 1: Where are we now?

This step asks the question: *Where are we now*? This step assesses the existing capacities within the system, individual organisations and sites. It builds upon previous capacity and management assessments that were undertaken at project start-up and MTR. Where longitudinal data is available it is analysed and trends identified. This step helps to identify where capacity is strong and weak, and where change might be occurring.

A mixed methods assessment approach - quantitative and qualitative – was used that comprised a range of strategies targeted at each capacity level (Table 1).

Under this approach quantitative methods are used to assess what has been done and what has changed, whereas qualitative methods are used to describe processes of change and why change has or hasn't occurred. Mixing both quantitative and qualitative methods may provide greater depth and breadth of understanding, and also offers the opportunity to triangulate results, which can increase rigour.

Table 1. R2R mixed methods assessment approach

Level	Methods used				
	CD Scorecard	Finance Scorecard	METT	Interviews	Lit review
1. System (enabling environment)	✓	✓		✓	✓
By who/responsibility →	Project Team	Project Team and SFM Team[12]		Consultant	Consultant
2. Organisational					
• NES	✓			✓	✓
• MMCO	✓			✓	✓
• MoA	✓			✓	✓
• MMR	✓			✓	✓
• CITC	✓			✓	✓
• Other stakeholders				✓	✓
By who/responsibility →	R2R agencies Peer review			Consultant	Consultant
3. Individual protected areas					
3.1 Marae Moana (CIMP)			✓	✓	✓
By who/responsibility →			Project Team	Consultant	Consultant
3.2 Island protected areas				✓	✓
By who/responsibility →				Consultant	Consultant
4. Individuals (staff and others)				✓	✓
By who/responsibility →				Consultant	Consultant

[12] Sustainable Finance Mechanism Team – engaged by R2R to support MMCO with investigation of financing opportunities for Marae Moana.

Quantitative assessment of capacity that exists at system, organisational and site levels was undertaken as follows:

- System level as collaborative exercise by the Project Team
    - Financial sustainability scorecard[13] (Annex 6)
    - Capacity development scorecard (CDS) (template at Annex 8)
- Organisational level: each of the five R2R implementation agencies completed the CDS template using a self-assessment approach; one peer assessment was also undertaken[14].
- Management effectiveness tracking tool (METT) for Marae Moana (site level) [15]: completed through a collaborative exercise by the Project Team.

Qualitative assessment of capacity that exists at system, organisational and individual levels was undertaken through:

- Comprehensive review of relevant R2R documents and other literature.
- Key informant interviews that aimed to capture in-depth information and perceptions from officials of R2R implementation agencies about project achievements and limitations, and organisational capacity needs. These comprised a semi-structured interview using open-ended questions; the interview template is at Annex 4, however it is emphasised that this was adjusted and adapted to suit the individual agencies and staff involved. The consultant led this process, with OPSC Policy Adviser in attendance as available. Interview notes were written and thematic analysis of findings undertaken.
- Attendance at Marae Moana Sustainable Finance Mechanism Workshop held at Muri Beach Club Hotel on 11 July 2019.
- Meetings and consultation with the R2R PMU, NES staff, Project Team and other stakeholders[16].
- Workshop attended by R2R implementation agencies and other stakeholders on 19 July to present initial findings from the inception phase and seek feedback.

5.3.2 Step 2: Where do we want to go?

This step starts with the end in mind – *Where do we want to go?* The step examines what the project is expected to achieve by January 2021 (outputs, indicators, targets) as articulated in the project design and Strategic Results Framework (SRF). No activity was needed to complete this task apart from reacquaintance with the SRF.

This step then asked the question: *How are we doing now*? Answering this question used a rapid assessment of the current status of project implementation and performance. This was a collaborative process undertaken by the Project Team whereby each of the outputs and performance indicators in the SRF was categorised using a traffic light system:

- Green: completed or on track to be completed in full by closure.
- Orange: underway but at risk of being incomplete or not meeting targets by closure unless significant remediation action is taken.
- Red: not started or subject to major delays or other barriers; not expected to be completed by closure.

The output was a ***R2R Prognosis Report***.

[13] Base financial information is being compiled by the SFM Team as a separate project.
[14] Mr Joseph Brider, former Director NES completed a peer assessment of NES.
[15] METT for island protected areas could not be completed due to lack of access to site managers.
[16] This included a face-to-face meeting with Mr Joseph Brider, former Director NES (19 July 2019) and skype discussion with Mr Andrew Laurie, MTR Consultant (2 August 2019).

5.3.3 Step 3: What capacity do we need to achieve goals?

The third step considers the present capacity situation (step 1), and future desired state and current project status and performance (step 2).

This step asks the question:

> *What is the capacity of the current system, organisations, and sites to implement the R2R project by closure?*

A secondary question is:

> *What is the capacity of the current system and organisations to sustain and absorb the R2R project responsibilities after closure and to implement the legislative and policy mandates of each organisation?*

This step defined the capacity that exists now compared with the current performance and status of the R2R project and what the project is likely to achieve over the remaining 18 months (as per the ***R2R Prognosis Report)***. This process identifies capacity gaps/deficiencies and therefore the capacity needs.

Of all the phases of capacity development, assessment of capacity needs, that is, establishing the existing and required capacities as well as identifying the gaps between both, is perhaps the least well developed (Kay et al. 2008). At the same time it is the most vital. Without a proper understanding of what currently exists and what is needed, there is a good chance that inappropriate measures and actions will be initiated. According to Kay et al. (2008) most programmes and projects focus on meeting capacity needs without undertaking the analysis required to ensure the solution is the most suitable to the circumstances and context.

For this reason this step was given a lot of attention.

The output of Step 3 is this ***Capacity Needs Assessment Report (CNAR)***.

Steps 4-5 comprise the capacity strengthening action plan and implementation phases and will be undertaken after the CNAR is approved. A brief description of these steps follows.

5.3.4 Step 4. Capacity strengthening action plan

A key part of this step is being clear about **project strategy**. From the CNAR and in particular the R2R Prognosis Report developed in Step 2, a project strategy needs to be developed that articulates the priorities for the remainder of the project[17]. The strategy will use the R2R Prognosis Report to critically assess the capacity of the R2R PMU and implementation agencies to achieve project outputs and targets. The strategy will identify the specific management actions (eg. policy development, protected area management planning, marine spatial planning, and so forth) that are required to achieve project targets.

Step 4 must take account of the key question - C*apacity for what*? The answer to this question is, fundamentally, the capacity that is required to implement the project strategy.

Step 4 then asks the question: *How do we get there?* Based on the project strategy, the action planning process will identify the capacity strengthening interventions required to put management actions into place, and thereby implement the R2R project to the maximum extent possible by closure.

[17] The project strategy will not be a separate, stand-alone output; instead it will be an integral part of the capacity strengthening action plan.

This step will also look at interventions needed to position R2R agencies in the best possible position to:

a) Honour, to the maximum extent possible, commitments made to the donor.
b) Sustain the legacy of R2R, optimise the project benefits, and absorb what was has been started.
c) Implement and meet the policy and legislative mandates of individual agencies. This consultancy will not be able to take a comprehensive and in-depth evaluation of agency needs post-R2R - that is a task best undertaken by the OPSC initiative (refer Section 3.4) – however it will start the process.

The output will be a ***Capacity Strengthening Action Plan (CSAP)*** for R2R and implementation agencies.

5.3.5 Step 5: Implementation and monitoring and evaluation

This step involves implementation of the action plan through a variety of activities including project management; mobilisation of existing agency resources; training courses; coordination of partners; community and stakeholder consultation; procurement of consultants and advisers; recruitment and selection of local staff; financial management; and so forth. This step also includes monitoring and evaluation (M&E so that there is feedback into the CNA and planning phases.

5.3.6 Process overview

The overall capacity development process is being implemented across three phases and involves five steps and different assessment tools and outputs. Table 2 provides an overview.

Table 2. Overview of capacity development process

	Phase					
	Inception	**Capacity needs assessment**			**Capacity strengthening**	**Implementation and M&E[18]**
Purpose	Define methodology Identify & address initial scope issues	Assess capacity needs at different levels			Identify the capacity strengthening interventions required to put management actions into place	Take action Feedback and adjustment
Steps	Inception	Step 1	Step 2	Step 3	Step 4	Step 5
Key questions	*What approach will be used?* *What are the major issues?*	*Where are we now?*	*Where do we want to go?* *How are we doing now?*	*What is the capacity of the current system, organisations, and sites to implement the R2R project by closure?*	*Capacity for what?* *How do we get there?*	*How are we doing??* *What changes need to be made to plans?*
Tools used		Literature review Finance sustainability scorecard METT Marae Moana CDS at system & organisation levels Key informant interviews Other qualitative assessment methods	Strategic results framework (SRF) Prognosis report	Capacity gap analysis Needs assessment	Project strategy Action planning	Implementation of activities Project M&E
Output	Inception Report	Capacity needs assessment report (CNAR)			Capacity strengthening action plan (CSAP)	

[18] This phase is outside the scope of the current consultancy.

6. Quantitative results and analysis

6.1 Financial sustainability scorecard (FSS)

Results from the FSS are at Annex 6; summary of results across the three assessment points – baseline (2014), MTR (2017), CNA (2019) – are at Table 3.

Table 3. Summary of financial sustainability scorecard results 2014-2019

Component	Assessment point		
	2014 baseline	2017 MTR	2019 CNA
1. Legal, regulatory and institutional frameworks			
Actual score	23	23	24
Total possible	95	95	95
%	24	24	25
2. Business planning and tools for cost-effective management			
Actual score	17	17	7
Total possible	59	59	59
%	29	29	12
3. Tools for revenue generation by PAs			
Actual score	12	12	11
Total possible	71	71	71
%	17	17	15
All components			
Actual score	**52**	**52**	**42**
Total possible	**225**	**225**	**225**
%	**23**	**23**	**19**

Overall, there is high degree of similarity in results across assessment points in 2014, 2017 and 2019 – 23%, 23% and 19% respectively. The main difference is the scoring for component 2: there is a significant difference between the scores given in 2019 as part of this CNA process (12%) compared with the previous assessments in 2014 and 2017 where scores were significantly higher (29%).

These differences are attributed to differences in interpretation of scoring criteria by the CNA team: we gave very low scores (1/9) against the accounting and auditing systems criteria because we considered that such systems were not in place for protected area revenue; in contrast, assessments at 2014 and 2017 scored 9/9 for this criteria (refer Annex 6).

Regardless of this difference the overall message from the assessments is the same: financial sustainability is at relatively low level (19-23%) and has not improved over time. Additionally, it can be seen that - apart from the 2019 assessment - scores for component 3 (revenue generation tools) are the lowest scoring.

6.2 Capacity development scorecards (CDS)

As part of baseline design, UNDP carried out an assessment of capacity at three levels – systemic, institutional, individual – using the capacity development assessment scorecard (UNDP 2015). Results were aggregated and summarised in the project design document and are shown below.

1E. CAPACITY DEVELOPMENT ASSESSMENT SCORECARD

The table below is a summary of the Capacity Development Assessment scores; see Separate File for detailed scorecard information

Matrix of the Capacity Development Assessment Scorecard for Protected Area Systems (Summary)

Strategic Areas of Support	Systemic			Institutional			Individual			Average %
	Project Scores	Total possible score	%	Project Scores	Total possible score	%	Project Scores	Total possible score	%	
(1) Capacity to conceptualize and develop sectorial and cross-sectorial policy and regulatory frameworks	3	6	50%	2	3	67%	NA	NA	NA	63%
(2) Capacity to formulate, operationalize and implement sectorial and cross-sectorial programmes and projects	4	9	44%	13	27	48%	7	12	58%	50%
(3) Capacity to mobilize and manage partnerships, including with the civil society and the private sector	4	6	67%	3	6	50%	2	3	67%	60%
(4) Technical skills related specifically to the requirements of the SPs and associated Conventions	1	3	33%	1	3	33%	1	3	33%	33%
(5) Capacity to monitor, evaluate and report at the sector and project levels	3	6	50%	2	6	33%	1	3	33%	40%
TOTAL Baseline Scores and average for %'s	**15**	**30**	**50%**	**21**	**45**	**47%**	**11**	**21**	**52%**	**49%**

121

Care is needed in use of this data for various reasons. Firstly, the capacity result categories (listed under column headed 'Strategic Areas of Support') do not correspond to the categories used in the CDS (refer template at Annex 3); this suggests that the baseline assessment was undertaken using a different scorecard tool. Furthermore, aggregation of results (and non-availability of the original file) means that detailed analysis and longitudinal comparison of trends over time is fraught with methodological problems - risks exist that we are not comparing ''apples with apples". Finally CDS assessment was not undertaken at MTR.

For these reasons, lack of data means it is not possible to assess quantitative changes in capacity over time.

However CDS were completed as part of this CNA. Table 4 has a summary of CDS results at the system level (assessed by R2R capacity project team) and for each R2R implementation organisation (self-assessed, with one peer assessment of NES).

These results show that at system level, total capacity score was 42% of maximum possible. Highest rated was result area #3 (strategy, policy and legislation development) with 56%; lowest rated was areas #1, #4 and #5 with 33% each.

At organisational level:

- MMCO self-assessed at 24% (lowest of all agencies) and CITC at 60% (highest)
- NES self-assessed at 51% and was peer assessed at 38%
- Across all organisations average score was 46%; area #1 (engagement) was highest rated at 57%; lowest rated was area #5 (monitor and evaluate) at 36%.

Table 4. Summary of results from capacity development scorecard (CDS) assessment

Capacity result	Max. score	Organisation														System	
		NES		NES (peer)		CITC		MMCO		MMR		MoAg		Average		Score	%
		Score	%	Score	%	Score	%	Score	%	Score	%	Score	%	Score	%		
CR 1: Capacities for engagement	9	5	56	4	44	5	56	4	44	5	56	8	89	**5.2**	**57**	3	**33**
CR 2: Capacities to generate, access and use information and knowledge	15	10	67	5	33	9	60	4	27	8	53	9	60	**7.5**	**50**	7	**47**
CR 3: Capacities for strategy, policy and legislation development	9	4	44	3	33	5	56	2	22	3	33	4	44	**3.5**	**39**	5	**56**
CR 4: Capacities for management and implementation	6	3	50	3	50	4	67	0	0	4	67	0	0	**2.3**	**39**	2	**33**
CR 5: Capacities to monitor and evaluate	6	1	17	2	33	4	67	1	17	2	33	3	50	**2.2**	**36**	2	**33**
Total	**45**	**23**	**51**	**17**	**38**	**27**	**60**	**11**	**24**	**22**	**49**	**24**	**53**	**20.7**	**46**	**19**	**42**

6.3 Management effectiveness tracking tool (METT) for Marae Moana

Assessment results for the METT of Marae Moana are at Annex 7. Summary of results across the three assessment points – baseline (2014), MTR (2017), CNA (2019) – are at Table 5.

There was no change in score between 2014 and 2017 (30 points) and then a modest increase - score of 46 – in 2019. This increase can in large part be attributed to expansion of Marae Moana (CIMP) to encompass the entire EEZ, along with development of associated policies and plans.

Table 5. Summary of METT score for Marae Moana, 2014-2019

Component	Assessment point		
	2014 baseline	2017 MTR	2019 CNA
Score	30	30	46
% of total possible (ideal effectiveness)	29%	29%	45%

6.4 R2R Prognosis Report

Step 2 of the CNA process asked the questions: *Where do we want to go?* and *How are we doing now*? Answering these questions involved a rapid assessment of each of the outputs and performance indicators in the SRF and compilation of a R2R Prognosis Report (refer Annex 5 for full results).

A summary of implementation status of each indicator from the prognosis report is at Table 6. This analysis shows that overall just 18% of indicators are on track to be completed by closure; 58% are at risk unless significant remediation action is taken; and 24% are not expected to be completed by closure. The problem is particularly acute for outcome #1 where just one indicator (5% of total for that outcome) is expected to be completed.

This demonstrates that overall project performance is lagging and there are real risks that project outcomes will not be achieved and many outputs will remain incomplete at time of project closure. This finding reinforces that made at MTR by Laurie (2018).

Table 6. Summary of indicator status

Objective/outcome	No. indicators by status category			
	Green	Orange	Red	Total
Objective: To build national and local capacities and actions to ensure effective conservation of biodiversity, food security and livelihoods and the enhancement of ecosystem functions within the Cook Islands Marine Park	2 (50%)	2 (50%)	0	4
Outcome #1: Strengthening protected areas management	1 (5%)	14 (74%)	4 (21%)	19
Outcome #2: Effective mainstreaming of biodiversity in key sectors to mitigate threats within production landscapes	3 (33%)	3 (33%)	4 (40%)	10
Total	**6 (18%)**	**19 (58%)**	**8 (24%)**	**33**

Notes:

- **Green: completed or on track to be completed in full by closure**
- **Orange: underway but at risk of being incomplete or not meeting targets by closure unless significant remediation action is taken**
- **Red: not started or subject to major delays or other barriers; not expected to be completed by closure.**

7. Capacity needs

Step 3 of the capacity development process (refer Section 5.3.3) asks the question:

> *What is the capacity of the current system, organisations, and sites to implement the R2R project by closure?*

A secondary question is:

> *What is the capacity of the current system and organisations to sustain and absorb the R2R project responsibilities after closure and to implement the legislative and policy mandates of each organisation?*

The quantitative and qualitative assessment at system, organisational and site levels, in conjunction with the R2R Prognosis Report, defines the capacity gaps/deficiencies and the capacity needed to implement the project and beyond.

These capacity needs are highlighted below.

7.1 System level (enabling environment)

7.1.1 Legislative design

The R2R SRF called for an "updated and consolidated legal framework for management of the CIMP and all other protected areas …" (author's underline to provide emphasis).

Quantitative results (from the CDS) show that at system level, result area #3 (strategy, policy and legislation development) was the highest rated area with 56%. In contrast qualitative findings pointed towards the absence of a coherent legislative design and functional responsibility map for protected areas and biodiversity conservation as being a very significant capacity gap and need for the country.

The existing framework for protected areas and biodiversity conservation is complex, fragmented and dispersed amongst multiple pieces of legislation and organisations: MMCO, NES, MMR, House of Ariki, customary landowners and Ministry of Culture all have responsibilities in different ways for protected areas. Nationally, island protected areas are overseen by NES, in the case on Suwarrow National Park, directly managed by NES; on the *pa enua* (outer islands) protected areas are managed by island authorities using either the Environment Act or island government bylaws.

Overall organisational roles are in places unclear, duplicated or not defined at all.

The Cook Islands has designated Marae Moana, the world's largest multiple-use marine protected area (MPA), and passed the Marae Moana Act. The Act and associated mechanisms give prospects for a strong coordination and integration framework. However responsibilities for MPA management are diffuse and dispersed amongst three organisations: MMCO, NES, MMR. There is no national protected areas legislation and protected area management responsibilities are fragmented rather than being consolidated in a protected area management (PAM) organisation (whether a unit or department of an existing ministry or a new agency).

The current legislation exists as standalone instruments. There is no legislation that operates across the land-sea ecosystem, that integrates and connects Marae Moana with the islands, and that ensures land use activities don't have detrimental impacts upon the adjoining MPA.

Although there seems no prospect for PAM responsibility to be vested in just one organisation (largely because of customary land ownership rights on the outer islands), there are opportunities to simplify legislative arrangements and establish much clearer and better designed responsibilities.

The situation has potential to be improved – or regress. For instance the draft Marine Resources Bill has provisions for MMR to set up marine reserves. If this proceeded it would further fragment responsibilities, dilute already limited resources, and likely create even more confusion than currently exists. MMR and NES have been directed to consult and harmonise bills – this is a positive move and something that MMCO should also be actively involved in.

However there does not appear to be any government policy basis for legislative design – policy that would set direction, shape design and identify a lead organisation. In this absence there is a real risk that individual agencies will continue to develop disparate legislative provisions that are disintegrated, only serve individual agency needs and interests, and perpetuate if not exacerbate conflict and confusion.

Other important legislative issues include:

- Lack of recognition of the need for an integrated, national protected area system across land and sea.
- Associated with this, no organisation has been identified to be responsible for and to lead this function.
- Imprecise role definition between organisations. Absence of a functional responsibility 'map' that articulates and designates responsibilities for different PAM functions between agencies – legislative design, system and organisational performance oversight, policy, strategy, service delivery, regulation and compliance, information management, and so forth – is a significant capacity gap.

From the interviews and consultations undertaken as part of this CNAR, it was emphasised that the Marae Moana umbrella (as provided by the Marae Moana Act and policy) represent great potential for development of a framework for national protected areas legislation. Current approaches to establish Environment, Seabed Minerals and Marine Resources Bills were viewed with great concern by some informants. This CNAR suggests that these Bills should be considered in conjunction with the Marae Moana Act that already has mechanisms for sound coordination and integration. If this approach was chosen the Marae Moana Act itself may need amendments to broaden its scope and to strengthen its provisions.

Several other legislative design options were raised and debated by informants. It is beyond the scope of this consultancy and this report to scope and evaluate these: suffice to state that there are already considerable ideas and opinions about this issue.

Overall the absence of a coherent legislative design and functional responsibility map for protected areas and biodiversity conservation is a major capacity need and gap for the country. The need for legislative reform is pressing and it is critical that design plans are developed as matter of urgency and that plans are well constructed. Significant risks exist if the status quo remains, and risks are just as significant if reforms are half-hearted and not well suited to needs.

Legislative reform is critical to resolve - and well - as so much flows from this.

To summarise, the key capacity needs in this area are:

- Redesign and reform of the legislation for protected areas and biodiversity conservation.

7.1.2 Governance

The Cook Islands has an impressive and comprehensive system of high-level governance forums in place to oversee and coordinate government activity across the environment and protected area sector. At peak level there is the Marae Moana Council, Marine Resources Council (as per draft Bill), National Environment Council, and perhaps others. Below this peak grouping there are a myriad of committees (statutory and non-statutory) such as Marae Moana Technical Advice Group (TAG), National Biodiversity Steering Committee (NBSC[19]) and Seabed Minerals Advisory Committee.

However the system has grown and developed in the absence of a clear plan and in absence of a coherent legislative framework. One could argue that when considering governance, *less is best*, and particularly so in a country like the Cook Islands with a small population and limited human resource capacity.

Much the same issues exist for governance forums as for legislative design: there are functional overlaps and gaps, lack of integration and an integrating mechanism, and lack of any overall strategic

[19] Also functions as project board/steering committee for R2R project

design. Although the Marae Moana Policy and Act are designed to integrate, this integration needs strengthening through amendment of the various resource use and management acts (seabed minerals, marine resources, environment). Added are issues of common membership across forums and the seniority and capabilities of forum members. For instance poor attendance levels at the NBSC and lack of seniority of some members was identified through informant interviews as a barrier to effective decision-making on this governance forum.

Current approaches to establish Environment, Seabed Minerals and Marine Resources Bills should at minimum establish the required legislative framework along the lines of the Marae Moana Policy (ie. be driven by the principles of integration, coordination and simplicity). In fact the existing Marae Moana institutional arrangements (Council, TAG) already provide a very sound basis for an integrated governance system.

To summarise, the key capacity needs in this area are:

- Thorough review of existing governance forums with a view towards introduction of greater efficacy and integrated; use of the existing Marae Moana governance forums is advocated perhaps with some amendments to allow for expanded scope.
- If and when legislative reform is addressed (Section 7.1.1), opportunity exists to redesign the 'architecture' for governance and to introduce much needed improvements in efficacy, decision making, and organisational role definition. This is a major capacity need.
- Instead of creation of any new governance forums under standalone legislation (environment, seabed minerals, marine resources), close examination of the Marae Moana Act and use of its governance forums (Council and TAG).

7.1.3 Protected areas and tourism

This CNAR found that despite the Cook Islands tourism industry – and in large part the country economy – being dependent upon a well-managed natural environment and system of protected areas, much remains to be done to improve the relationship between on the one hand protected area managers (NES, MMCO) and on the other, the tourism industry, its industry bodies and CITC.

A strong tourism sector is in everyone's interests. A strong profitable industry means standards can be improved and visitor experiences optimised. A weak industry suffering from the effects of an economic downturn will almost inevitably result in lowered standards of environmental performance and compliance, environmental degradation and poor visitor experiences of protected areas.

It is expected that any political economy analysis or stakeholder mapping of the environment sector in Cook Islands would find that one of the most important stakeholders will be the tourism industry, in its various guises: individual operators and accommodation houses, transport providers, industry associations and boards, and government tourism marketing and industry development agencies. If relationships are well managed, respectful, open and trusting it is likely that the tourism industry could become a key partner of protected areas and one of its strongest allies. It is not that yet but opportunity is clearly there. Conversely if no time and effort are invested, or invested badly, the industry could be a benign force or at worst an active opponent and antagonist.

Overall one of the major findings from this CNAR has been the great benefits that could potentially emerge from an enhanced relationship between PAMs and the tourism sector. Having the right people – particularly in NES - that can manage and harness this relationship is a major capacity gap – for remainder of R2R and beyond.

Capacity needed to build the relationship and take it to the next level includes:

- Participation of senior protected area managers (PAMs) on tourism governance forums such as the Cook Islands Tourism Industry Council (CITIC), island tourism committees, and other major forums, particularly where key protected area interests intersect with tourism. And vice versa: ensuring there are openings for the tourism industry to be well represented on protected area and environmental forums such as Marae Moana TAG[20].

[20] It is noted that the Marae Moana Act has provision to bring tourism interests into TAG meetings as advisors for specific tourism-related agenda items.

- PAMs to be more conversant, understanding and empathetic of – yet not beholden to - the commercial realities of the industry. Being able to talk the same language will be key to the relationship.
- This skill set – speaking the tourism industry language and understanding business and the market - becomes even more important if sustainable financing mechanisms are introduced that target tourists, which is highly likely. Further, if some system of access and user pays charges are introduced for Marae Moana, and/or individual island protected areas (eg. A Development Trust Fund), this will also necessitate protected area agencies having some staff and managers with a commercial and revenue headset. This then points to a need to recruit for such skills and experience in PAM agencies; in particular the organisation that has lead responsibility for sustainable financing (not yet determined which agency this might be) should have managers that have strong business and/or private sector experience.
- R2R is already providing support to CITC and operators to improve their tourism product and environmental protection performance. This should be expanded in a strategic way. For instance opportunities could be explored to link industry accreditation schemes (Mana Tiaki Eco Certification) with enhanced and tangible benefits for operators (eg. special access to protected area sites for accredited operators). CITC has also requested a R2R Tourism Adviser be engaged to support the tourism industry and operators. A quick and positive response to this request would serve to further develop the relationship and be an investment in joint goals.

7.1.4 Sustainable financing mechanisms

This CNAR has found that there is weak capacity for sustainable financing and this situation has not improved over the past five years; there may even have been regression in performance. Capacity for revenue generation is particularly weak (Section 6.1).

Qualitative findings complement what was found by quantitative means, namely that Cook Islands has barely touched the surface when it comes to sustainable financing mechanisms (SFM).

Enormous opportunity exists to design and introduce a package of diverse financing mechanisms that capitalise on the Cook Islands brand, and the Marae Moana brand once better defined. These are subject to comprehensive analysis by another consultancy team and are expected to be available in late 2019. The report, once approved by the Marae Moana Council, will provide a strategic basis to establish sustainable financing mechanisms for the protected area system with emphasis on Marae Moana.

The report is expected to provide the foundation to address a major capacity need and gap in the Cook Islands system and individual organisations, that being identification of:

- suitable legislation and policy that enable sustainable financing for protected areas
- appropriate tools for revenue generation and mobilisation (see Section 3.3.3).

However any new financing measures are expected to be complex and potentially controversial, and none will be easy to introduce. Substantial capacity in technical assistance and potentially additional research will be needed to support MMCO as the leader of this policy initiative. Opportunity exists for R2R to fund additional capacity support in this area.

The SFM report will likely result in MMCO requiring capacity strengthening. Initially, it is expected that MMCO may require additional capacity and support to assess the SFM report and select the most appropriate financing recommendations for further consideration by government decision-makers. Depending on the political sensitivity and magnitude of the financing mechanisms that are recommended and selected, capacity may also be needed to advance the report through a fraught political system with a potentially antagonistic tourism industry and/or finance ministry.

To summarise, the key capacity needs in this area are:

- Finalise the R2R study into sustainable financing mechanisms and identify additional capacity needed for establishment and implementation.
- Examine opportunities for R2R to provide additional capacity support for SFM.

- Significant capacity will be needed to involve the tourism sector in the development of Marae Moana – to ensure comprehensive understanding of what it is and what it might be; and to offer suggestions of how to develop its potential and how it can be improved as a well branded, functional marine park. This hands-on involvement will hopefully also stimulate political buy-in for a sustainable financing mechanism.

7.1.5 Information management

R2R has provided support for biodiversity surveys, data entry and expansion of the Cook Islands Biodiversity Database (CIBD) that is housed and maintained by a local NGO, the Cook Islands Natural Heritage Trust (NHT). R2R is also supporting the development of data layers for the Marae Moana National Marine Spatial Plan (MSP). MMCO itself is investing significant time and resources into GIS capability, data collection coordination, and spatial data sharing policies. They are providing resources for a GIS Officer to support Emergency Management Cook Islands (part of OPM) that houses national GIS functions.

Good quality spatial data is an essential resource for effective biodiversity conservation and protected area management; this requirement is particularly important for MMCO as it proceeds to develop national and island marine spatial plans for Marae Moana.

At present there is no organisation with whole-of-government responsibilities for information management. Data is dispersed across different government agencies and NGOs rather than in a centralised repository.

The situation concerning spatial data in Cook Islands has been comprehensively assessed by Kashkari & Evans (2018) and recommendations provided. Readers are referred to this report for a thorough treatment of these issues.

The main capacity needs for information management are:

- Decisions are required about the medium to longer term sustainability and appropriateness of the biodiversity database being housed by an NGO, and whether this function should rest with a government agency.
- Better coordinate information management for biodiversity conservation and protected area management.
- Consideration of how GIS functionality is best addressed at whole-of-government level: whether through consolidation of operations and technological infrastructure into a centralised unit with responsibilities for coordinated, whole-of-government information management or continuation of current practice of multiple organisations undertaking their own GIS operations.
- Implementation of recommendations in the spatial data situation analysis report (Kashkari & Evans 2018).

7.1.6 Cross sectoral partnerships and relationships

Overall performance

At the heart of the R2R design was integrated NRM and the use of cross-sectoral collaboration and partnerships to deliver project activities. The MTR report (Laurie 2018) found that the R2R design did not adequately address cross-sector collaboration. The MTR also found that the design did not adequately recognise the risks associated with multi-agency activities or the need for capacity development activity and budget in partnership management.

This CNAR has found R2R design and performance in cross-sectoral partnerships was seen by informants as its biggest weakness yet biggest opportunity.

Qualitative findings of poor performance and results in cross sectoral and multi-stakeholder partnerships was supported by quantitative evidence from the CDS process (Section 6.2): at system level, engagement (result area #1) scored just 33% which was the lowest recorded (along with two other areas that also scored 33%). In contrast the capacity for engagement scored highly - average of 57% across organisations (highest rated of all capacity areas) (Table 4, Section 6.2).

The performance of R2R to put in place effective and integrated activities through use of cross-agency and cross-sector partnerships and collaboration was relatively mixed. The CNAR found that there were significant issues and difficulties in this area and substantial capacity limitations.

Issues are characterised as follows:

- Personality clashes and major differences in opinion bordering on antipathy between senior officials of some agencies that led to communication breakdowns and resulted in very significant delays in project implementation. Substantial resources had to be redirected towards addressing this impasse and this was at expense of project implementation.
- Lack of common vision and forward plans between the PMU and implementation agencies.
- Difficulties in breaking down a 'silo mentality' within implementation agencies.
- R2R being viewed - and used - as a 'cash cow' by some implementation agency officers and as a vehicle to fund activities that advanced narrow interests ('pet projects') rather than project goals.
- More broadly, some spending and activity of implementation partners appeared to be poorly aligned or not at all with R2R design and targets.
- Changes in ministers, heads of ministries and directors, and extended periods where key positions remained vacant across the different partners.

Lack of activity management systems

One issue that seemed to detrimentally affect relationships was the lack of formal agreements between the PMU and implementation agencies (MMR, MoA) that clearly defined the individual activities to be funded by R2R, expected outcomes, alignment with project design, and the roles and responsibilities of the PMU and implementation agencies. This CNAR considers this to be a major gap in project management capacity and approach (although this is contested by PMU informants who felt that such agreements would have made no difference).

Lack of jointly signed-off funding agreements seemed to result in lack of accountability and controls on implementation agencies such that they could and did proceed to implement projects that at times had doubtful connections back to R2R goals, outputs and targets. At same time these agencies expressed frustration at having to obtain approvals and funds released on a case-by-case basis.

Overall there did not seem to be a robust process for development and submission of activity proposals by implementation agencies nor any transparent assessment and approval processes by the PMU and as necessary the project steering committee. Furthermore there was insufficient if any oversight and monitoring by the PMU of 'on-ground' activity implementation by partners.

A finding of this CNAR is this omission in project management represents a significant risk and major capacity need for remainder of the project. Although 'the horse has bolted' somewhat for activities already funded and underway in implementation organisations, that is not the case for new activities that are expected to arise over the coming 12 months. In these cases it is advocated that it will be important to put in place enhanced activity management controls and plans.

Cross-agency coordination – who should lead?

The R2R project is seen by many stakeholders to be an 'experiment' in cross-agency collaboration, an experiment that in the main has not been successful. R2R is not alone in the difficulties faced in cross-agency collaboration: MMCO is facing similar (refer Section 7.2.3).

Whether R2R should have had to drive cross-agency coordination was also questioned by some informants. The opinion of the CNA consultant is this was and remains a reasonable expectation to place on the project. However the limitations must be recognised by senior government officials; in particular it must be recognised that a project like R2R, resourced with relatively junior officers who have logistical and project coordination functions, can only go so far with cross-sectoral coordination and integrated activities. When there are conflicts and differences of opinions and philosophy at officer level, then other mechanisms need to be brought into place such as dialogue between heads of ministries and use of higher-level committees and decision-making forums such as the Marae Moana TAG.

Efforts to build cross-sectoral partnerships must be persisted with. Several informants recommended that R2R should invest in 1-2 small-scale activities that use partnerships and integrated land and sea approaches to derive positive outcomes and benefits. The Aitutaki Lagoon Master Plan – expanded to take an integrated planning approach across islands, lagoon and coastal waters – was suggested by many as an ideal opportunity to test and demonstrate how the R2R approaches could be made to work. This report strongly supports that recommendation.

The ability of R2R PMU, implementation agency staff, and others to form, maintain and grow effective partnerships - and to work collaboratively - will be an important capacity need for the remainder of R2R. This will be even more so if pilot projects – such as Aitutaki (see above) - are established that aim to demonstrate the R2R concept in practice. This will require partnerships and collaboration between agencies and with external stakeholders. Additional technical and managerial capacity will be required. Greater involvement of senior managers of NES, MMCO and MMR (Director, Chief of Staff, Head of Ministry respectively) in decision-making, dispute resolution and forging cross-sectoral relationships will be essential.

For the remainder of R2R then, there will remain a need for capacity in partnership management. It is expected that this capacity need will be addressed in part by the Chief Technical Adviser once contracted.

Once R2R is completed the need for cross-agency collaboration and multi-agency partnerships will persist and demand will only grow: more partnerships and collaboration will be needed, not less. Capacity needs will remain, if not grow post-R2R.

An important learning from R2R is multi-stakeholder projects are very difficult to implement; they require substantial time and effort to make work and require skilled staff with strong experience and skills in consensus building, collaboration and partnership. This is a capacity lacking from R2R.

To summarise, the key capacity needs in this area are:

- Build skills and experience in cross sectoral partnerships and relationships; recruit and bring it in if necessary.
- Need to develop improved systems for activity management by implementation organisations: development, assessment and approval of activity proposals and budget (with emphasis on close alignment to the R2R SRF), and implementation monitoring.
- An expanded Aitutaki land-to-sea planning project will require additional technical and managerial capacity, and greater senior manager involvement.
- Put in place mechanisms to use high-level governance forums such as the Marae Moana TAG to develop and maintain cross-sectoral partnerships and to address disputes.

7.2 Organisational level

7.2.1 Project Management Unit (PMU)

Quantitative results (from the CDS) show that at system level, management and implementation (result area #4) scored just 33% which was the lowest recorded (along with two other areas that also scored 33%). The R2R prognosis report and qualitative evidence also emphasised the relatively poor performance in project implementation. This is of relevance to all R2R organisations but in particular the PMU (as project manager) and NES (as lead executing agency for the project).

Technical expertise and leadership

The R2R PMU has very broad, quite complex and demanding responsibilities; how it performs has very important consequences for the project as a whole. However the way the PMU has been staffed, resourced and supported so far does not match these requirements.

As with the MTR this consultancy found that a major issue affecting many aspects of project performance so far has been the lack of technical, policy and leadership expertise in the PMU. In large part this can be attributed to UNDP and GEF rules that limit the costs of a PMU at a maximum of 10% of total project budget. This typically means that PMUs across GEF projects must recruit only relatively junior staff with modest salaries. This in turn means that GEF PMUs typically lack senior staff with the strategy, policy and technical skills needed to address the more complex requirements of GEF projects (Andrew Laurie, pers. comm).

R2R certainly faced this dilemma. The PMU was well serviced by a team of staff with solid skills and experience in project logistics, donor reporting, administration and finances. However it lacks capacity in the key technical and policy areas that R2R requires. Findings from this CNAR point towards a need for increased capacity in the following areas:

- Project and activity implementation, with emphasis on a determined and unwavering attention towards achieving R2R targets as specified in the SRF.
- Technical and policy knowledge of PAM at landscape and seascape levels, strategy, and integrated NRM.
- Partnership management skills. Lack of capacity in this area meant that cross-sectoral and multi-stakeholder work didn't proceed as expected; it also meant that silo mentality and compartmentalised operations continued largely unabated.
- Translation of scientific data into useful and meaningful information suitable for management decision making.
- Adaptive management, judgement and confidence to use the project design document as a guide rather than a prescription.
- Strategic and cohesive whole-of-project communications.
- Greater NES senior management oversight of the PMU.

The above represents the major capacity needs of the PMU in technical expertise and leadership over the remaining 16 months of the project.

There has also been very slow progress by the PMU to source and contract consultants. Clearly the R2R design envisaged that consultants – local and international – would be a key mechanism to bolster managerial and technical capacity for the project. The project design identified a need for 21 different consultancies and included draft ToR for most of these; the R2R procurement plan set aside budget for all.

Despite this imprimatur, progress to engage consultants has been very slow. The MTR flagged this as a major issue – at the time of MTR (late 2017) - just two of 21 consultancies had been filled. Progress since then has improved only slightly with just 2-3 consultancies having been commenced and all now very late in the project life cycle.

Slow progress can in part be attributed to the lack of available expertise in-country and some previous negative experiences of hiring overseas expertise (reluctance exists amongst some government officials to rely on consultants particularly international candidates). That aside the overall slow performance points towards a capacity gap – there is a need to strengthen the managerial and procurement capacity of the PMU and specifically in the following areas:

- development of ToR for consultancies that fit the needs of the project
- procurement expertise including ability to work collaboratively with UNDP Samoa to rapidly source, recruit and contract consultants
- technical knowledge to manage a team of consultants with diverse responsibilities in policy, planning and ecology.

Unit staffing

The PMU is staffed as follows:

- Project Coordinator
- NES Project Officer

- Finance and Administration Officer – vacant, replacement officer anticipated to start in September 2019
- Officers out-posted to implementation agencies: two marine researchers (MMR); Project Officer (MMR – vacant); Project Officer (House of Ariki).

This CNAR found that vacant positions have been filled very slowly and this impacted upon project administration and financial management. In particular the long-vacant Finance and Administration Officer has been very difficult and time consuming to fill, meaning that low level functions have had to be taken up the Project Coordinator and NES Deputy Director and this to the detriment of more strategic work. Furthermore greater management control and coordination may have been achieved by having out-posted project officers reporting to the PMU as opposed to reporting to managers within implementation agencies.

Project management

Based on multiple sources - MTR findings, and physical sighting and review of documents and informant responses through this consultancy - the R2R PMU appears to be effective in servicing GEF and UNDP project management requirements (work plans, reports, financial statements, etc) and supporting routine project logistics and operations.

However, improvements are needed in implementation of plans. Document review, supported by informant responses, indicated that activities that aren't achieved in a quarter are simply pushed out to the next work plan (and the next). Sometimes this was for valid reasons such as seasonality or availability of materials. Physical distance between Samoa and Cook Islands is a factor and this has complicated rapid and responsive administrative activity between the PMU and UNDP MCO. However other times it appeared that slow/no implementation was attributable to lack of prioritisation: there was a tendency to put aside bigger, more difficult and complex projects, and action easier tasks.

The project has suffered from generally slow responses and implementation at all levels. Numerous examples of slow action were reported: acceptance of the MTR report, MTR management response, implementation of MTR recommendations, consultant recruitment, procurement of Chief Technical Adviser (CTA), finalising payments, submission of the project extension request, filling vacant positions, and so forth. Informants reported that there have been improvements in some areas however overall the project still suffers from malaise and low responsiveness.

Engagement of a CTA is underway (and also subject to delays); once in place the CTA should fill capacity gaps in general management, consultant procurement and supervision, PAM expertise and partnerships. Given the project is heading into closure phase and the small amount of time remaining for project implementation, it will be important that the inputs for the CTA are 'front-loaded' with maximum time inputs at early stages of the contract and tapering off over time.

R2R implementation agencies

This CNAR found that opinions varied about the quality and timeliness of financial and procurement services provided by the PMU to partner agencies. MMCO for instance was highly appreciative of the support provided, whereas MMR and MoA expressed some frustration and were more critical, although they also recognised the difficulties and challenges faced by the PMU.

In summary issues were:

- Purchasing procedures being long-winded, needlessly difficult, and prone to delays.
- Lack of communication back to the implementation agency about procurement progress.
- Financial activity stopped if R2R staff were away or offsite due to training or leave.
- Insufficient capacity – number and quality of staff, and overall service ethos in the PMU – to adequately service implementation agencies plus all the other demands of the project.
- Payment of suppliers was at times very slow and subject to extended delays.
- Poor record keeping and lost files and paperwork.

- Lack of understanding about policies and procedures for assets purchased using project funds.
- Significant reduction in capacity and servicing ability with departure of the R2R Finance and Administration Officer and extended delays in finding a suitable candidate to fill this position.

There was also recognition that problems were two-way and not resting with PMU alone. Lack of financial and activity planning by implementation agencies, and lack of capacity and understanding of donor project requirements – administration, asset management, financial obligations - contributed to sub-optimal results.

Embedded R2R project officers were used in MRR (currently vacant) and House of Ariki (still in place) and seen to be an important resource for those agencies with heavy loads in activity implementation.

As reported earlier (see Section 7.1.6) tension and conflict was evident between the core business, independence, and ability of implementation agencies to 'do their own thing' versus the need for alignment with R2R aims and design, and accountability back to the donor. There was also the added workload and expectations that arose from R2R, and difficulty of achieving results on top of normal agency business. It was evident that the PMU had difficulty managing this issue and conflict.

Care and thought are required in how best to respond to the capacity needs in implementation agencies for the remainder of R2R, and in particular the requests from MMR, MoA and CITC for R2R project officers.

The experiences throughout R2R so far clearly demonstrate that the Cook Islands labour market is small and shallow: good quality project officers are difficult to source and recruitment processes are typically long-winded; repeat advertisements are often required before quality applicants are identified. Added to this will be the difficulties in attracting good quality applicants given the project closes in under 16 months.

It will be necessary to weigh up the costs and benefits of proceeding with recruitment of outposted R2R Project Officers. Is the cost and effort worth it? Or would it just distract the PMU from the more important work of concentrating on maximising project implementation and attainment of strategic targets as per the SRF?

For PMU high priority organisation **capacity needs** are:

- Project implementation that addresses the R2R SRF and targets.
- Building capacity and ethos to provide quality support services to implementation agencies.
- Rapid engagement of the CTA and other high priority consultants.
- Greater managerial oversight of the PMU and increased level of technical expertise in protected area policy, strategy, procurement and management of consultants, and multi-stakeholder partnerships.
- Consideration of the requests from implementation agencies for R2R project officers.

7.2.2 National Environment Service (NES)

When considering organisational capacity needs, it is important to recognise that NES has had four major responsibilities throughout R2R:

- Legislative, policy and routine service delivery responsibilities as mandated by government
- Execution agency for R2R, responsible for overall project management
- Host and house the R2R PMU
- Actual implementer of many R2R activities.

This is a complex and demanding set of responsibilities.

At organisational level and using the CDS, NES self-assessed its overall capacity level at 51% and was peer assessed at 38%. The CDS scored the management and implementation result area at 50%; this is quite modest for an organisation with a key mandate for implementation.

NES management has been actively involved in R2R governance and project implementation since inception. The NES deputy director is R2R project manager and co-chair of the National Biodiversity Steering Committee (functions as R2R project steering committee). Even though staff in the PMU itself were R2R funded, NES managerial inputs were still high. This may have been due to the limited technical expertise in the PMU, which could have been addressed by recruiting a Chief Technical Adviser to work in the PMU early in the project.

Informants including within NES itself highlighted that workload demands and other agency priorities have meant that NES has not provided the level of senior management oversight and inter-agency agency coordination that was required to optimise project results. R2R has clearly required close management over the past four years yet at times NES management has not been managing as close or as hard as it should have.

Regarding R2R-funded activities the main goals of NES are yet to be achieved. There are substantial pieces of unfinished work including development of consolidated protected areas legislation, a national classification scheme for protected areas, establishment of the cloud forest protected area, and management plans for 15 protected areas. These are planned but progress is slow, and tangible evidence of action for some activities is lacking. Some informants suggested that more focus has been placed on the smaller and more easily achievable goals and less so on the bigger, harder ones. Additionally the project design was overly ambitious.

NES has received R2R funding to undertake biodiversity surveys. The MTR found that considerable work has been undertaken however these surveys were often one-off baseline surveys without any linkages to previous survey work or to specific R2R project outputs and targets. Furthermore biodiversity surveys have resulted in generation of data however the preparation of technical reports that convert data into knowledge and that identify management implications and recommendations for decision-makers has not yet eventuated.

Similarly NES has conducted water quality monitoring activities however these too have not yet translated data into technical knowledge and management action.

This CNAR found that considerable demands and expectations are placed on NES as an organisation and on its staff. Management and delegation skills could be further developed to avoid micro-management and enable more efficient organisational operations. This would avoid management positions becoming over-loaded, allow managers to focus on more important and strategic work, while at same time give greater responsibility to subordinate staff.

The consultant heard that work ethic of some staff is low and that productivity in some areas could be increased, resulting in more goals being achieved and much quicker. This is not just an issue for NES but more widely across R2R agencies.

Increased managerial capacity, attention and interventions are needed to:

- encourage and incentivise productivity
- manage any poor performance
- re-energise the PMU and NES teams and stimulate cooperation with implementation organisations
- instil collective approaches and vision and ensure all staff are working towards the longer-term goals of R2R.

For NES high priority organisation **capacity needs** are:

- Focused attention on completion of high priority activities and outputs from the SRF – notably protected areas legislative reform, national system for protected areas categorisation, and management plans - that will have long-lasting benefits. Regarding protected areas legislative reform, the process might be best coordinated by MMCO hence close collaboration with them will be essential (refer Section 7.1.1).
- General management skills (time management, delegation, productivity and focus, communication, teamwork, motivation, etc).
- Analytical and technical report writing skills – converting data into reports with management recommendations.

- Greater hands-on involvement of NES senior management in R2R implementation for the remainder of the project.
- Establishment of monitoring tools to ensure that NES senior management are fully informed about project progress and issues and can intervene and provide support when needed.

7.2.3 Marae Moana Coordination Office (MMCO)

When looking at capacity it is important to distinguish, as best as one can given the convergence of concepts, between Marae Moana and MMCO. Marae Moana is a marine protected area (MPA) and under the terminology used in this report, a 'site' albeit a very large one that transcends the entire marine environment of the Cook Islands (inshore waters and EEZ). Given its geographic scale and wide-ranging legislative scope, Marae Moana can also be considered a national 'system'.

MMCO is the organisation that coordinates management, use and activity across Marae Moana. It is not responsible for all aspects of management of the MPA, instead a range of other organisations do this. There can be a tendency to view Marae Moana and MMCO as synonymous which is incorrect – this only serves to distort the legislative and operational mandate that MMCO has been given.

At organisational level and using the CDS, MMCO self-assessed its overall capacity level at 24% (lowest of all agencies). CDS show that capacity for management and implementation is very weak in MMCO (score of zero).

The Marae Moana Act and its associated instruments enable and demand integration of work plans and reports by the organisations that operate in Marae Moana. MMCO has done an admirable job in developing a comprehensive Marae Moana Action Plan 2018-22 (MMCO 2018) that consolidates the activities of all agencies that operate in the MPA. Under the Act, implementation agencies[21] are required to submit an annual report of their activity in Marae Moana. This provision has not yet been complied with.

Informants advised that even though the Marae Moana Act aims to integrate all management under one framework and to ensure compliance with the objectives of the Act there has not been any real change in practice by agencies: it is largely a case of business as usual despite the legislative provisions. It is not entirely clear why changes have not yet been institutionalised. It could be that:

- the legislation of different agencies doesn't allow for proper integration and coordination
- there is a culture of defiance and resistance to change
- MMCO lacks sufficient status, resources, legitimacy, organisational and political support to ensure that implementation organisations do what is required
- officials are not aware of the requirements
- implementing organisations are not being held to account by the executive
- a mix of some or all of the above.

When the Marae Moana Act was passed and MMCO established, the government's intention was that MMCO should be small and low cost, that its role should be an integrator and coordinator, not an implementer. Stakeholders need to be continually reminded of these original intentions so that expectations placed on MMCO do not exceed what it was designed and resourced to do.

Despite its coordination and integration role MMCO itself contributes in unintended ways to institutional disintegration, fragmentation and role confusion. It does this just by its very existence as another protected area organisation in the Cook Islands. That is not to suggest that the role of MMCO is unimportant or lacking relevance – far from it. Rather this CNAR seeks to highlight that the protected area management 'playing field' is crowded with organisations and ripe for legislative reform and organisational redesign that give greater efficacy and simplification.

MMCO is the natural organisation to lead this design work, given its legislative basis is to coordinate and integrate across government (these issues are explored in more detail in Sections 7.1.1 and 7.1.2).

[21] Cook Islands Seabed Minerals Authority, Ministry of Marine Resources, Ministry of Transport, National Environment Service

Opportunity exists for enhanced integration across land and seascapes whereby MMCO and its governance forums – MM Council and TAG – have an expanded scope to consider islands and land-based impacts on the adjoining Marae Moana. This expansion could also include responsibility for the design of the national protected area system and legislation, and strategic oversight and periodic evaluation of its management. Implicit in this scope expansion would be inclusion of island protected areas.

MMCO has a demanding work program that is underpinned by specific legislative provisions that require preparation of specific outputs, some of which are time bound:

- Marae Moana outlook report by 30 June 2018, and thereafter every six years
- National Marae Moana spatial plan covering the EEZ and continental shelf to be developed ''as soon as possible''
- Revised Marae Moana Policy by July 2021
- Island marine spatial plans
- Schedule of marine-based activities (approved by Marae Moana Council at July 2019 meeting)
- Annual report.

The substantial capacity needs of MMCO to implement its ambitious and demanding work program are expected to centre around marine scientific research, information management and GIS support, technical assistance to support development of the national MSP and any islands MSPs, and assistance to progress the sustainable financing study (see Section 7.1.4). These needs, including potential funding sources, require further investigation and discussion between the consultant, PMU and Director MMCO; once confirmed the capacity interventions will be incorporated into the CSAP.

For MMCO high priority organisation capacity needs are:

- Legislative reform and organisational redesign that give greater efficacy and simplification.
- Expansion of the role of the MM Council, TAG and MMCO to include the national protected area system and legislation, and strategic oversight and periodic evaluation of its management.
- Continued efforts to ensure Marae Moana implementation agencies comply with their statutory reporting obligations.
- Improved understanding and awareness of Marae Moana, through a strong communications effort, so it has a more tangible, visible, and felt presence in the lives of islanders, its organisations and visitors.
- Identify the capacity assistance that R2R can provide to support MMCO with implementation of its work program.

7.2.4 Ministry of Marine Resources (MMR)

MMR are a key implementation organisation of R2R, having lead responsibility for conservation of marine habitats and priority species at selected sites, and development of the Aitutaki Lagoon Master Plan. MMR is also an important contributor to outputs and indicators for water quality entering inshore waters and increased area of marine reserves. Informants reported that activity implementation within MMR remains slow.

MMR are currently in the process of sourcing and engaging a R2R-funded consultant to develop the Aitutaki Lagoon Master Plan. The consultant was not able to view ToR for this consultancy however it is understood to be solely focussed on the lagoon waters. If that is the case, and the consultancy proceeds with this narrow scope, that would be a very significant lost opportunity.

Elsewhere in this CNAR (and the MTR Report) the overall lack of progress with adoption of ridge-to-reef approaches has been highlighted. A recommendation from this CNAR is to embark upon 1-2 pilot projects that demonstrate R2R on a small scale: Aitutaki is one of those prospective sites where integrated planning across island, lagoon and coastal waters could be undertaken.

It is recommended that the R2R PMU, with senior manager support in NES and MMCO, commence discussions with MMR to broaden the scope of the consultancy, and to put in place a multi-agency steering committee and project team to progress this important project. Opportunity exists to undertake this activity through the Marae Moana TAG and to utilise the integration mechanisms that it was designed for.

In common with NES (refer Section 7.2.2), MMR has undertaken a considerable amount of R2r-funded biodiversity surveys and monitoring, and water quality monitoring activities, all of which have generated a large amount of data. Yet no cohesive technical reporting appears to exist that compiles and analyses this data, identifies trends, and converts the data into information and knowledge that can be used for management decision-making (eg. water quality policy, protected area management planning). As reported by the MTR, dive surveys are often one-off baseline surveys yet without any linkages to previous survey work or to specific project outputs and targets. This represents a significant capacity gap for R2R at multiple levels: system, project (key SRF indicators and targets remain incomplete or of uncertain status), and organisational (MMR).

R2R has and continues to provide significant financial support to MMR including funding for two full-time marine scientists and a MMR R2R Project Officer (currently vacant).

Identified capacity needs within MMR include:

- Need to review and check alignment of the MMR marine biodiversity surveys, specific research projects (such as giant clam genetics), monitoring and associated activities that are R2R-funded, with project outcomes, indicators and targets. This lack of alignment points to a capacity gap in project planning and funding within MMR, and within the PMU, the ultimate approver of funds release.
- Development of an integrated land and sea plan for Aitutaki that adopts the ridge-to-reef approach. This project transcends multiple organisations: PMU, MMR, NES, MMCO, CITC, local landowners, and other stakeholders.
- A R2R Project Officer was in place in MMR until early 2019 and has been vacant since; this vacancy was reported as posing some issues in MMR (lack of capacity to develop plans and quarterly reports for instance). As discussed in Section 7.2.1, further consideration is required as to whether vacant project officers in implementation organisations should be filled or not. For MMR it should also be recognised that the R2R-funded scientists could be tasked to undertake project management responsibilities.
- Preparation of technical reports with management recommendations for biodiversity surveys and water quality monitoring activities. Apart from sound project management these reports once completed will also fill capacity and knowledge gaps at organisational and project levels.
- Greater endeavours on behalf of the R2R PMU and senior staff in MMR to improve understanding within the organisation of the land-to-sea vision of R2R and the core role that MMR could and should play in that.
- Strategic planning for transfer of staff, functions, assets and activities into MMR once the project closes.

7.2.5 Ministry of Agriculture (MoA)

Like MMR, MoA are a key implementation organisation of R2R. Although contributions are relatively narrow they are strategically important for performance of R2R outcome #2[22] and for outputs that target reduced use of agricultural chemicals and improved quality of water that enters lagoons from agricultural lands. As reported by the MTR, and reinforced through this CNAR, much of the MoA work has focussed on economic development, crop production and farm productivity that seems distant and unrelated to the specific R2R targets as expressed in the SRF.

[22] Outcome 2: Effective mainstreaming of biodiversity in key sectors to mitigate threats within production landscapes

Identified capacity needs within MoA include:

- Activity implementation remains slow.
- Need to review and check alignment of the MoA R2R-funded activities with project outcomes, indicators and targets. As with MMR, this lack of alignment points to a capacity gap in project planning and funding within MoA, and within the PMU as project manager.
- Greater endeavours on behalf of the R2R PMU and senior staff in MoA to improve understanding within the organisation of the landscape scale and land-to-sea vision of R2R and the core role that MoA could and should play in that.

7.2.6 Cook Islands Tourism Corporation (CITC)

CITC contributes to R2R outcome #2 and has responsibilities for outputs that aim to increase the number of biodiversity conservation projects being implemented by tourism operators, and inclusion of conservation guidelines in the national tourism accreditation system.

Identified capacity needs within CITC include:

- Expansion of tourism accreditation system to encompass biodiversity conservation and ecotourism.
- Request for a R2R Project Officer to increase capacity of CITC to undertake R2R project management requirements (planning, reporting, financials). As discussed in Section 7.2.1, further consideration is required as to whether vacant project officers in implementation organisations should be filled or not.
- Engagement of a Sustainable Tourism Adviser who can provide specialist advice to tourism operators regarding infrastructure developments, tours, and ecotourism.

7.2.7 House of Ariki

The PMU and NES were not able to secure appointments for the consultant to meet with House of Ariki (HoA) representatives. Informants report that HoA has very low capacity and have been slow to action R2R activities; they have not submitted any work plans and reports or expended any R2R funds (apart from project officer salary).

There is a R2R funded project officer in HoA; this position has not made any substantive contributions to R2R outcomes or targets; it primarily functions as an executive assistant to the HoA CEO.

7.3 Site/protected area level

7.3.1 Marae Moana (Cook Islands Marine Park)

This CNAR found what many assessments and reviews before it have also found: Marae Moana as the world's biggest multiple-use MPA is a product of enormous political and community vision and enterprise. It is complex and great in scale and opportunity across multiple sectors – economic, social, cultural, environmental – and could be a global demonstration of how best to manage islands and ocean territory in an integrated and sustainable way.

However Marae Moana has not yet lived up to expectations or generated the benefits that it might. That is entirely understandable, indeed expected, given it was only legislated in 2017: as a MPA it is but a 'baby'.

The METT for Marae Moana found there was no change in score between 2014 and 2017 (30 points) and then a modest increase - score of 46 – in 2019. This increase can in large part be attributed to expansion of Marae Moana (CIMP) to encompass the entire EEZ, along with development of associated policies and plans. While this modest improvement is promising, the reality is Marae Moana remains a 'paper park' with substantial capacity gaps in planning, zoning, financing, field staff, compliance, enforcement and communications.

The foundations upon which Marae Moana has been built are strong: legislation and a supporting governance framework is in place (Council, Technical Advisory Group, MMCO), as is policy and a multi-year action plan; regulations and spatial plans are under development.

However this CNAR has found that Marae Moana remains poorly understood amongst Cook Islanders, its institutions and visitors. And nor is it appreciated or properly valued. Marae Moana could be one of the world's great protected areas. However it is not well recognised and understood by local people. Amongst tourists it is highly likely that just a tiny minority would even know Marae Moana exists – let alone that they are recreating in it! It is conveniently ignored by some people and sectors that derive great economic and social benefit from it.

Marae Moana is not tangible yet, it doesn't have a physical and visible presence; there are no evident entry points, zoning plans, signage, uniformed staff, publicity. It is not yet 'felt' by those who live and work alongside and within and those who visit and use her waters. This lack of felt presence means it is not used in marketing by the tourism industry. Lack of brand recognition by islanders and visitors means that Mare Moana doesn't yet have the support it should and could have.

For many, Marae Moana lacks meaning of what it is now and what it might be in future. Marae Moana is not yet fully institutionalised and not yet exerting the influence and effect that it might. At present it is seen as merely an umbrella, a mechanism to integrate and coordinate. Marae Moana is that but far more than that. It is an ambitious, visionary, multiple use protected area with great values - but not enough people know that.

The above might seem to be an overly critical and negative list: that is not the intention. The intention is to offer the perspectives of an outsider who has 'fresh eyes' of the situation. And to offer some suggestions.

There are ample opportunities to improve this situation even though significant capacity constraints will need to be overcome. It is suggested that R2R in the remainder of its project lifecycle work in partnership with MMCO and provide whatever support – human, financial, political, logistical – that it can to improve the understanding and awareness of Marae Moana, what it is and what it might be. Specific interventions will be identified in the CSAP.

An enormous communications effort is needed – including engagement of traditional leaders (to inform and integrate ra'ui into the island marine spatial planning process) and the tourism sector (to support planning and management of Marae Moana and build political support for a sustainable financing mechanism). Discussions need to be held with ministry heads across government and especially the Crown Law Office to ensure that any new and amended legislation is complimentary. For example the Seabed Minerals Act is not complimentary as it establishes another parallel advisory committee, and another parallel process for allocation of marine space.

Aside from the capacity needs to improve awareness and understanding of Marae Moana, this CNAR barely scanned the surveillance and enforcement requirements of Marae Moana. Platforms currently in place include a police patrol vessel (Australian Government funded) and staff, marine operations centre in Rarotonga, MMR fisheries officers on each inhabited island, and regional surveillance platforms provided through Forum Fisheries Agency (FFA) and other regional organisations.

It is beyond the scope of this CNAR to identify capacity needs in this complex, highly technical area. Furthermore, government policy as expressed through the impending national marine spatial plan (MSP) is expected to have a significant bearing upon marine resource use across Marae Moana and therefore its compliance requirements and capacity needs. It is suggested that further work in this sector would best await finalisation of the national MSP and be followed up with a specific needs assessment and strengthening plan.

In summary identified capacity needs within MMR include:

- Major, sustained communications effort aimed at improved understanding and awareness of Marae Moana so it has a more tangible, visible, and felt presence in the lives of islanders, its organisations and visitors. R2R should work in partnership with MMCO and provide support to improve the understanding and awareness of Marae Moana.

- Dialogue across government agencies to ensure that any new and amended legislation is complimentary to Marae Moana and serves to strengthen not weaken or duplicate coordination and integration mechanisms.
- Development of a specific needs assessment and strengthening plan for surveillance and enforcement requirements.

7.3.2 Other sites/protected areas

This CNAR was not able to gain access to site managers of island protected areas so unfortunately little was gleaned about performance and capacity needs. An important action for the R2R PMU, with support from NES, is to undertake METTs of the five protected areas that are part of the R2R scope and SRF; this will generate important information about management performance and capacity needs at site level.

Informants pointed towards some capacity needs associated with island protected areas:

- Lack of understanding about the national classification system for protected areas and how the diverse array of traditional sites fit into the national scheme.
- Difficulty in negotiating customary land ownership outcomes and satisfying community and leader expectations and needs.
- Opportunities exist to advance with greater confidence on government managed islands such as Rarotonga and Suwarrow, and on uninhabited, traditionally owned islands.
- Need to build upon, enhance and finalise already drafted management plans, rather than start from scratch. A need also exists to adopt a pragmatic approach to planning whereby some protected areas receive a rapid planning approach and others more comprehensive.
- Lack of on-site management (ie. park rangers) is seen as a constraint by many including CITC who would like to see island rangers continuing R2R initiatives and ethos, and building environmental knowledge and awareness across the tourism industry and visitors.
- Opportunity to have field officers (rangers, fisheries officers) branded as Marae Moana to assist in giving Marae Moana a greater physical and ‘felt ‘presence.

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Annex 1. Extracts from R2R project document (ProDoc)

Source: UNDP (2015)

and value of protected areas, as well as the functions of different PA classifications and the regulations associated with PA sites, will target various stakeholders, including cabinet and other decision makers as well as the tourism industry, fishermen, and the general public. Particular emphasis will be placed on education and awareness programs (working with Traditional Leaders) for local residents and tourists regarding Ra'ui systems, in order to increase awareness of regulations, highlight the impacts of bad behaviour, and demonstrate the benefits of Ra'ui systems for sustainable community access to and use of resources (building on initial efforts that are being piloted under the UNEP-GEF IIB project). The R2R project also will support NES and local NGOs in the design and implement general environmental education and awareness programs in order to increase public understanding and support for conservation activities and the benefits of Ridge to Reef approaches in small island states such as the Cook Islands. These programs will include: school-based programs on the value of integrated approaches to terrestrial and marine ecosystem management and conservation, and on the value the environment to tourism and the national economy; public education on basic environmental issues (e.g. using DVDs and TV programs, as well as social media); and the development of marine education curriculum & materials for use in primary and secondary schools nationwide.

Output 1.3: Strengthened institutional coordination and capacities at the national and local levels for the participatory management of Protected Areas

107. **Activity 1.3.1 - Capacity Needs Assessment for R2R approaches and PA management:** A comprehensive capacity needs assessment on the key capacity issues relevant to implementing Ridge to Reef approaches and to establishing and managing Protected Areas in the Cook Islands will be carried out. The assessment will determine the technical capacities and resources needed to implement R2R approaches and to establish and manage the overall system of protected areas, the CIMP, and individual PAs, and it will assess to what degree those capacities and resources exist in the country, including among project partner institutions, local leaders (Island Councils, Traditional Leaders), local communities, civil society (e.g. NGOs, community groups), and private sector partners (e.g. tourism operators, fishermen, farmers, etc.). The results of the Capacity Needs Assessment will be used to refine the proposed capacity building and information sharing activities described in activities 1.3.2 – 1.3.4.

108. **Activity 1.3.2 - Capacity strengthening of national institutions for R2R approaches and PA management:** The Cabinet of the Cook Islands government has agreed to establish a Marae Moana office within the Office of the Prime Minister. The Marae Moana Office, which will have a staff of two persons, will function as the central hub for government management of protected areas in the Cook Islands, with responsibility for the development and implementation of laws, regulations and policies; overseeing the declaration of PA sites under the national system of PAs; facilitating coordination among various stakeholders responsible for PA sites (including Government agencies, traditional leaders, island councils, and private landowners); reporting to the CBD and other national and international conventions and reports; and acting as a coordination centre with regard to information regarding the CIMP and other protected areas (the work of the Marae Moana Office on education and awareness will be complemented by the Cook Islands Marine Park Information Hub; see activity 1.2.5). The Marae Moana Office will develop and implement management and financing plans for the overall CIMP; however, it will not assume direct planning or management responsibilities for individual Protected Natural Areas.

109. Similarly, although the National Environment Service and the Ministry of Marine Resources will not be directly responsible for managing individual PAs, they will play a critical role in supporting private landowners, traditional leaders, and local officials and communities in establishing and managing PA sites. For this reason, staff from these agencies will play an important role in various PA management functions, including: participatory PA planning and management processes and tools; technical support to local stakeholders to enable cross-learning among community conservation areas; creation / enforcement of PA regulations (including increasing the capacity of MMR Fisheries Officers on Rarotonga and Outer Islands

in enforcing Ra'ui rules that are imposed by Island Councils); ecotourism development; business and financial planning; database / information management; and developing and managing legal and regulatory functions of Protected Areas. To enable staff of the Marae Moana Office and NES to implement the aforementioned activities, the R2R project will provide training and skills development, based on the gaps identified in the capacity needs assessment. Among the areas already identified as priorities for technical training are: GIS applied to management of natural resources; sustainable financing of protected areas; biodiversity and ecosystem valuation; conservation and management of wildlife, including survey techniques; management of coastal wetlands; community based management and co-management of protected areas; conflict management; ecosystem management (Ridge to Reef) concepts and approaches for management of biodiversity and ecosytem services; and effective approaches to the cultural, social, economic, political and community implications of the management of the biodiversity of protected areas. Capacity building will be implemented primarily through on-the job training and technical workshops; in some cases, the project may also support training through study programs and exchange visits. Capacity building of staff at these agencies will include training to take account of the potential social and economic impacts of establishing PA sites, particularly in terms of access/use rights and consideration of potential impacts on vulnerable groups.

110. To further strengthen capacities for marine conservation and resource management, the project will support MMR in building the capacity of its existing monitoring stations in the Southern Group of islands, namely the station on Aitutaki, which has accommodations, a wet laboratory, offices and a hatchery, and the central station on Rarotonga, which has chemistry and microbiological laboratories, a dive station and offices for senior staff. The project will embed technical staff in these facilities to provide mentoring to local staff on all of the southern group islands, as well as advice to local governments, traditional authorities and the wider community, on marine conservation and fisheries management strategies. The technical staff, together with the local fisheries officers, will provide daily and on-going support required to undertake ecological assessments and surveys, communicate data and facilitate dialogue to develop local marine conservation and management plans, focused on integrating biodiversity conservation and sustainable fisheries harvesting objectives. In the long term, MMR hopes to expand this model so that marine scientists will eventually be posted to all inhabited islands in the country where MMR staff are currently based. .

111. **Activity 1.3.3 - Capacity strengthening of local officials and traditional leaders for R2R approaches and PA management:** The project will strengthen the capacities of local officials and traditional leaders, including the House of Ariki, Kotou Nui, and Island Councils, to declare and manage Community Conservation Areas and Ra'ui systems/sites. Capacity building activities will include training in participatory management planning (including specific actions to protect globally threatened species and habitats); understanding and participating in ecological assessments; monitoring and evaluation and enforcement (including inspection and fines); and public outreach and education. Capacity building activities will emphasize utilizing existing resources (e.g. local school teachers, NGOs, staff of NES and MMR, etc.). As part of this effort, the project will support the creation of a position for a Ra'ui Site Coordinator working for the Aronga Mana (traditional leaders), who will provide technical inputs and training to traditional leaders on each of the islands and ensure information sharing and cross-learning among these individuals with regard to establishing and overseeing Ra'ui sites.

112. **Activity 1.3.4 - Capacity strengthening of private landowners, local communities / organizations for R2R approaches and PA management:** Private landowners and local communities will play a leading role in the management of many of the proposed Protected Areas. The project will work to strengthen the capacities of these stakeholders, as well as other key partners such as community groups and NGOs, to participate in the management of PAs, including: baseline ecological and socio-economic assessments; surveillance and monitoring, and enforcement (training local voluntary wardens in basic enforcement and evidence collection); management planning; and community participation,

education and conflict resolution. Capacity building activities will emphasize utilizing existing resources (e.g. local school teachers, NGOs, staff of NES and MMR, etc.).

113. **Activity 1.3.5 - Facilitate participation in regional coordination on Ridge to Reef approaches**: The UNDP-GEF Regional R2R Project "Pacific Islands Ridge-to-Reef National Priorities – Integrated Water, Land, Forest and Coastal Management to Preserve Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods" (the executing agency for this project is SPC's Applied Geoscience and Technology Division (SOPAC) based in Suva, Fiji) will support the development of technical capacities and information sharing networks to support national R2R projects, including the proposed project in the Cook Islands. As part of this effort, the regional project will develop and deliver a post-graduate training program in Integrated Water and Coastal Management for project managers of the regional project's pilot activities and national STAR projects through a partnership of internationally recognized educational institutes. The design of this postgraduate training programme enables eligible project managers and R2R stakeholders to progress towards a Master's degree qualification. The course will be delivered remotely (online), with annual face-to-face meetings coinciding with the regional R2R project's steering committee meetings. This will be complemented with a community-based certification programme in R2R planning and CC adaptation for stakeholders at project sites, which will be led and coordinated nationally by participants of the regional training programme. Supporting activities include: the development of a register of national and regional water, land and coastal management practitioners to facilitate intra-country and multi-lateral sharing of skills and expertise; and the development of an online database of past and present projects relating to land, water, forests, coasts and climate change adaptation to assist in information sharing on available specialist expertise and technical resources and to serve as a repository for lessons learned. The Regional R2R project will fund the course development costs as well as the participation of its national pilot project managers, while the proposed Cook Islands R2R project will fund the participation of its project staff / key stakeholders (estimated at 4-5 persons) in these activities.

114. In addition, the national project will participate in the activities of the regional project to strengthen the scientific and technical linkages between Pacific Island Countries for Ridge to Reef approaches. Component 2 of the regional project will establish a Regional Scientific and Technical Committee (RSTC) that will serve as a forum for reconciling both sectorial and national interests and priorities, and will foster the incorporation of sound science into decision-making and national and regional planning. The Cook Islands R2R project will participate in the RSTC, and will benefit from the work of that body to develop regionally appropriate knowledge tools to support evidence-based coastal and marine spatial planning in PICS. In addition, national stakeholders from the Cook Islands will participate in the Regional Scientific Conference on coastal and marine spatial planning in PICs, which will support the uptake of regionally accumulated scientific knowledge in policy-making and planning and will facilitate exchanges between government and the scientific community.

115. **Activity 1.3.6 - Strengthen Knowledge Management Systems for Ridge to Reef approaches and for Protected Areas**: The Cook Islands' R2R project will rely on guidance and support from the Regional R2R Project in developing knowledge management tools for Ridge to Reef approaches, including tools / processes to build on the previous regional project GEF-UNDP-UNEP Implementing Sustainable Integrated Water Resources and Wastewater Management (PacIWRM). The Pacific IWRM project supported water governance reform, with most of the participating PICs having established Inter-ministerial Water Committees, developed national water policies, and completed national diagnostic reports for Water, Sanitation and Climate. These accomplishments, as well as a number of successful demonstration projects of ICM and IWRM developed in the Pacific and elsewhere, will be adapted for use in training by Pacific islanders to build local capacity for Ridge to Reef approaches that link coastal systems and catchment areas. In addition, the project will support the establishment and management of databases and other information systems for Protected Natural Areas in the Cook Islands, designed to

support information sharing so that institutions and persons responsible for the management of wildlife sanctuaries, forest and marine reserves, CCAs and Ra'ui sites can share information, best practices and resources in managing these sites and planning for and implementing island-wide interventions that can benefit multiple sites. The information resources will include: information on relevant laws, regulations, policies, management plans and authorities; the consolidation of existing mapping and GIS information, and any additional data developed under activities 1.2.1 and 2.1.1. Much of the information will be incorporated into the Disaster Risk Management Data Portal, which has been designated as the national hub for information and data relevant to natural resources and environment; the R2R project will ensure that information related to protected areas (and biodiversity) is appropriately incorporated into this larger system, and made available to stakeholders. The project also will make sure that national information is shared with and incorporates regional information, in the scope of the regional R2R programme (see activity 1.3.5).

Output 1.4: Financial sustainability framework developed for system of Protected Areas

116. **Activity 1.4.1 - PA system financial planning**: The CIMP Steering Committee will support work during 2015-2016 to create a Cook Islands Marine Park Financing Plan, including assessing the costs and benefits of a large-scale, multiple-use marine park and comparing this with the costs and benefits of current marine resources policy in the country. The R2R project will build on this work to quantify the monetary values (including potential revenues as well as the values of ecosystem services) of the proposed protected areas within the overall CIMP, and to communicate these results to national stakeholders so as to generate increased support for protected areas (including support among decision-makers for increased government budget allocations for protected areas). In addition, the R2R project will support the Marae Moana Office in the development and implementation of a PA System Business Plan, implementing system level coordination and sharing of resources; cost-saving measures; revenue generating activities, etc.

117. **Activity 1.4.2 - Identify potential sources of PA financing and develop mechanisms to access and utilize funds**: The CIMP Steering Committee will support work during 2015-2016 to develop and enact a CIMP Sustainable Funding Mechanism Act, which will authorize the development and use of various PA financing mechanisms in the Cook Islands. In addition, the Committee is exploring the possibility of establishing a CIMP Trust Fund, which could help to provide long-term funding for the new Marae Moana Office, to the benefit of the CIMP and the protected areas within it. The R2R project will build on this activity by working to develop and implement selected PA financing mechanisms, as well as to build the capacity of national stakeholders to continue this work over the long term. In addition, the project will support advocacy, education and information sharing to encourage policymakers / legislators to increase annual government budget appropriations for PA functions. Working with the Marae Moana Office, the Ministry of Finance and Economic Management, the Cook Islands Tourism Authority, and other partners, the R2R project will focus on a number of different potential financing mechanisms for protected areas. One option is to re-establish the airport departure tax that previously provided funds for conservation activities in the country, ensuring that some part of the taxes raised are allocated for the CIMP and other protected areas (initial consultations have indicated that support exists among key policymakers for this approach). An initial analysis of potential revenues, based on 115,000 visitors per year and a departure tax allocation to protected areas of NZ$9.30 (15% of the overall departure tax), estimates potential revenues for protected areas of approximately US$900,000 per year. Another option might be to establish a bed tax for hotels that would benefit protected areas; the Cook Islands currently receives approximately 130,000 visitors/year who stay for an average of 7 days per visit; thus, a US$1 per day surcharge would potentially generate US$1 million per year for protected areas management. The Cook Islands might also implement an import levy on environmentally damaging imported products (e.g. plastic shopping bags, phosphate based detergents); a levy of NZ10c per bag and 10% on detergents could generate US$680,000 per year. The project will also explore the potential for various user / entry fees for protected natural areas and / or other sites, which can be used to fund conservation and PA management.

Examples of such fees already exist in the country on a small-scale: the Takitumu Conservation Area currently charges NZ$35-45 per person for entry, generating approximately US$6,800 in entry fees; in addition, bonefishing in the Aitutaki Lagoon is subject to permit fees (these vary based on day, week, fortnight, month and lifetime durations) that currently generate approximately US$15,000 for conservation. These types of fees, as well as the potential to use licensing fees for sport fishing, kite boarding, tour boats and dive operators to support conservation and PA management, will be tested in the Aitutaki Lagoon (a major tourism destination) as part of the work to implement an Aitutaki Lagoon Master Plan (see activity 1.2.3). In addition, entrance fees will be considered for the Moko Ero Nui Leeward Forest Reserve and the Cloud Forest Reserve on Rarotonga, and use fees will be considered for recreational fishing and scuba diving within selected areas of the CIMP. The use of licensing fees for international fishing vessels as a means of financing protected areas (particularly enforcement activities) also will be explored; there is some precedent in the country for this kind of mechanism, as noted in a 2013 review of laws and regulations which stated "Cabinet approved the establishment of a Fisheries Development Facility to direct licensing revenue to support fishing clubs and artisanal fishers. This is a significant policy shift in that a direct contribution from the fishing licenses can be returned to the supporting the local fishing sector". Finally, the project will provide training to key stakeholders on the best opportunities and strategies for securing funding for protected areas from international donor agencies and organizations, including identification of potential partners (differentiated between terrestrial and marine protected area donors) and information resources, and training in proposal writing. Additional details on potential PA financing mechanisms are provided in the GEF BD1 Tracking Tool – Financial Scorecard.

Annex 2. Consultancy terms of reference

United Nations Development Programme

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TERMS OF REFERENCE FOR THE COOK ISLANDS R2R – CAPACITY AND COMPETENCY NEEDS ASSESSMENT AND STRENGTHENING FOR RIDGE TO REEF APPROACHES AND PROTECTED AREA MANAGEMENT

A. Project Title:

Conserving Biodiversity and enhancing ecosystem functions through a "Ridge to Reef" approach in Cook Islands (Cook Islands R2R)

B. *Project Description or Context and Background:*

The project aims enhance Cook Islands' capacities to effectively manage its protected areas and sustainably manage its productive landscapes at local scales while considering food security and livelihoods. This includes the operationalization of the Cook Island Marine Park (covering approximately 1.1 million km^2 of Cook Islands southern EEZ) and the establishment and strengthening of various forms of protected and locally managed areas within the CIMP, including Protected Natural Areas, Community Conservation Areas, and Ra'ui Sites. In so doing, the project will support the Cook Islands in maintaining traditional resource management and conservation systems and approaches, including a leading role for traditional and local leaders and the local communities that they represent in the declaration and management of protected areas, while also integrating these traditional systems into a formal legal and institutional system of protected areas.

The project will support the Government in tailoring policy, regulatory and institutional frameworks to suit the specific characteristics of the Cook Islands and of the new CIMP, recognizing that protection and sustainable use will need to be zoned and planned carefully, and that tenure over most land areas is vested in local communities through a traditional tenure system.

Finally, the project has been designed to engineer a paradigm shift in the management of marine and terrestrial PA sites from a site centric approach to a holistic "ridge to reef" management approach, whereby activities in the immediate production landscapes adjacent to marine and terrestrial protected areas will be managed to reduce threats to biodiversity stemming from key production activities (tourism and agriculture). The project has 7 output areas and these are as follows;

Output 1.1: Strengthened Legal / Regulatory and Policy Frameworks for Protected Areas
Output 1.2: Expanded and strengthened management systems for Protected Areas

Output 1.3: Strengthened institutional coordination and capacities at the national and local levels for the participatory management of Protected Areas
Output 1.4: Financial sustainability framework developed for system of Protected Areas
Output 2.1: Ridge to Reef approaches integrated into Land Use and Development Planning
Output 2.2: Biodiversity conservation mainstreamed into agriculture sector
Output 2.3: Biodiversity conservation mainstreamed into tourism sector

On behalf of the Government of Cook Islands, UNDP is recruiting a consultant to conduct a Capacity and competency Needs Assessment on Ridge to Reef Approaches and Protected Area Management under Activity 1.3.1 of the Cook Islands Ridge to Reef Project

C. Scope of Work:

The Consultant(s) will be responsible for conducting a comprehensive capacity and competency needs assessment on key capacity issues relevant to implementing Ridge to Reef and to establish and manage Protected Areas in the Cook Islands. The assessment determine the technical, institutional and individual capacity and resources needed to implement R2R approaches and to establish and manage the overall system of protected areas, the Cook Islands Marine Park (CIMP) and individual Protected Areas, and it will assess to what degree those capacities and resources exist in the Cook Islands.

The scope of work for the consultant will include, but not necessarily be limited to, the following key activities:

1. Identify capacity and capability gaps related to the implementation of R2R approaches in the Cook Islands and develop a R2R Capacity and Competency Needs Assessment.
    a. The consultant will conduct an extensive review and stakeholder consultation focusing first on project partner institutions, as well as relevant local leaders (Islands council and traditional leaders), local communities, private landowners', civil society and private sector partners; in order to assess existing capacities, competencies and resources in the key government and non-government project partners, review existing institutional arrangements delivering protected area management in the Cook Islands for the overall PA system, the CIMP and individual PAs. and identify strengthening needs and capacity constraints for protected area management.
    b. Develop a R2R Capacity and Competency Needs Assessment – conduct an assessment of capacity and competency needs and country priorities in implementing R2R approaches to establish and manage the overall protected area system, Cook Islands Marine Park and individual protected areas

2. Develop a Capacity Strengthening Action Plan for the effective management of protected areas and the CIMP at the institutional level

a. Development of a Capacity Strengthening Action Plan and timeline (identifying actions and responsible parties) based on the assessment highlighting institutional and individual prioritized and costed actions in the immediate (1-2 year), short (5-years) and long term (10-years)

D. Expected Outcomes and Deliverables:

The consultant will work directly with the Cook Islands project team, UNDP and relevant stakeholders to complete the Capacity and competency Needs Assessment and development of Capacity Strengthening Action Plan

Output 1: Summary report on stakeholder engagement and summary findings from consultation

Output 2: R2R Capacity and Competency Needs Assessment Report

Output 2: R2R Capacity Strengthening Action Plan

- In consultation with the project team, UNDP and the relevant stakeholders, develop a capacity strengthening action plan based on the capacity and competency needs assessment
- The Capacity Strengthening Action Plan should be realistic, measurable and costed
- Presentation of Capacity Strengthening Action Plan

The results of this consultancy will inform proposed implementation activities 1.3.2 – 1.3.4 of Output 1.3 of the Cook Islands R2R project

E. Institutional Arrangement:

The hired consultant will work with the Cook Islands R2R Project Manager/Coordinator. Reports and documentation will be shared with the R2R Project Coordinator/Manager and the UNDP MCO Programme Officer in a timely manner.

F. Duration of the Work:

The assignment will last 30 working days within a 3 month duration from the beginning of contract

G. Duty Station:

Home based (up to 5 days) with travel to Cook Islands (1 mission of at least 25 days)

H. Competencies:

Corporate Competencies:

- Demonstrates commitment to the Government of Cook Islands mission, vision and values.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability

Functional Competencies:

Knowledge Management and Learning

- Shares knowledge and experience
- Actively works towards continuing personal learning, acts on learning plan and applies newly acquired skills

Development and Operational Effectiveness

- Ability to perform a variety of specialized tasks related to administrative supports, including project data management support, reporting, and logistics for project implementation.

Leadership and Self-Management

- Focuses on result for the client and responds positively to feedback
- Consistently approaches work with energy and a positive, constructive attitude
- Remains calm, in control and good humoured even under pressure
- Demonstrates openness to change and ability to manage complexities
- Good inter-personal and teamwork skills, networking aptitude, ability to work in multicultural environment

I. Qualifications of the Successful Contractor:

- At least a Master's degree in Natural Resources Management, Environmental Sciences, or related field is a requirement, with a strong emphasis on nature conservation and capacity development ;
- At least 10 years of professional experience in conducting individual and institutional capacity and competency needs assessments and developing capacity strengthening action plans for environment related projects, with substantive work undertaken in terrestrial and marine protected areas management and in implementing Ridge to Reef approaches, as well as a good understanding of mainstreaming gender and other cross- cutting priorities such as climate change;
- Experience in conducting stakeholder consultations with communities, including community-based management and co-management initiatives, private landowners, NGOs and multiple sectors of government, using mechanisms to develop common visions among stakeholders;

- Experience of working in the Pacific Islands or comparable island nations is advantageous;
- Excellent computer skills (key MS applications) and ability to use information technology as a tool and resource; and
- Fluency in English (oral and written) is a requirement, with sound written and presentation skills using plain English

Evaluation criteria: 70% Technical, 30% financial combined weight:

Technical Evaluation Criteria (based on the information provided in the CV and the relevant documents must be submitted as evidence to support the above required criteria:

- At least a Master's degree in Natural Resources Management, Environmental Sciences, or related field is a requirement, with a strong emphasis on nature conservation and capacity development (20%)
- At least 10 years of professional experience in conducting individual and institutional capacity and competency needs assessments and developing capacity strengthening action plans for environment related projects, with substantive work undertaken in terrestrial and marine protected areas management and in implementing Ridge to Reef approaches, as well as a good understanding of mainstreaming gender and other cross- cutting priorities such as climate change. (25%)
- Experience in conducting stakeholder consultations with communities, including community-based management and co-management initiatives, private landowners, NGOs and multiple sectors of government, using mechanisms to develop common visions among stakeholders;(20%)
- Experience of working in the Pacific Islands or comparable island nations is advantageous (15%);
- Excellent computer skills (key MS applications) and ability to use information technology as a tool and resource (10%); and
- Fluency in English (oral and written) is a requirement, with sound written and presentation skills using plain English (10%)

Annex 3. Capacity development scorecard template

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD		
Level: system/organisation/protected area (site)		
Assessed by (list names & positions)		
Date		

Capacity Result / Indicator	Staged Indicators	Score (Rating 0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		
	Organizational responsibilities for environmental management are identified (1)		
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)		
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)		
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		
	Some co-management mechanisms are in place and operational (1)		
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)		
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		

Capacity Result / Indicator	Staged Indicators	Score (Rating 0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		
	Stakeholders are identified but their participation in decision-making is limited (1)		
	Stakeholders are identified and regular consultations mechanisms are established (2)		
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)		
…. *Add your project (outcome) specific indicator(s)*			
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)		
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)		
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)		
Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		
	Environmental information needs are identified but the information management infrastructure is inadequate (1)		
	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)		

Capacity Result / Indicator	Staged Indicators	Score (Rating 0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		
	Environmental education programmes are partially developed and partially delivered (1)		
	Environmental education programmes are fully developed but partially delivered (2)		
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)		
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)		
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)		
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)		
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		

Capacity Result / Indicator	Staged Indicators	Score (Rating 0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
…. Add your project (outcome) specific indicator(s)			
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)		
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)		
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)		
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)		
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)		
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)		
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		

Capacity Result / Indicator	Staged Indicators	Score (Rating 0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
…. *Add your project (outcome) specific indicator(s)*			
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)		
	Resource requirements are known but are not being addressed (1)		
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)		
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)		
	Required skill and technology needs are identified as well as their sources (1)		
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)		
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
…. *Add your project (outcome) specific indicator(s)*			
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)		
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)		

Capacity Result / Indicator	Staged Indicators	Score (Rating 0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)		
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)		
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)		
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)		
	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		
…. *Add your project (outcome) specific indicator(s)*			

Annex 4. Informant interview template

Ministry/agency	
People interviewed/at meeting	
Date	
Ministry/agency/division level	
1. Are you familiar with the design, results framework, annual work plan that applies to R2R?	
2. What is R2R trying to achieve?	
3. What do you understand to be the main role of your Ministry in R2R?	
4. Is there a plan or agreement in place that makes it clear your ministry's roles & responsibilities for R2R, & what is expected?	
5. What have been your ministry's main achievements with R2R so far?	
6. What have been your ministry's main issues, problems, challenges faced with R2R so far?	
7. How well is the Agency monitoring and evaluating its R2R activities & programmes? And how?	
8. Are your R2R responsibilities included in ministry AWP? And reported in your quarterly and annual reports?	
9. In your opinion has R2R been effective so far in achieving its goals & outcomes? If so, why? If not, what have been the main factors that have limited R2R?	

Individual level	
1. What is your role, main tasks and responsibilities with R2R?	
2. What are the required knowledge skills and experience that you require to implement R2R?	
3. Have you had a performance appraisal conducted in the last 12 months?	
4. If yes - is your performance with R2R assessed?	
5. Have you requested capacity development support to help you perform your role in R2R?	
6. Any received? If so list. If not why not?	
Looking ahead to Jan 2021 & capacity needs	
7. What are the main capacity gaps in your ministry that are affecting R2R progress? (eg. *KSEA, resources, enabling env, legisl, policy, leadership, cross-sector coord, etc*)	
8. What are the top three priority capacity needs for your organisation to implement R2R over the remaining 18 months of the project?	
9. And beyond R2R – to meet your legislative and policy mandate?	
10. Do you have any other points to make about capacity development in R2R and how it might be improved?	

Annex 5. R2R Prognosis Report

Status of output/indicator and likelihood of target being achieved by project closure:

- **Green: completed or on track to be completed in full by closure.**
- **Orange: underway but at risk of being incomplete or not meeting targets by closure unless significant remediation action is taken.**
- **Red: not started or subject to major delays or other barriers; not expected to be completed by closure.**

Objective: To build national and local capacities and actions to ensure effective conservation of biodiversity, food security and livelihoods and the enhancement of ecosystem functions within the Cook Islands Marine Park

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start (from PIR July 2018)	Prognosis (as at July 2019)
Overall framework in place for conservation in the Southern Group of the Cook Islands	Cook Islands Marine Park (CIMP) declared as protected, but with no legal designation or active management	*(not set or not applicable)*	1.1 million sq. km. of CIMP legally designated and actively managed, with dedicated staff implementing planning and coordination of the entire CIMP by end of year 2	Whole of Cook Islands EEZ is now under CIMP and the Marae Moana Bill 2017 is in parliament waiting to be passed. The CIMP has been expanded to include the entire Cook Islands EEZ of 1.9 million square kilometres. The Marae Moana Park Policy has been completed and endorsed by Cabinet in May 2016. A 50 nautical mile buffer zone around (all) islands was endorsed in March 2017 for domestic fishing.	1.9 million sq km of CIMP legally designated actively managed with one dedicated staff implementing and coordinating entire CIMP. Marae Moana Act passed in July 2017. Council and Technical Advisory Group active.	**G**
Area of inhabited Outer Islands in Southern Group managed for BD conservation through Island Development Plans • Terrestrial	0	*(not set or not applicable)*	By end of project: 6 islands totalling 15,110 ha.	These targets are still realistic, and achievable, it requires more communication and support to both Outer Island coordinator based at the Office of the Prime Minister and the Pa enua Island Administrators themselves. The ability to have measures for area coverage in targets is still achievable currently but may	Still on track following spatial mapping project with various partners. Marae Moana has taken the lead in marine spatial planning starting with Palmerston this year. MMR and NES will work with Government partners for the remaining islands. All islands have a Island Development plan, it is a matter	**O** **More work to do assessing Island Development Plans & changing to incorporate biodiversity**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start (from PIR July 2018)	Prognosis (as at July 2019)
				need some technical expertise to verify these targets.	of strengthening the environment component by ensuring that these terrestrial and marine components are included also.	**conservation considerations**
• Marine	0	*(not set or not applicable)*	By end of project: 6 islands totalling 16,174 ha.			**G** **Run 1-2 pilots; Atutaki and/or Palmerston**
Tracking Tool IW1: Innovative solutions implemented for reduced pollution, improved water use efficiency, sustainable fisheries with rights-based management, IWRM, water supply protection in SIDS, and aquifer and catchment protection	Limited local capacity exists for overseeing and monitoring of water quality in lagoons	*(not set or not applicable)*	Water quality improved through small demonstrations and monitoring mechanisms in place for project related indicators	Water quality testing by MMR and NES is operational only on Rarotonga and Aitutaki on a monthly basis. Water for Rarotonga is currently managed by Infrastructure Cook islands. They have the mandate for this operation. Respective outer islands have their island administration who manage these resources with technical support from ICI. Planning and consultation with the Aitutaki Island Council has proceeded well with agreement reached for NES, MMR and the ADB/GoCI GHD Project to align and collaborate on the development of the Aitutaki Lagoon Master Plan. Many partners are engaged in different activities on different islands under this project: it may pay to review this during the MTR.	Consistent water quality testing conducted every month by key agencies, NES, MMR, MOA and other partners including health carried out in Rarotonga with water testing carried out by MMR in Aitutaki. Water reports available every month. A major water project 'Te Mato Vai' is currently underway now with all agencies using information to support their work. This data is available to anyone requesting information.	**O** **Data exists but not used for management decision making and policy; no small demonstrations done**

Outcome 1: Strengthening Protected Areas Management

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
Improved management effectiveness of Cook Islands Marine Park, as measured by GEF BD 1 Tracking Tool (METT)	METT score = 30	*(not set or not applicable)*	METT score > 60 by end of project	Establishing Marae Moana Office within the Office of the Prime Minister would create opportunities for this indicator. Work is progressing, from Marae Moana Policy to the Marae Moana Act 2017: this may need some revision.	Key steps going forward is looking at setting an outlook report for where Marae Moana will be going and how this will improve management of the CIMP. This will be a long term commitment to get this indicator to the point necessary.	**O** **Score of 46 at CNA** **Refer separate METT for Marae Moana**
National agencies responsible for PA management are effectively delivering PA management functions (as measured by the Capacity development indicator score for protected area system):				Currently, baseline levels have not changed dramatically but may progress towards the 70% end of project target as the Marae Moana Act is implemented and becomes fully functional. Institutional authority has been considered by the project and Protected Areas coordination is a major undertaking as this is spread across several ministries, NES, MMR, and the House of Ariki, TIS. Some technical support has been sought to harmonise these activities and better coordinate efforts of all involved. The placement and mandate of Protected Areas has waited on the development and endorsement of the Marae Moana (Cook Islands Marine Park) Policy and Bill. Once this is in place, the need for a Protect Areas Policy and/or necessary	This is becoming a challenge for all stakeholders involved in PA management. Quarter 3, 2018 will be focused on bringing this group together. The Marae Moana Technical Advisory Group is a mechanism that shares information regarding PA management and advises on Marae Moana coordination of activities however clear roles and responsibilities for PA management still need to be agreed on and mandated. For terrestrial PA's, there is an opportunity to update these in Quarter 3 with agencies involved, looking at this work.	

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
				regulatory changes will be considered.		
• Systemic	50%	*(not set or not applicable)*	By end of project: 70%	Not assessed		**R 42%**
• Institutional	47%	*(not set or not applicable)*	By end of project: 70%	Not assessed		**R 46% (average)**
• Individual	52%	*(not set or not applicable)*	By end of project: 70%	Not assessed		**R Not assessed**
Updated and consolidated legal framework for management of the Cook Islands Marine Park (CIMP) and all other protected areas in the country	Existing legislation for PAs is out-dated and incomplete: CIMP and Ra'ui systems have no legal standing; detailed regulations are not in place	*(not set or not applicable)*	Protected and Managed Areas Act drafted and enacted by end of year 2; detailed regulations for resource restrictions and PA management enacted by end of project	Marae Moana Policy has been endorsed and awaiting the Marae Moana Bill 2017 to be considered/passed in Parliament. Parliament sitting was much delayed due to reasons beyond agencies' control and did not sit from 2016 until July 2017. Parliament is now currently in session with the Marae Moana Bill 2017 prioritised for consideration.	Discussions on progressing a Protect Managed Areas Act is stalled as it is not a political move to endorse the Protected Managed Areas Act. Further review and assessment is needed to determine the gap and overlap between MM Act, Environment Act and MMR Act to find a way forward in consolidating under one Act or agreeing on defined roles of each agency. This may not be possible at any point currently.	**O Env Act & MMR Act legislative review are underway; being undertaken by VSA Advisers**
Consolidated management authority for protected areas in the Cook Islands	Institutional authority for protected areas is spread among various agencies	*(not set or not applicable)*	Marae Moana Office undertaking coordinated management of protected areas by end of project	Marae Moana Policy has been endorsed and now awaits the Marae Moana Bill 2017 to be passed in Parliament, which is currently in session. Coordination to be strengthened, as called for by the Prime Minister Hon. Henry Puna, within the Marae Moana framework to ensure that all activities and partners involved	The responsibility is spread amongst agencies, there needs to be coordination amongst agencies to move this forward. The different mandates has been challenging as components of protected areas, is in almost five different legislations. NES Act 2003, MMR Act 2017, Ministry of Culture Act 1990, Marae Moana	**O**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
				participate actively in the process and its implementation.	Act 2017 and House of Ariki Amendment Act 1970-71). This also includes the Historic places and artefacts Act managed by Ministry of Culture.	
Management of protected area sites on islands in the Southern Group	1 existing protected area site (Takitumu Conservation Area) is actively managed	*(not set or not applicable)*	Management plans for at least 15 protected area sites under implementation by end of project	TOR's are currently being developed for TA's to be able to meet this target. Capacity has been sought for this key indicator and target should be met in time or by end of project.	Takitumu Conservation area is going to develop a management plan by Dr. Hugh Robertson with all updated data and information. The other areas should have a template to follow after this on what is needed in the respective sites.	**R** **TCA – draft** **Four others not started** **Could do a quick & simple 2-3 page management statement rather than full-blown management plans**
% Area of Southern Group islands managed as Protected Areas (protected natural areas, community conservation areas, ra'ui sites) • Terrestrial	2.8%	*(not set or not applicable)*	By end of project: 6.7%	This indicator and target should be met as there have been some new terrestrial and marine protected areas and Raui sites. Consolidating of all terrestrial and marine information will need to be done by the R2R team during 2017.	Mokoero Nature Reserve established in Dec 2017 setting aside Mokoero leeward coastal forest as a protected area on Atiu. Community consultations held in Puaikura, Rarotonga to discuss arrangements and management of existing ra';ui areas and potential new sites. MMR to carry out area assessments to inform community decisions. A new ra'ui area has also been declared on Atiu towards the end of this PIR period and has thus far been supported with signage.	**O**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
• Marine (to the outer reef)	9.7%	*(not set or not applicable)*	By end of project: 12.3%	As above	As above	O
Improved management effectiveness of priority conservation zones, as measured by the GEF BD 1 Tracking Tool (METT):		*(not set or not applicable)*	By end of project:	Work to be done for these priority conservation zones are in progress with management plans to be developed first. Technical assistance is required for this to be completed.	In progress, need to put into action technical assistance for this component to be completed at close of project. Arrangements for development of management plans for kakerori and the Takitumu Conservation Area as well as Mokoero are underway. Bird surveys in TCA and rapid assessment of Mokoero carried out to info next steps - management plans. TCA management plan consultant identified (see above)	**Need to undertake METT for each protected area ASAP to inform project strategy – was done at MTR, needed again at project closure**
• Takitumu Conservation Area (Rarotonga)	64		METT score >70	**METT score 64** TCA is on track with targets that should be met by end of project.		G METT not assessed at CNA
• Cloud Forest Nature Reserve (Rarotonga)	26		METT score >50	**METT score 26** Cloud Forest work will progress based on the outcomes of the IIB Project Cloud Forest report.		O METT not assessed at CNA
• Manuae Wildlife Sanctuary / Marine Reserve (Manuae)	12		METT score >40	**METT score 32** Consultations with Island councils and landowners for Manuae and Takutea have been carried out with plans in place to carry out terrestrial and marine assessments in late 2017, in		O METT not assessed at CNA

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
				order to inform management plans.		
• Moko Ero Nui Leeward Forest Reserve (Atiu)	26		METT score >50	**METT score 26** Mokoero Nui has been declared as a Forest Reserve and plans are in place to support this PNA.		**O** **METT not assessed atg CNA**
• Takutea Wildlife Sanctuary / Marine Reserve (Takutea)	29		METT score >50	**METT score 29** Consultations with Island councils and landowners for Manuae and Takutea have been carried out with plans in place to carry out terrestrial and marine assessments in late 2017, in order to inform management plans.		**O** **METT not assessed atg CNA**
Lagoon ecosystems are managed in a coordinated manner and with clear ecological conservation objective	Lagoons in the Cook Islands are not actively managed for conservation	*(not set or not applicable)*	Aitutaki Lagoon Master Plan in place, with conservation zoning, goals and targets	The Aitutaki Island Council are fully supportive of the ALMP and a coordinated approach between R2R (NES, MMR), Mei te vai ki te Vai (GHD) looking at sanitation in Aitutaki to be conducted in this process. The passing of the Marae Moana Bill will also provide some guidance from this work and vice versa. It is hoped that this effort in Aitutaki can be replicated for the Muri Lagoon Area also.	A consultant was recruited to carry out the stakeholder analysis for the ALMP however, after significant delays and lack of results, this contract was terminated. The project technical team have put out an EOI for new consultants to finish this stakeholder analysis as well as bring all information together for the ALMP to take this delay into account and will implement these changes in Quarter 3, 2018.	**O** **need to work proactively with MMR on consultancy otherwise this won't get done; risk of red**
Funds available for management of Protected Areas, as reported in the GEF BD1 Tracking Tool – Financial Scorecard:	US$23,800	*(not set or not applicable)*	By end of project: US$523,800 US$148,750	It is envisaged that the target will be met if all partners maintain their support to protected areas within their current budget allocation.	Recruitment of a consultant for the Sustainable Financing Mechanism TA has been delayed due to a lack of applications. The project has	**O** **Note that Fin Scorecard updated as part of**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
• Non-governmental financing mechanisms				With Marae Moana Bill to be passed also provides opportunity for stakeholders to better coordinate funding and efforts. Some technical advice is required for this financial scorecard to ensure that the Cook islands meet its financial obligations to this indicator.	decided to revise the terms of reference for this consultant and readvertise widely. Efforts are being seen now, in Quarter 3, with recruitment in progress now.	extension process
• Government budget allocations	US$63,750	*(not set or not applicable)*	By end of project: US$148,750			O
Conservation of critical coral reef habitat within the CIMP, as measured by finfish populations at coral reefs around Rarotonga and Aitutaki	Baseline TBD in year 1 of project	*(not set or not applicable)*	No decrease in finfish populations by end of project	The baseline for this indicator is yet to be determined. Living Oceans Foundation has completed surveys on Aitutaki and Rarotonga but their full report is awaited. Finfish surveys were planned by MMR in this reporting term; however due to loss of staff, capacity to implement these surveys was affected with delays in recruiting replacements. This has been reprogrammed to commence in late 2017. Planned surveys for Aitutaki Lagoon Master Plan starting in 2nd half of 2017 will provide information for this indicator as team is planning to carry out reef surveys to inform the plan.	All marine surveys have been completed and the technical team will be working this next quarter on completing all of the survey technical reports.	O Indicator is problematic – refer MTR
Conservation of priority species at selected sites: • Green Turtle (Takutea and Manuae) • Hawksbill turtle (Takutea and Manuae)	Baseline TBD in year 1 of project Baseline TBD in year 1 of project Baseline TBD in year 1 of project	*(not set or not applicable)*	By end of project: No net decline in population No net decline in population	Surveys to determine baseline levels for the Green turtle (Chelonia mydas) and hawksbill turtle (Eretmochelys imbricata) on Takutea and Manuae and the loggerhead turtle (Caretta caretta) have yet to completed.	Baseline surveys has not been possible for some species due to difficulties in travel to that island. Mitiaro Tree Palm survey has been undertaken with a little more work to be done and a survey of the Rarotonga	O Indicator is problematic – refer MTR

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
• Loggerhead Turtle (Palmerston) • Napoleon (Humphead) Wrasse (Rarotonga & Aitutaki) • Atiu Swiftlet (Atiu) • Mangaian Kingfisher (Mangaia) • Rarotongan Monarch (Rarotonga & Atiu) • Mitiaro Tree Palm (Mitiaro)	Baseline TBD in year 1 of project 420 individuals 1,000 individuals 428 individuals (Rarotonga); 125 individuals (Atiu) 375 mature trees		No net decline in population No net decline in population No net decline in population No net decline in population No net decline in population No net decline in forested area	The baseline level for the Humphead wrasse (Chelinus undulatus) is yet to be determined but the survey by Living Oceans Foundation on Aitutaki and Rarotonga have been completed but only a summary of report is available. Project will work with MMR to source information for Rarotonga. MMR and NES are planning joint terrestrial/marine assessments for Takutea and Manuae late 2017 and surveys will inform this indicator. Follow up surveys for the birds (Mangaian kingfisher and Rarotonga monarch) and mitiaro tree palm are forthcoming.	Monarch is currently underway and will continue on for the next 2 months. Data is available however this needs to be done with concentrated effort from all partners involved.	

Outcome 2: Effective mainstreaming of biodiversity in key sectors to mitigate threats within production landscapes

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
Landscape/seascape area covered by the project (ha), as measured by GEF BD 2 Tracking Tool • Directly covered	0	*(not set or not applicable)*	1.1 million sq. km. (CIMP)	Due to the scope of the CIMP being the entire Cook Islands EEZ of 1.9 million square kilometres, it is safe to say that this meets if not exceeds the target. The entire EEZ was put in as a consideration for the CIMP. This will now receive more attention in terms of managing pockets of	1.9 million sq. km is covered by the project through the Marae Moana. The whole EEZ is directly and indirectly covered taking into consideration Seabed Mining as well as Purse Seining.	**R** **Understanding of BD2 Tracking Tool is poor**
• Indirectly covered	0	*(not set or not applicable)*	0.83 million sq. km. (Northern Group)			**R** **Understanding of BD2 Tracking Tool is poor**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
				different activities within the EEZ whether it be for pure conservation, seabed mining and fisheries.		
Pressures from resources uses in the land- and seascape are reduced through Ridge to Reef management approaches, including: Reduced use of agricultural chemicals, based on value of annual imports • Fertilizers	• NZ$339,554	*(not set or not applicable)*	At least 15% reduction in value of imports of agricultural chemicals by the end of the project	The Ministry of Agriculture is still compiling information pertaining to this indicator and target. Some technical expertise may be required for this purpose specifically either from the National Statistics office as well as the Ministry's market survey activities. This is a key area that needs strengthening within the Ministry as it is, National statistics collect data on this as well as customs, there needs to be some agreement between agencies to be able to access this information to meet their targets.	Reports are complete on the reduced use of fertilizer and agriculture chemicals with the reduction being significantly less than anticipated and will be available soon. Training of farmers on various islands on pesticides and reduction in pesticide use have begun, with more planned in the 2nd half of 2018.	**G**
• Pesticides	• NZ$406,701	*(not set or not applicable)*				**G**
Planning approval process for infrastructure and other development	Environmental Impact Assessment (EIA) process depends on self reporting by developers	*(not set or not applicable)*	EIAs for infrastructure development in or around PAs are subject to independent review, and development plans are adapted as necessary to conserve biodiversity	Activities have been carried out to help strengthen the EIA process in the Cook Islands, including through cost shared delivery of a SPREP organised training workshop to all NES Advisory and Compliance officers and capacity development of the Division. Information on EIA applications is currently being inputted into a database within NES. However, further work is needed to develop a policy or make necessary changes to regulations to support additional considerations, such as	This is ongoing and has been improved on from Compliance to Authority and back to the Customer.	**O** **Legislative review underway**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
				independent review being given to applications in or around PAs. Further support to the EIA process from the project is planned.		
Forest cover on the 9 islands within the Cook Islands Marine Park	13,245 hectares of natural forested area	*(not set or not applicable)*	No decline in forest cover by the end of the project	This baseline may need to verified again before end of 2017 to confirm forest cover and the methodology for this assessment. Many of the natural forested areas in the Cook Islands also contain a significant number of invasive species plants and trees which could possibly skew our baselines - as any activity outside the project that positively tackles invasive species will have a negative impact on this indicator.	There is data available, however this too is scattered in various agencies. It would be a matter of pulling this information from all these agencies to gauge forest cover on 9 islands.	**G?** **Quality of forest is declining due to weed invasion** **Problematic indicator (refer MTR)**
Sedimentation and pollution of aquatic and marine habitats	Sedimentation and pollution (pesticides, herbicides, fertilizers, waste) have significant negative impacts on streams and lagoons in the country	*(not set or not applicable)*	At least 10 sites within CIMP where water quality will be improved through measures to control water pollution and sedimentation (from agriculture or other sources)	Currently only Rarotonga and Aitutaki have consistent water quality testing with monthly reports available upon request from MMR. NES is the only other partner supporting this activity. Ministry of Agriculture is also working in tandem with MMR for testing of both soil and water runoff on Rarotonga to test for effects of pesticides and fertilizers if any. There is an opportunity to strengthen water quality testing under the national water policy 2015 for more tests to be done by other agencies. Ministry of Health carry out water testing to be safe enough	There are over 20 sites tested every month by National Environment and the Ministry of Marine Resources so this is data that is readily available for us to use. The opportunity would be to provide reports to the PIR as well as reports within the R2R project.	**R** **Lots of data but no reports with management recommendations and decisions**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
				to drink but only on Rarotonga at this time. Project will endeavor to coordinate with responsible agencies to conduct testing and identify/implement control measures in other sites in the coming year.		
Reduced impacts of human activities on land on the health of inshore marine ecosystems, as measured by algal levels (coralline algae, turf algae, and macro-algae) on coral reefs around Rarotonga and Aitutaki	Baseline TBD during year 1 of project	*(not set or not applicable)*	No increase in algal levels on coral reefs by end of project	This is an outstanding indicator and one that may need some further technical support or advice, particularly in accurately measuring algal levels within lagoons. There is opportunity that the Aitutaki Lagoon Master plan will also be able to inform this indicator for the project. Project will collaborate with responsible agencies to collate/collect information on algal levels around Rarotonga	The water quality testing provides data that shows, there are still flows of waste water into the lagoons and is deemed seasonal on Rarotonga especially in the Muri area where algae has contaminated the area with high bacteria levels being reported. Rainwater run off has been high as of late and this has caused some flooding of low-lying areas as well as wetlands. On Aitutaki lagoon water quality suggests that salinity, pH and Enterococci bacteria levels were satisfactory at all sites. For streams, salinity and pH were satisfactory at all sites. The current reports for August show that some digging around two sites show Enterococci bacteria and total suspended solids levels as unsatisfactory.	**R** **Monitored but not then managed**
Impact of tourism businesses on biodiversity and ecosystem functioning in targeted KBAs	Less than 5 tourism businesses in the Cook Islands actively	*(not set or not applicable)*	At least 20 tourism businesses are implementing BD management programs that	This target may need to be reviewed and/or the Tourism Council needs to be provided support to identify 20 tourism businesses that are	Two projects have been supported though the Project. The Mana Tiaki scheme by Te Ipukarea Society will strengthen the development of	**O** **Moana Tiaki progressing well,**

Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at 30 June 2017	Cumulative progress since project start	Prognosis (as at July 2019)
	implement environmental management programs		comply with conservation guidelines developed through the project and included in national accreditation system	implementing BD management programs and provide some support to them. Currently, two local businesses have applied through Cook Islands Tourism for support to their biodiversity conservation projects, which has been approved by the NBSC for 3rd Q 2017. It is hoped that these two projects can be demonstration models for other tourism operators in country. Work on the national accreditation system has not commenced and technical advice in this area to progress this activity may be necessary as well as in engaging businesses in biodiversity conservation.	the Green Accreditation Scheme and capacity building for tourism operators, that more projects will be identified and established. The STA will also be recruited by Quarter 4, 2018 to help push tourism efforts in the project.	**but focused effort needed**
# of projects by tourism operators that support biodiversity conservation (e.g. creating Ra'ui sites / CCAs; coral gardens; beach clean-up; sponsored species conservation)	6 on-going projects in the Southern Group	*(not set or not applicable)*	At least 15 projects operating by the end of the project	This is an ideal target and one that can easily be met if the industry can better coordinate their stakeholders to provide information soon. Two projects are identified but may need support to be able to successfully implement and sustain their activities. Support will be provided to CITC to be able to pull this information out so that they can meet the targets they set out in the R2R Prodoc. Capacity is limited so there should be more effort put to supporting the tourism team.	Workshops and training is being developed for tourism operators to be better informed in their respective tourism ventures. There has been outer island ventures who have sought support and have received this.	**O** **Additional and focused support required to get this indicator G**

Annex 6.
Results of financial sustainability scorecard assessment

PART II: FINANCIAL SCORECARD – ASSESSING ELEMENTS OF THE FINANCING SYSTEM

Scoring criteria		2014 baseline		2017 MTR		2019 CNA	
Component 1 – Legal, regulatory and institutional frameworks						**Score**	**Comments**
Element 1 – Legal, policy and regulatory support for revenue generation by PAs							
(i) Laws or policies are in place that facilitate PA revenue mechanisms	0: None 1: A few 2: Several 3: Fully	2		2		0	
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	0: None 1: A few 2: Several 3: Fully	1	Legislation in place, not active	1	Legislation in place, not active	0	
Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system							
(i) Laws or policies are in place for PA revenues to be retained by the PA system	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	0	Current practice is all income derived by govt enters the consolidated fund	0	Current practice is all income derived by govt enters the consolidated fund	1	Two sites - TCA & Swarrow
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	0	Specify % to be retained:	0	Specify % to be retained:	1	
(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	0	Specify % to be shared:	0	No laws currently just local agreements	2	TCA - yes
Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)[1]							
(i) A Fund has been established and capitalized to finance the PA system	0: No 1: Established 2: Established with limited capital 3: Established with adequate capital	0		0		0	
(ii) Funds have been created to finance specific PAs	0: No 1: Partially 2: Quite well 3: Fully	1	Private funds for some PAs	1	Private funds for some PAs	1	
(iii) Fund expenditures are integrated with national PA financial planning and accounting	0: No 1: Partially 2: Quite well 3: Fully	0		0		1	
Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government							
(i) There are laws or policies which allow and regulate concessions for PA services	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	
(ii) There are laws or policies which allow and regulate co-management of PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	Co-management with Island Govts
(iii) There are laws or policies which allow and regulate local government management of PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	
(iv) There are laws which allow, promote and regulate private reserves	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	
Element 5 –National PA Financing Strategies							

(i) There are policies and/or regulations that exist for the following which should be part of a National PA Finance Strategy:						0	No National PA Finance Strategy hence all sub-elements are 0
- Comprehensive financial data and plans for a standardized and coordinated cost accounting systems (both input and activity based accounting)	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	0		0		0	
- Revenue generation and fee levels across PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel	2	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel	0	
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	0	List the budget allocation criteria: ad hoc process with steering committee guidance	0	List the budget allocation criteria: ad hoc process with steering committee guidance	0	
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		0	
- PA management plans to include financial data or associated business plans	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	0		0		0	
(ii) Degree of formulation, adoption and implementation of a national financing strategy[2]	0: Not begun 1: In progress 2: Completed and adopted 3: Under implementation	0		0		0	
Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)							
(i) Economic valuation studies on the contribution of protected areas to local and national development are available	0: None 1: Partial 2: Satisfactory 3: Full	0	Provide summary data from studies:	0	Provide summary data from studies:	1	O'Connor biodiversity valuation report
(ii) PA economic valuation influences government decision makers	0: None 1: Partial 2: Satisfactory 3: Full	0	Specify ministries that have been influenced:	0	Specify ministries that have been influenced:	0	
Element 7 - Improved government budgeting for PA systems							
(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans	0: No 1: Partially 2: Yes	0		0		0	
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA)[3]	0: No 1: Partially 2: Yes	0		0		0	
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates	0: No 1: Partially 2: Yes	0		0		2	
(iv) Government plans to increase budget, over the long term, to reduce the PA financing gap	0: No 1: Partially 2: Yes	0	Assumed from a declining allocation from Govt for PA management	0	Assumed from a declining allocation from Govt for PA management	1	MM Policyh & Act has sust financing goals in it
Element 8 - Clearly defined institutional responsibilities for financial management of PAs							
(i) Mandates of public institutions regarding PA finances are clear and agreed	0: None 1: Partial 2: Improving 3: Full	0		0		1	
Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level							

(i) Central level has sufficient economists and economic planners to improve financial sustainability of the system	0: None 1: Partial 2: Almost there 3: Full	0	State positions and describe roles:	0	State positions and describe roles:	1	
(ii) There is an organizational structure (eg a dedicated unit) with sufficient authority and coordination to properly manage the finances of the PA system	0: None 1: Partial 2: Almost there 3: Full	0		0		1	Functions spread across multiple agencies
(iii) At the regional and PA site level there is sufficient professional capacity to promote financial sustainability at site level	0: None 1: Partial 2: Almost there 3: Full	1	State positions and describe roles:	1	State positions and describe roles:	0	
(iv) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation [4]	0: None 1: Partial 2: Almost there 3: Full	1	Shared responsibility with NES central office	1	Shared responsibility with NES central office	0	Only TCA has a site manager and he doesn't have these responsibilities
(v) Budgetary incentives motivate PA managers to promote site level financial sustainability (eg sites generating revenues do not necessarily experience budget cuts)	0: None 1: Partial 2: Almost there 3: Full	0		0		0	
(vi) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management	0: None 1: Partial 2: Almost there 3: Full	1	Suwarrow Rangers assessed	1	Suwarrow Rangers assessed	0	
(vii) There is capacity within the system for auditing PA finances	0: None 1: Partial 2: Almost there 3: Full	3	National Audit office	3	National Audit office	3	
(viii) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)	0: None 1: Partial 2: Almost there 3: Full	1		1		0	
Total Score for Component 1	**Actual score:**	**23**		**23**		**24**	
	Total Possible: 95	**95**		**95**		**95**	
	% achieved	**24**		**24**		**25**	
Component 2 – Business planning and tools for cost-effective management							
Element 1 – PA site-level management and business planning							
(i) Quality of PA management plans used, (based on conservation objectives, management needs and costs based on cost-effective analysis)	0: Does not exist 1: Poor 2: Decent 3: High quality	1	Limited examples to assess quality, however capacity does exist for quality planning	1	Limited examples to assess quality, however capacity does exist for quality planning	0	
(ii) PA management plans are used at PA sites across the PA system	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0	Specify if management plans are current or out-dated: No PA system in place to assess	0	Specify if management plans are current or out-dated: No PA system in place to assess	1	
(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system[5]	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		1	
(iv) Business plans are implemented across the PA system (degree of implementation measured by achievement of objectives)	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		1	Swarrow only

(v) Business plans for PAs contribute to system level planning and budgeting	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		0	
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		1	Swarrow only
Element 2 - Operational, transparent and useful accounting and auditing systems							
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system	0: None 1: Partial 2: Near complete 3: Fully completed	3	NES internal procedures and other govt agencies are complete	3	NES internal procedures and other govt agencies are complete	0	
(ii) Revenue tracking systems for each PA in place and operational	0: None 1: Partial 2: Near complete 3: Fully completed	3	For Govt PA sites	3	For Govt PA sites	1	TCA and Swarrow
(iii) There is a system so that the accounting data contributes to system level planning and budgeting	0: None 1: Partial 2: Near complete 3: Fully completed	3	Consider Govt systems	3	Consider Govt systems	0	
Element 3 - Systems for monitoring and reporting on financial management performance							
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders	0: None 1: Partial 2: Near complete 3: Complete and operational	1		1		1	
(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	0: None 1: Partial 2: Near complete 3: Complete and operational	1		1		0	
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	0: None 1: Partial 2: Near complete 3: Complete and operational	2		2		0	
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives	0: None 1: Partial 2: Near complete 3: Complete and operational	0		0		0	
Element 4 - Methods for allocating funds across individual PA sites							
(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)	0: No 1: Yes	1		1		0	
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist	0: No 1: Yes	1		1		0	
Element 5 - Training and support networks to enable PA managers to operate more cost-effectively[6]							

(i) Guidance on cost-effective management developed and being used by PA managers	0: Absent 1: Partially done 2: Almost done 3: Fully	1	Mentoring through senior staff in place, informal training in place	1	Mentoring through senior staff in place, informal training in place	1	
(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(iv) Monitoring and learning systems of cost effectiveness are in place and feed into system management policy and planning	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(v) PA site managers are trained in financial management and cost-effective management	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(vi) PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters[7]	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
	Actual score:	**17**		**17**		**7**	
Total Score for Component 2	**Total Possible: 59**	**59**		**59**		**59**	
	% achieved	**29**		**29**		**12**	
Component 3 – Tools for revenue generation by PAs							
Element 1 - Number and variety of revenue sources used across the PA system							
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	0: None 1: Partially 2: A fair amount 3: Optimal	0		0	Underway	1	MM SFM activity
(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system	0: None 1: Partially 2: A fair amount 3: Optimal	1	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms:	1	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms:	1	Mix of govt, donors, private, NGOs
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	0: None 1: Partially 2: A fair amount 3: Optimal	0		0		0	
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs	0: None 1: Partially 2: A fair amount 3: Optimal	2		2	Aitutaki Bonefishing, TCA	0	
Element 2 - Setting and establishment of user fees across the PA system							

(i) A system wide strategy and action plan for user fees is complete and adopted by government	0: None 1: Partially 2: Satisfactory 3: Fully	0	If PA sites have tariffs but there is no system strategy score as partial:	0	If PA sites have tariffs but there is no system strategy score as partial:	0	
(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes	0: None 1: Partially 2: Satisfactory 3: Fully	1		1	CI Tourism direct tourists to PA for tours and promote these. NES supports TCA whenever possible.	1	Swarrow only
(iii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment [8]	0: None 1: Partially 2: Satisfactory 3: Fully	1		1		1	
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives	0: None 1: Partially 2: Satisfactory 3: Fully	1		1		0	
(v) Non tourism user fees are applied and generate additional revenue	0: None 1: Partially 2: Satisfactory 3: Fully	1		1	Aitutaki Bonefishing	1	
Element 3 - Effective fee collection systems							
(i) System wide guidelines for fee collection are complete and approved by PA authorities	0: None 1: Partially 2: Completely 3: Operational	0		0		0	
(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner	0: None 1: Partially 2: Completely 3: Operational	1		1		1	
(iii) Fee collection systems are monitored, evaluated and acted upon	0: None 1: Partially 2: Completely 3: Operational	1		1		1	
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided	0: None 1: Partially 2: Completely	1	No current data on Suwarrow fees	1	No current data on Suwarrow fees	1	
Element 4 - Communication strategies to increase public awareness about the rationale for revenue generation mechanisms							
(i) Communication campaigns for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	0: None 1: Partially 2: Satisfactory 3: Fully	0		0		0	
(i) Communication campaigns for the public about PA fees are in place at PA site level	0: None 1: Partially 2: Satisfactory 3: Fully	1		1		1	
Element 5 - Operational PES schemes for PAs[9]							

(i) A system wide strategy and action plan for PES is complete and adopted by government	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(ii) Pilot PES schemes at select PA sites developed	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(iii) Operational performance of pilots is monitored, evaluated and reported	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(iv) Scale up of PES across the PA system is underway	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
Element 6 - Concessions operating within PAs[10]							
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(ii) Concession opportunities are operational at pilot PA sites	0: None 1: Partially 2: Progressing 3: Fully	0		0		1	
(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(iv) Scale up of concessions across the PA system is underway	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
Element 7 - PA training programmes on revenue generation mechanisms							
(1) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration	0: None 1: Limited 2: Satisfactory 3: Extensive	1		1		1	
Total Score for Component 3	**Actual score:**	**12**		**12**		**11**	
	Total Possible: 71	**71**		**71**		**71**	
	% achieved	**17**		**17**		**15**	

[1] This element can be omitted in countries where a PA system does not require a Trust Fund due to robust financing within government

[2] A national PA Financing Strategy will include targets, policies, tools and approaches

[3] This could include budgets for development agencies and local governments for local livelihoods

[4] These responsibilities should be found in the Terms of Reference for the posts

efficiencies or revenue generation schemes. It does not refer to business plans for specific concession services within a PA. Each country may have its own definition and

[6] Cost-effectiveness is broadly defined as maximizing impact from amount invested and achieving a target impact in the least cost manner. It is not about lowering costs and resulting impacts.

[7] This might include aerial surveys, marine pollution monitoring, economic valuations etc.

funding the PA system.

[9] Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system
[10] Concessions will be mainly for tourism related services such as visitor centres, giftshops, restaurants, transportation etc

Part III summarizes the total scores and percentages scored by the country in any given year when the exercise is completed. It shows the total possible score and the total actual

PART III- FINANCIAL SCORECARD – SCORING AND MEASURING PROGRESS

		2014 baseline		2017 MTR		2019 CNA	
Total Score for PA System		52		52		42	
Total Possible Score		225		225		225	
Actual score as a percentage of the total possible score		23%		23%		19%	
Percentage scored in previous year or previous time the scorecard was applied [1]		NA		23%		23%	

[1] Insert NA if this is first year of completing scorecard.

Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION III: Financial Sustainability Scorecard

Note: Please complete the financial sustainability scorecard for each project that is focusing on improving the financial sustainability of a PA system or an individual PA, per outcome 1.2 in the GEF biodiversity strategy. As we did in GEF-4, we will use the scorecard that was developed by Andrew Bovarnick of UNDP as it addresses our needs in a comprehensive fashion.
The scorecard has three sections:
Part I - Overall financial status of the protected areas system. This includes basic protected area information and a financial analysis of the national protected area system.
Part II - Assessing elements of the financing system.
Part III - Scoring.

Important: Please read the Guidelines posted on the GEF website before entering your data

Part I: Protected Areas System, sub-systems and networks

Part I requires financial data to determine the costs, revenues and financing gaps of the PA system both in the current year and as forecast for the future. It provides a quantitative analysis of the PA system and shows the financial data needed by PA planners needed to determine financial targets and hence the quantity of additional funds required to finance effective management of their PA system. As different countries have different accounting systems certain data requirements may vary in their relevance for each country. However, where financial data is absent, the first activity the PA authority should be to generate and collect the data.

Part 1.1 - Basic Information on Country's National Protected Area System, Sub-systems and Networks. Detail in the Table every sub-system and network within the national system of protected areas in the country.

Protected Areas System, sub-systems and networks	Number of sites	Terrestrial hectares covered	Marine hectares covered[1]	Total hectares covered	Institution responsible for PA management
National System of PAs					
Cook Islands Marine Park	1	0	109977463	109977463	Office of the Prime Minister
Takitumu Conservation Area	1	155	0	155	Takitumu Conservation Trust
Other Existing Protected Areas (most are temporary or non-operational sites, with the exception of Suwarrow National Park)	26	985	3003.6	3,988.60	Various
Te Mange Te Kou Cloud Forest Reserve (proposed)	1	118	0	118	TBD
Manuae Wildlife Sanctuary / Marine Reserve (proposed)	1	617	400	1017	TBD
Takutea Wildlife Sanctuary / Marine Reserve (proposed)	1	100	85	185	TBD
Moko Ero Nui Leeward Forest Reserve (proposed)	1	90	0	90	TBD
Suwarrow National Park	1	160	0	160	Natl. Env. Service

[1] MPAs should be detailed separately to terrestrial PAs as they tend to be much larger in size and have different cost structures

Note: Exchange rate used is NZ$1 = US$0.85

Part 1.2 - Financial Analysis of the National Protected Area System

Financial Analysis of the Sub-System or Network -[insert name of Sub-System or Network]	July 2013 / June 2014 (US$) [1][2]	Year X(US$) [3][4]	Comments Add the source of data and state confidence in data (low, medium, high)
Available Finances[5]			
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues generated for the PA system)	63,750.00		
- operational budget (salaries, maintenance, fuel etc)	63,750.00		NES Suwarrow budget and % of manager salaries $65,000.00. Sourced from NES. MMR unwilling to provide data on bonefishing reserve budget / costs, estimated $10,000.00pa. Therefore confidence is medium
- infrastructure investment budget (roads, visitor centres etc)	0.00		Destination development funds are aid funds channelled through tourism, included in section below.
(2) Extra budgetary funding for PA management			Specify sources of funds
- Total of A + B -	663,088.40		

A. Funds channelled through government - total	93,588.40		
- PA dedicated taxes	0.00		
- Trust Funds	0.00		
- Donor funds	93,588.40		Spending on project "Conservation Management of Island Biodiversity". Sourced from Development Coordination Division, MinFinance. Confidence: High.
- Loans	0.00		
- Debt for nature swaps	0.00		
- Others			
B. Funds channelled through third party/independent institutional arrangements - total	569,500.00		
- Trust Funds			
- Donor funds	569,500.00		Te Ipukarea Society NZ$650,000.00 Takitumu Conservation Area NZ$20,000.00 No figure available for the Natural Heritage Trust, estimate to be less than 10% of total Confidence: Medium
- Loans	0.00		
- Others	0.00		
(3) Total annual site based revenue generation across all PAs broken down by source[6]			Indicate total economic value of PAs (if studies available)[7]
- Total	23,112.61		
A. Tourism entrance fees	6,800.00		The Takitumu Conservation Area received about NZ$8000 in revenue from visitor fees for the FY 13/14. Fees are $35pp, sometimes up to $45pp for casual bookings. Therefore approximately 220 visitors used the TCA in the last FY. Confidence : Medium
B. Other tourism and recreational related fees (camping, fishing permits etc)	15,300.00		Bonefishing fees for Aitutaki. $10/day, $50/week, $80/fortnight, $160/month, $500/lifetime. Estimated revenue of NZ$18,000.00pa. Breakdowns of numbers not available at the time of the report. Confidence: Medium
C. Income from concessions	0.00		Specify type of concession
D. Payments for ecosystem services (PES)	0.00		Provide examples:
- water	0.00		
- carbon	0.00		
- biodiversity	0.00		
E. Other non-tourism related fees and charges (specify each type of revenue generation mechanism)	1,012.61		
- scientific research fees	1,012.61		From the OPM, Research Council admin. Confidence : High
- genetic patents	0.00		
- pollution charges	0.00		
- sale of souvenirs from state run shops	0.00		
(4) Percentage of PA generated revenues retained in the PA system for re-investment[8]	29.42%		TCA fees are retained by the TCA administrators and used to support conservaiton. Bonefishing revenues are retained by the Aitutaki Island Council; they have not put any of the fees back into conservation. Research fees go to the government's consolidated fund. [29.42% calculated on the basis that are three sources of PA revenues (rows 52, 53 and 64; of these, only row 52 funds are kept for PA management; the row 53 funds have not been spent, but it is not expected that the Aitutaki Island Council will necessarily use them for PAs; the row 64 funds go back to the general fund]

(5) Total finances available to the PA system [line item 1+2.A+2.B]+ [line item 3 * line item 4]	733,638.40		
Available for operations	631,638.40		
Available for infrastructure investment	102,000.00		Best estimate of value of infrustructure investment from donor funds
Costs and Financing Needs			
(1) Total annual expenditure for PAs (all PA operating and investment costs and system level expenses)[9]	733,638.40		Extraordinary levels of expendure in the 13/14 FY result from 3 sources, 1. Marine Park funding by an external donor to an NGO and 2. Destination Infrustructure Development funds from Govt AID agency to the CI Govt Tourism Office. 3. GEF project funds through NES. Disbursement / executed is 70%
- by government	157,338.40		NZ$93,588 (donor funds expended) + NZ$63,750 (govt op funds)
- by independent/other channels	576,300.00		
(2) Estimation of PA system financing needs			Where possible breakdown by terrestrial and marine sub-systems
A. Estimated financing needs for *basic* management costs (operational and investments) to be covered	435,417.00		Summarize methodology used to make estimate (eg costs detailed at certain sites and then extrapolated for system)
- PA central system level operational costs (salaries, office maintenance etc)	235,000.00		$225,000/year for PA staff (2 staff at Marae Moana Office; 1 Ra'ui Coordinator for Aronga Mana; part-time inputs from various persons at NES and MMR) + $10,000/year for maintenance of information system
- PA site management operational costs	110,000.00		$40,000/year for 2 full time rangers (1 each for Takutea and Manuae); $20,000/year for 2 seasonal (half year) rangers at Suwarrow; $50,000/year for ongoing review and updating of management plans for all PA sites
- PA site infrastructure investment costs	0.00		No infrastructure improvements are needed for "basic" management
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)	90,417.00		$30,000/year for public education and awareness programs; $60,417/year for capacity building of PA managers, including Govt. staff, traditional leaders, private landowners and community members
B. Estimated financing needs for *optimal* management costs (operational and investments) to be covered	838,334.00		Summarize methodology used to make estimate
- PA central system level operational costs (salaries, office maintenance etc)	407,500.00		Same as above, but with two additional full-time staff at the national level; a tripling of the annual information system budget; the addition of $20,000/year for PA financing schemes and the addition of $62,500/year for ecological monitoring and research activities
- PA site management operational costs	150,000.00		Same as above, but with two additional full-time staff at the site level
- PA site infrastructure investment costs	100,000.00		Estimated annual costs for infrastructure, building maintenance, utilities, internet costs, fuel costs for vehicles
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)	180,834.00		Same as above, but with double the budget for both public education and awareness and capacity building activities
C. Estimated financial needs to expand the PA systems to be fully ecologically representative			Existing data on terrestrial and marine habitats is insufficient to estimate which areas would need to be included to make the PA system "fully ecologically representative"
- basic management costs for new PAs			
- optimal management costs for new PAs			
Annual financing gap (financial needs - available finances)[10]			Where possible breakdown by terrestrial and marine sub-systems
1. Net actual annual surplus/deficit[11]	0.00		
2. Annual financing gap for basic management scenarios	-298,221.40		Note: Although the analysis shows no financing gap for the Basic Scenario, this is due to the extraordinary funding levels for protected areas in the Cook Islands in the past year (see row 77 for details)
Operations	-196,221.40		

Infrastructure investment	-102,000.00		
3. Annual financing gap for optimal management scenarios	104,695.60		Similar to note in row 104: the financing gap for the Optimal Scenario would be much larger in the absence of the current extraordinary funding levels for PAs in the country
Operations	106,695.60		
Infrastructure investment	-2,000.00		
4. Annual financing gap for basic management of an expanded PA system (current network costs plus annual costs of adding more PAs)			
5. Projected annual financing gap for basic expenditure scenario in year X+5[12],[13]			Not able to be completed as a long term financial analysis of the PA system has not been undertaken for this country, or has not been provided to the consultant for this TT assessment.
Financial data collection needs			
Specify main data gaps identified from this analysis:			Detailed breakdown of departmental time spent on PA management by NES, MMR and other Govt departments. Community based PAs do not always have robust financial management procedures.
Specify actions to be taken to fill data gaps[14]:			Recommend strengthening of financial management or centralized financial management for small community based PAs Staff in govt regularly score their time spend on specific thematic outputs to better measure Govt investment through HR in PA systems

[1] The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year eg 2007.
[2] Insert in footnote the local currency and exchange rate to US$ and date of rate (eg US$1=1000 colones, August 2007)

[3] X refers to the year the Scorecard is completed and should be inserted (eg 2008). For the first time the Scorecard is completed X will be the same as the baseline year. For subsequent years insert an additional column to present the data for each year the Scorecard is completed.
[4] Insert in footnote the local currency and exchange rate to US$ and date of rate

[5] This section unravels sources of funds available to PAs, categorized by (i) government core budget (line item 1), (ii) additional government funds (line item 2), and (iii) PA generated revenues (line item 3).
[6] This data should be the total for all the PA systems to indicate total revenues. If data is only available for a specific PA system specify which system
[7] Note this will include non monetary values and hence will differ (be greater) than revenues
[8] This includes funds to be shared by PAs with local stakeholders
[9] In some countries actual expenditure differs from planned expenditure due to disbursement difficulties. In this case actual expenditure should be presented and a note on disbursement rates and planned expenditures
[10] Financing needs as calculated in (8) minus available financing total in (6)
[11] This will likely be zero but some PAs may have undisbursed funds and some with autonomous budgets may have deficits
[12] This data is useful to show the direction and pace of the PA system towards closing the finance gap. This line can only be completed if a long term financial analysis of the PA system has been undertaken for the country
[13] As future costs are projected, initial consideration should be given to upcoming needs of PA systems to adapt to climate change which may include incorporating new areas into the PA system to facilitate habitat changes and migration
[14] Actions may include (i) cost data based on site based management plans and extrapolation of site costs across a PA system and (ii) revenue and budget accounts and projections

Part II of the scorecard is compartmentalized into three fundamental components for a fully functioning financial system at the site and system level – (i) legal, regulatory and institutional frameworks, (ii) business planning and tools for cost-effective management (eg accounting practices) and (iii) tools for revenue generation.

COMPONENT 1: LEGAL, REGULATORY AND INSTITUTIONAL FRAMEWORKS THAT ENABLE SUSTAINABLE PA FINANCING
Legal, policy, regulatory and institutional frameworks affecting PA financing systems need to be clearly defined and supportive of effective financial planning, revenue generation, revenue retention and management. Institutional responsibilities must be clearly delineated and agreed, and an enabling policy and legal environment in place. Institutional governance structures must enable and require the use of effective, transparent mechanisms for allocation, management and accounting of revenues and expenditures.
COMPONENT 2: BUSINESS PLANNING AND TOOLS FOR COST-EFFECTIVE MANAGEMENT
Financial planning, accounting and business planning are important tools for cost-effective management when undertaken on a regular and systematic basis. Effective financial planning requires accurate knowledge not only of revenues, but also of expenditure levels, patterns and investment requirements. Options for balancing the costs/revenues equation should include equal consideration of revenue increases and cost control. Good financial planning enables PA managers to make strategic financial decisions such as allocating spending to match management priorities, and identifying appropriate cost reductions and potential cash flow problems. Improved planning can also help raise more funds as donors and governments feel more assured that their funds will be more effectively invested in the protected area system.
COMPONENT 3: TOOLS FOR REVENUE GENERATION AND MOBILIZATION
PA systems must be able to attract and take advantage of all existing and potential revenue mechanisms within the context of their overall management priorities. Diversification of revenue sources is a powerful strategy to reduce vulnerability to external shocks and dependency on limited government budgets. Sources of revenue for protected area systems can include traditional funding sources – tourism entrance fees – along with innovative ones such as debt swaps, tourism concession arrangements, payments for water and carbon services and in some cases, carefully controlled levels of resource extraction.

PART II: FINANCIAL SCORECARD – ASSESSING ELEMENTS OF THE FINANCING SYSTEM			
Component 1 – Legal, regulatory and institutional frameworks			
Element 1 – Legal, policy and regulatory support for revenue generation by PAs			
(i) Laws or policies are in place that facilitate PA revenue mechanisms	2	0: None 1: A few 2: Several 3: Fully	
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	1	0: None 1: A few 2: Several 3: Fully	Legislation in place, not active
Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system			
(i) Laws or policies are in place for PA revenues to be retained by the PA system	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Current practice is all income derived by govt enters the consolidated fund
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Specify % to be retained:
(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Specify % to be shared:
Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)[1]			

(i) A Fund has been established and capitalized to finance the PA system	0	0: No 1: Established 2: Established with limited capital 3: Established with adequate capital	
(ii) Funds have been created to finance specific PAs	1	0: No 1: Partially 2: Quite well 3: Fully	Private funds for some PAs
(iii) Fund expenditures are integrated with national PA financial planning and accounting	0	0: No 1: Partially 2: Quite well 3: Fully	
Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government			
(i) There are laws or policies which allow and regulate concessions for PA services	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(ii) There are laws or policies which allow and regulate co-management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(iii) There are laws or policies which allow and regulate local government management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(iv) There are laws which allow, promote and regulate private reserves	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
Element 5 –National PA Financing Strategies			
(i) There are policies and/or regulations that exist for the following which should be part of a National PA Finance Strategy:			
- Comprehensive financial data and plans for a standardized and coordinated cost accounting systems (both input and activity based accounting)	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
- Revenue generation and fee levels across PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	List the budget allocation criteria: ad hoc process with steering committee guidance

- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
- PA management plans to include financial data or associated business plans	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(ii) Degree of formulation, adoption and implementation of a national financing strategy[2]	0	0: Not begun 1: In progress 2: Completed and adopted 3: Under implementation	
Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)			
(i) Economic valuation studies on the contribution of protected areas to local and national development are available	0	0: None 1: Partial 2: Satisfactory 3: Full	Provide summary data from studies:
(ii) PA economic valuation influences government decision makers	0	0: None 1: Partial 2: Satisfactory 3: Full	Specify ministries that have been influenced:
Element 7 - Improved government budgeting for PA systems			
(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans	0	0: No 1: Partially 2: Yes	
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA)[3]	0	0: No 1: Partially 2: Yes	
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates	0	0: No 1: Partially 2: Yes	
(iv) Government plans to increase budget, over the long term, to reduce the PA financing gap	0	0: No 1: Partially 2: Yes	Assumed from a declining allocation from Govt for PA management
Element 8 - Clearly defined institutional responsibilities for financial management of PAs			
(i) Mandates of public institutions regarding PA finances are clear and agreed	0	0: None 1: Partial 2: Improving 3: Full	
Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level			
(i) Central level has sufficient economists and economic planners to improve financial sustainability of the system	0	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles:
(ii) There is an organizational structure (eg a dedicated unit) with sufficient authority and coordination to properly manage the finances of the PA system	0	0: None 1: Partial 2: Almost there 3: Full	

(iii) At the regional and PA site level there is sufficient professional capacity to promote financial sustainability at site level	1	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles:
(iv) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation [4]	1	0: None 1: Partial 2: Almost there 3: Full	Shared responsibility with NES central office
(v) Budgetary incentives motivate PA managers to promote site level financial sustainability (eg sites generating revenues do not necessarily experience budget cuts)	0	0: None 1: Partial 2: Almost there 3: Full	
(vi) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management	1	0: None 1: Partial 2: Almost there 3: Full	Suwarrow Rangers assessed
(vii) There is capacity within the system for auditing PA finances	3	0: None 1: Partial 2: Almost there 3: Full	National Audit office
(viii) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)	1	0: None 1: Partial 2: Almost there 3: Full	
Total Score for Component 1	23	**Actual score:**	
		Total Possible: 95	
	24%	**% achieved**	
Component 2 – Business planning and tools for cost-effective management			
Element 1 – PA site-level management and business planning			
(i) Quality of PA management plans used, (based on conservation objectives, management needs and costs based on cost-effective analysis)	1	0: Does not exist 1: Poor 2: Decent 3: High quality	Limited examples to assess quality, however capacity does exist for quality planning
(ii) PA management plans are used at PA sites across the PA system	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	Specify if management plans are current or out-dated: No PA system in place to assess
(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system[5]	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(iv) Business plans are implemented across the PA system (degree of implementation measured by achievement of objectives)	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	

(v) Business plans for PAs contribute to system level planning and budgeting	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
Element 2 - Operational, transparent and useful accounting and auditing systems			
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system	3	0: None 1: Partial 2: Near complete 3: Fully completed	NES internal procedures and other govt agencies are complete
(ii) Revenue tracking systems for each PA in place and operational	3	0: None 1: Partial 2: Near complete 3: Fully completed	For Govt PA sites
(iii) There is a system so that the accounting data contributes to system level planning and budgeting	3	0: None 1: Partial 2: Near complete 3: Fully completed	Consider Govt systems
Element 3 - Systems for monitoring and reporting on financial management performance			
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders	1	0: None 1: Partial 2: Near complete 3: Complete and operational	
(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	1	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	2	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives	0	0: None 1: Partial 2: Near complete 3: Complete and operational	

Element 4 - Methods for allocating funds across individual PA sites			
(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)	1	0: No 1: Yes	
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist	1	0: No 1: Yes	
Element 5 - Training and support networks to enable PA managers to operate more cost-effectively[6]			
(i) Guidance on cost-effective management developed and being used by PA managers	1	0: Absent 1: Partially done 2: Almost done 3: Fully	Mentoring through senior staff in place, informal training in place
(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iv) Monitoring and learning systems of cost-effectiveness are in place and feed into system management policy and planning	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(v) PA site managers are trained in financial management and cost-effective management	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(vi) PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters[7]	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
Total Score for Component 2	17	**Actual score:**	
		Total Possible: 59	
	29%	**% achieved**	
Component 3 – Tools for revenue generation by PAs			
Element 1 - Number and variety of revenue sources used across the PA system			
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	0	0: None 1: Partially 2: A fair amount 3: Optimal	

(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system	1	0: None 1: Partially 2: A fair amount 3: Optimal	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms:
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	0	0: None 1: Partially 2: A fair amount 3: Optimal	
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs	2	0: None 1: Partially 2: A fair amount 3: Optimal	
Element 2 - Setting and establishment of user fees across the PA system			
(i) A system wide strategy and action plan for user fees is complete and adopted by government	0	0: None 1: Partially 2: Satisfactory 3: Fully	If PA sites have tariffs but there is no system strategy score as partial:
(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(iii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment [8]	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(v) Non tourism user fees are applied and generate additional revenue	1	0: None 1: Partially 2: Satisfactory 3: Fully	
Element 3 - Effective fee collection systems			
(i) System wide guidelines for fee collection are complete and approved by PA authorities	0	0: None 1: Partially 2: Completely 3: Operational	
(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner	1	0: None 1: Partially 2: Completely 3: Operational	

(iii) Fee collection systems are monitored, evaluated and acted upon	1	0: None 1: Partially 2: Completely 3: Operational	
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided	1	0: None 1: Partially 2: Completely	No current data on Suwarrow fees
Element 4 - Communication strategies to increase public awareness about the rationale for revenue generation mechanisms			
(i) Communication campaigns for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	0	0: None 1: Partially 2: Satisfactory 3: Fully	
(i) Communication campaigns for the public about PA fees are in place at PA site level	1	0: None 1: Partially 2: Satisfactory 3: Fully	
Element 5 - Operational PES schemes for PAs[9]			
(i) A system wide strategy and action plan for PES is complete and adopted by government	0	0: None 1: Partially 2: Progressing 3: Fully	
(ii) Pilot PES schemes at select PA sites developed	0	0: None 1: Partially 2: Progressing 3: Fully	
(iii) Operational performance of pilots is monitored, evaluated and reported	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of PES across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	
Element 6 - Concessions operating within PAs[10]			
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	0	0: None 1: Partially 2: Progressing 3: Fully	
(ii) Concession opportunities are operational at pilot PA sites	0	0: None 1: Partially 2: Progressing 3: Fully	

(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of concessions across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	
Element 7 - PA training programmes on revenue generation mechanisms			
(1) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration	1	0: None 1: Limited 2: Satisfactory 3: Extensive	
Total Score for Component 3	12	**Actual score:**	
		Total Possible: 71	
	17%	**% achieved**	

[1] This element can be omitted in countries where a PA system does not require a Trust Fund due to robust financing within government
[2] A national PA Financing Strategy will include targets, policies, tools and approaches
[3] This could include budgets for development agencies and local governments for local livelihoods
[4] These responsibilities should be found in the Terms of Reference for the posts

[5] A PA Business Plan is a plan that analyzes and identifies the financial gap in a PA's operations, and presents opportunities to mitigate that gap through operational cost efficiencies or revenue generation schemes. It does not refer to business plans for specific concession services within a PA. Each country may have its own definition and methodology for business plans or may only carry out financial analysis and hence may need to adapt the questions accordingly.
[6] Cost-effectiveness is broadly defined as maximizing impact from amount invested and achieving a target impact in the least cost manner. It is not about lowering costs and resulting impacts.
[7] This might include aerial surveys, marine pollution monitoring, economic valuations etc.

[8] As tourism infrastructure increases within PAs and in turn increases visitor numbers and PA revenues the score for this item should be increased in proportion to its importance to funding the PA system.
[9] Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system
[10] Concessions will be mainly for tourism related services such as visitor centres, giftshops, restaurants, transportation etc

Part III summarizes the total scores and percentages scored by the country in any given year when the exercise is completed. It shows the total possible score and the total actual score for the PA system and presents the results as a percentage. Over time changes to the scores can show progress in strengthening the PA financing system.

PART III- FINANCIAL SCORECARD - SCORING AND MEASURING PROGRESS	
Total Score for PA System	52
Total Possible Score	**225**
Actual score as a percentage of the total possible score	23%
Percentage scored in previous year or previous time the scorecard was applied [1]	NA

[1] Insert NA if this is first year of completing scorecard.

Annex I - Revenue Projection Estimates
This table should be filled out to supplement data presented on revenue generation in both Part I and II.

Fees and other revenue generation mechanisms	Current fee levels	Current revenues	Proposed fee level	Estimated revenue	Comments

Bonefishing fees	Bonefishing fees for Aitutaki. NZ$10/day, $50/week, $80/fortnight, $160/month, $500/lifetime.	$15,300.00	Bonefishing fees for Aitutaki. NZ $10/day, $50/week, $80/fortnight, $160/month, $500/lifetime. (no change)	$17,000.00	Assume slight growth as profile builds and Marine Park designation attracts higher usage
Takitumu Conservation Area	NZ$35 - $45 pp	$6,800	NZ $35 - $45 pp (no change)	$8,000.00	Revenue is dependent predominantly on cruise ship visits.
Research fees	NZ$80	$1,013	NZ$80	$1,680.00	
Re-establish the portion of departure tax allocated to PA management	0	0	15% of departure tax or NZ$9.30	$909,075.00	based on 115,000 departures
Levy environmentally damaging imports e.g. Thin plastic shopping bags, phosphate based detergent	0	0	NZ10c per bag, 10% levy on detergents	$680,000.00	
Fees for conducting mining activities within the Marine Park	0	0	NZ$500 per day fee	$127,500.00	for exploratory, % of value of extracted mineral for active mining
Fees for entrance to the Moko Ero Nui Reserve	0	0	NZ$5 per person	$425.00	2 ppl per week walking the Te Manga Track
Fees for entrance to the Cloud Forest Reserve	0	0	NZ$5 per person	$2,125.00	5 ppl per week visiting the reserve
Fees for conducting recreational fishing activities with the Marine Park	0	0	NZ$10 per day fee	$76,500.00	
Fees for access to the Aitutaki Lagoon for the purpose of kiteboarding	0	0	NZ$5 per day fee	$2,550.00	
Fees for conducting scuba diving within protected areas of the Marine Park	0	0	NZ$10 per day fee	$27,200.00	
Total		**$23,112.61**		**$1,852,055.00**	

Annex II – Policy Reform and Strengthening

This Table should be filled out to complement information provided in Part II, Component I on the policy and legislative frameworks. This table presents the list all policies to be reformed, established or strengthened to improve the PA financing system

Policy/Law	Justification for change or new policy/law	Recommended changes	Proposed Timeframe
Protected & Managed Areas Act	There is no legal support for most potential PA financing mechanisms	Establish regulations to support / authorize the use of various PA financing mechanisms	End of 2016
Cook Islands Marine Park Policy	There is no policy support for potential PA financing mechanisms	Policy support for PA financing mechanisms	End of 2016

Annex 7.
Management effectiveness tracking tool (METT) results for Marae Moana

Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems					
SECTION III: Financial Sustainability Scorecard					

Note: Please complete the financial sustainability scorecard for each					
Important: Please read the Guidelines posted on the GEF website before entering your data					

Part I: Protected Areas System, sub-systems and networks

Part I requires financial data to determine the costs, revenues and					

Part 1.1 – Basic Information on Country's National Protected Area System,

Protected Areas System, sub-systems and networks	Number of sites	Terrestrial hectares covered	Marine hectares covered[1]	Total hectares covered	Institution responsible for PA management
National System of PAs					
Cook Islands Marine Park	1	0	109977463	109977463	Office of the Prime Minister
Takitumu Conservation Area	1	155	0	155	Takitumu Conservation Trust
Other Existing Protected Areas (most are temporary or non-operational sites, with the exception of Suwarrow National Park)	26	985	3003.6	3,988.60	Various
Te Mange Te Kou Cloud Forest Reserve (proposed)	1	118	0	118	TBD
Manuae Wildlife Sanctuary / Marine Reserve (proposed)	1	617	400	1017	TBD
Takutea Wildlife Sanctuary / Marine Reserve (proposed)	1	100	85	185	TBD
Mokoero Nui Natural Reserve	1	90	0	90	Atiu
Suwarrow National Park	1	160	0	160	Natl. Env. Service

[1] MPAs should be detailed separately to terrestrial PAs as they tend to be much larger in size and have different cost structures

Note: Exchange rate used is NZ$1 = US$0.85

Part 1.2 - Financial Analysis of the National Protected Area System

Financial Analysis of the Sub-System or Network -[insert name of Sub-System or Network]	July 2013 / June 2014 (US$) [1][2]	July 2017/ June 2018 (US$) [3][4]	Comments Add the source of data and state confidence in data (low, medium,		
Available Finances[5]					
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues generated for the PA system)	63,750.00	**114,142.86**			
- operational budget (salaries, maintenance, fuel etc)	63,750.00	**114143**	NES Suwarrow budget and % of		
- infrastructure investment budget (roads, visitor centres etc)	0.00		Destination development funds are aid		
(2) Extra budgetary funding for PA management			Specify sources of funds		
- Total of A + B -	663,088.40	87,857.14			
A. Funds channelled through government - total	93,588.40	17,857.14			
- PA dedicated taxes	0.00	0			
- Trust Funds	0.00	0			
- Donor funds	93,588.40	17857.14	CI Tourism funded projects for Mauke,		
- Loans	0.00				
- Debt for nature swaps	0.00				
- Others					

B. Funds channelled through third party/independent institutional arrangements - total	569,500.00	70,000.00			
- Trust Funds					
- Donor funds	569,500.00	70000	Te Ipukarea Society USD$60,000		
- Loans	0.00				
- Others	0.00				
(3) Total annual site based revenue generation across all PAs broken down by source[6]			Indicate total economic value of PAs (if studies available)[7]		
- Total	23,112.61	12,700.00			
A. Tourism entrance fees	6,800.00	5428.57	Takitumu Conservation Area received		
B. Other tourism and recreational related fees (camping, fishing permits	15,300.00	7142.86	Bonefishing fees for Aitutaki. $10/day,		
C. Income from concessions	0.00	0	Specify type of concession		
D. Payments for ecosystem services (PES)	0.00	0	Provide examples:		
- water	0.00	0			
- carbon	0.00	0			
- biodiversity	0.00	0			
E. Other non-tourism related fees and charges (specify each type of revenue generation mechanism)	1,012.61	128.57			
- scientific research fees	1,012.61	128.57	Total fees is approximately 1200NZD for		
- genetic patents	0.00	0			
- pollution charges	0.00	0			
- sale of souvenirs from state run shops	0.00	0			
(4) Percentage of PA generated revenues retained in the PA system for re-investment[8]	29.42%	25.65%	TCA fees are retained by the TCA administrators and used to support		
(5) Total finances available to the PA system [line item 1+2.A+2.B]+ [line item 3 * line item 4]	733,638.40	205,257.55			
Available for operations	631,638.40	155,257.55			
Available for infrastructure investment	102,000.00	50000	Best estimate of value of infrustructure		
Costs and Financing Needs					
(1) Total annual expenditure for PAs (all PA operating and investment costs and system level expenses)[9]	733,638.40	205,257.55	Extraordinary levels of expendure in the 13/14 FY result from 3 sources		
- by government	157,338.40	132,000.00			
- by independent/other channels	576,300.00	73,257.55			
(2) Estimation of PA system financing needs			Where possible breakdown by terrestrial		
A. Estimated financing needs for *basic* management costs (operational and investments) to be covered	435,417.00	555,417.00	Summarize methodology used to make estimate (eg costs detailed at certain		
- PA central system level operational costs (salaries, office maintenance etc)	235,000.00	235,000.00	$225,000/year for PA staff (2 staff at Marae Moana Office; 1 Ra'ui Coordinator		
- PA site management operational costs	110,000.00	110,000.00	$40,000/year for 4 part time rangers		
- PA site infrastructure investment costs	0.00	120,000.00	Infrastructure improvements needed to		
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)	90,417.00	90,417.00	$30,000/year for public education and awareness programs; $60,417/year for		
B. Estimated financing needs for *optimal* management costs (operational	838,334.00	902,500.00	Summarize methodology used to make estimate		

- PA central system level operational costs (salaries, office maintenance etc)	407,500.00	407,500.00	Same as above, but with two additional full-time staff at the national level; a		
- PA site management operational costs	150,000.00	175,000.00	Same as above, but with four additional		
- PA site infrastructure investment costs	100,000.00	120,000.00	Estimated annual costs for infrastructure,		
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)	180,834.00	200,000.00	Same as above, but with double the budget for both public education and		
C. Estimated financial needs to expand the PA systems to be fully			Existing data on terrestrial and marine		
- basic management costs for new PAs					
- optimal management costs for new PAs					
Annual financing gap (financial needs – available finances)[10]			Where possible breakdown by terrestrial and marine sub-systems		
1. Net actual annual surplus/deficit[11]	0.00	0.00			
2. Annual financing gap for basic management scenarios	-298,221.40	350,159.45			
Operations	-196,221.40	280,159.45			
Infrastructure investment	-102,000.00	70,000.00			
3. Annual financing gap for optimal management scenarios	104,695.60	697,242.45			
Operations	106,695.60	627,242.45			
Infrastructure investment	-2,000.00	70,000.00			
4. Annual financing gap for basic management of an expanded PA system (current network costs plus annual costs of adding more PAs)		410,159.45	Estimated USD60,000 pa needed to add in more PNAs, CCA, and/or raui areas		
5. Projected annual financing gap for basic expenditure scenario in year X+5[12],[13]					
Financial data collection needs					
Specify main data gaps identified from this analysis:			Detailed breakdown of departmental		
Specify actions to be taken to fill data gaps[14]:			Recommend strengthening of financial		

[1] The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year eg 2007.
[2] Insert in footnote the local currency and exchange rate to US$ and date of rate (eg US$1=1000 colones, August 2007)
(eg 2008). For the first time the Scorecard is completed X will be the same
[4] Insert in footnote the local currency and exchange rate to US$ and date of rate
(i) government core budget (line item 1), (ii) additional government funds
[6] This data should be the total for all the PA systems to indicate total revenues. If data is only available for a specific PA system specify which system
[7] Note this will include non monetary values and hence will differ (be greater) than revenues
[8] This includes funds to be shared by PAs with local stakeholders
due to disbursement difficulties. In this case actual expenditure should be
[10] Financing needs as calculated in (8) minus available financing total in (6)
[11] This will likely be zero but some PAs may have undisbursed funds and some with autonomous budgets may have deficits
towards closing the finance gap. This line can only be completed if a long
upcoming needs of PA systems to adapt to climate change which may
[14] Actions may include (i) cost data based on site based management plans and extrapolation of site costs across a PA system and (ii) revenue and budget accounts and projections

Part II of the scorecard is compartmentalized into three fundamental					

PART II: FINANCIAL SCORECARD - ASSESSING ELEMENTS OF THE FINANCING SYSTEM			
Component 1 - Legal, regulatory and institutional frameworks			
Element 1 - Legal, policy and regulatory support for revenue generation by PAs			
(i) Laws or policies are in place that facilitate PA revenue mechanisms	2	0: None 1: A few 2: Several 3: Fully	
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	1	0: None 1: A few 2: Several 3: Fully	Legislation in place, not active
Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system			
(i) Laws or policies are in place for PA revenues to be retained by the PA system	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Current practice is all income derived by govt enters the consolidated fund
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Specify % to be retained:
(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	No laws currently just local agreements
Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)[1]			
(i) A Fund has been established and capitalized to finance the PA system	0	0: No 1: Established 2: Established with limited capital 3: Established with adequate capital	
(ii) Funds have been created to finance specific PAs	1	0: No 1: Partially 2: Quite well 3: Fully	Private funds for some PAs
(iii) Fund expenditures are integrated with national PA financial planning and accounting	0	0: No 1: Partially 2: Quite well 3: Fully	
Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government			
(i) There are laws or policies which allow and regulate concessions for PA services	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(ii) There are laws or policies which allow and regulate co-management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(iii) There are laws or policies which allow and regulate local government management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	

(iv) There are laws which allow, promote and regulate private reserves	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
Element 5 -National PA Financing Strategies			
(i) There are policies and/or regulations that exist for the following which should be part of a National PA Finance Strategy:			
- Comprehensive financial data and plans for a standardized and coordinated cost accounting systems (both input and activity based accounting)	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
- Revenue generation and fee levels across PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	List the budget allocation criteria: ad hoc process with steering committee guidance
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
- PA management plans to include financial data or associated business plans	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(ii) Degree of formulation, adoption and implementation of a national financing strategy[2]	0	0: Not begun 1: In progress 2: Completed and adopted 3: Under implementation	
Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)			
(i) Economic valuation studies on the contribution of protected areas to local and national development are available	0	0: None 1: Partial 2: Satisfactory 3: Full	Provide summary data from studies:
(ii) PA economic valuation influences government decision makers	0	0: None 1: Partial 2: Satisfactory 3: Full	Specify ministries that have been influenced:
Element 7 - Improved government budgeting for PA systems			
(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans	0	0: No 1: Partially 2: Yes	
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA)[3]	0	0: No 1: Partially 2: Yes	
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates	0	0: No 1: Partially 2: Yes	

(iv) Government plans to increase budget, over the long term, to reduce the PA financing gap	0	0: No 1: Partially 2: Yes	Assumed from a declining allocation from Govt for PA management
Element 8 - Clearly defined institutional responsibilities for financial management of PAs			
(i) Mandates of public institutions regarding PA finances are clear and agreed	0	0: None 1: Partial 2: Improving 3: Full	
Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level			
(i) Central level has sufficient economists and economic planners to improve financial sustainability of the system	0	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles:
(ii) There is an organizational structure (eg a dedicated unit) with sufficient authority and coordination to properly manage the finances of the PA system	0	0: None 1: Partial 2: Almost there 3: Full	
(iii) At the regional and PA site level there is sufficient professional capacity to promote financial sustainability at site level	1	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles:
(iv) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation [4]	1	0: None 1: Partial 2: Almost there 3: Full	Shared responsibility with NES central office
(v) Budgetary incentives motivate PA managers to promote site level financial sustainability (eg sites generating revenues do not necessarily experience budget cuts)	0	0: None 1: Partial 2: Almost there 3: Full	
(vi) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management	1	0: None 1: Partial 2: Almost there 3: Full	Suwarrow Rangers assessed
(vii) There is capacity within the system for auditing PA finances	3	0: None 1: Partial 2: Almost there 3: Full	National Audit office
(viii) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)	1	0: None 1: Partial 2: Almost there 3: Full	
Total Score for Component 1	23	**Actual score:**	
		Total Possible: 95	
	24%	**% achieved**	
Component 2 – Business planning and tools for cost-effective management			
Element 1 – PA site-level management and business planning			
(i) Quality of PA management plans used, (based on conservation objectives, management needs and costs based on cost-effective analysis)	1	0: Does not exist 1: Poor 2: Decent 3: High quality	Limited examples to assess quality, however capacity does exist for quality planning
(ii) PA management plans are used at PA sites across the PA system	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	Specify if management plans are current or out-dated: No PA system in place to assess

(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system[5]	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(iv) Business plans are implemented across the PA system (degree of implementation measured by achievement of objectives)	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(v) Business plans for PAs contribute to system level planning and budgeting	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
Element 2 - Operational, transparent and useful accounting and auditing systems			
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system	3	0: None 1: Partial 2: Near complete 3: Fully completed	NES internal procedures and other govt agencies are complete
(ii) Revenue tracking systems for each PA in place and operational	3	0: None 1: Partial 2: Near complete 3: Fully completed	For Govt PA sites
(iii) There is a system so that the accounting data contributes to system level planning and budgeting	3	0: None 1: Partial 2: Near complete 3: Fully completed	Consider Govt systems
Element 3 - Systems for monitoring and reporting on financial management performance			
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders	1	0: None 1: Partial 2: Near complete 3: Complete and operational	

(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	1	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	2	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives	0	0: None 1: Partial 2: Near complete 3: Complete and operational	
Element 4 - Methods for allocating funds across individual PA sites			
(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)	1	0: No 1: Yes	
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist	1	0: No 1: Yes	
Element 5 - Training and support networks to enable PA managers to operate more cost-effectively[6]			
(i) Guidance on cost-effective management developed and being used by PA managers	1	0: Absent 1: Partially done 2: Almost done 3: Fully	Mentoring through senior staff in place, informal training in place
(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iv) Monitoring and learning systems of cost-effectiveness are in place and feed into system management policy and planning	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(v) PA site managers are trained in financial management and cost-effective management	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(vi) PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters[7]	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
Total Score for Component 2	17	**Actual score:**	
		Total Possible: 59	

	29%	% achieved	
Component 3 - Tools for revenue generation by PAs			
Element 1 - Number and variety of revenue sources used across the PA system			
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	0	0: None 1: Partially 2: A fair amount 3: Optimal	Underway
(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system	1	0: None 1: Partially 2: A fair amount 3: Optimal	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms:
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	0	0: None 1: Partially 2: A fair amount 3: Optimal	
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs	2	0: None 1: Partially 2: A fair amount 3: Optimal	Aitutaki Bonefishing, TCA
Element 2 - Setting and establishment of user fees across the PA system			
(i) A system wide strategy and action plan for user fees is complete and adopted by government	0	0: None 1: Partially 2: Satisfactory 3: Fully	If PA sites have tariffs but there is no system strategy score as partial:
(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes	1	0: None 1: Partially 2: Satisfactory 3: Fully	CI Tourism direct tourists to PA for tours and promote these. NES supports TCA whenever possible.
(iii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment [8]	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(v) Non tourism user fees are applied and generate additional revenue	1	0: None 1: Partially 2: Satisfactory 3: Fully	Aitutaki Bonefishing
Element 3 - Effective fee collection systems			
(i) System wide guidelines for fee collection are complete and approved by PA authorities	0	0: None 1: Partially 2: Completely 3: Operational	

(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner	1	0: None 1: Partially 2: Completely 3: Operational	
(iii) Fee collection systems are monitored, evaluated and acted upon	1	0: None 1: Partially 2: Completely 3: Operational	
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided	1	0: None 1: Partially 2: Completely	No current data on Suwarrow fees
Element 4 - Communication strategies to increase public awareness about the rationale for revenue generation mechanisms			
(i) Communication campaigns for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	0	0: None 1: Partially 2: Satisfactory 3: Fully	
(i) Communication campaigns for the public about PA fees are in place at PA site level	1	0: None 1: Partially 2: Satisfactory 3: Fully	
Element 5 - Operational PES schemes for PAs[9]			
(i) A system wide strategy and action plan for PES is complete and adopted by government	0	0: None 1: Partially 2: Progressing 3: Fully	
(ii) Pilot PES schemes at select PA sites developed	0	0: None 1: Partially 2: Progressing 3: Fully	
(iii) Operational performance of pilots is monitored, evaluated and reported	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of PES across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	
Element 6 - Concessions operating within PAs[10]			
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	0	0: None 1: Partially 2: Progressing 3: Fully	
(ii) Concession opportunities are operational at pilot PA sites	0	0: None 1: Partially 2: Progressing 3: Fully	

(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon	0	0: None 1: Partially 2: Progressing 3: Fully		
(iv) Scale up of concessions across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully		
Element 7 - PA training programmes on revenue generation mechanisms				
(1) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration	1	0: None 1: Limited 2: Satisfactory 3: Extensive		
Total Score for Component 3	12	**Actual score:**		
		Total Possible: 71		
	17%	**% achieved**		

[1] This element can be omitted in countries where a PA system does not require a Trust Fund due to robust financing within government
[2] A national PA Financing Strategy will include targets, policies, tools and approaches
[3] This could include budgets for development agencies and local governments for local livelihoods
[4] These responsibilities should be found in the Terms of Reference for the posts
gap in a PA's operations, and presents opportunities to mitigate that gap
[6] Cost-effectiveness is broadly defined as maximizing impact from amount invested and achieving a target impact in the least cost manner. It is not about lowering costs and resulting impacts.
[7] This might include aerial surveys, marine pollution monitoring, economic valuations etc.
visitor numbers and PA revenues the score for this item should be
[9] Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system
[10] Concessions will be mainly for tourism related services such as visitor centres, giftshops, restaurants, transportation etc

Part III summarizes the total scores and percentages scored by the					

PART III- FINANCIAL SCORECARD - SCORING AND MEASURING PROGRESS	
Total Score for PA System	52
Total Possible Score	225
Actual score as a percentage of the total possible score	23%
Percentage scored in previous year or previous time the scorecard was applied [1]	NA

[1] Insert NA if this is first year of completing scorecard.

Annex I - Revenue Projection Estimates
This table should be filled out to supplement data presented on revenue generation in both Part I and II.

Fees and other revenue generation mechanisms	Current fee levels	Current revenues	Proposed fee level	Estimated revenue	Comments
Bonefishing fees	Bonefishing fees for Aitutaki. NZ$10/day, $50/week, $80/fortnight, $160/month, $500/lifetime.	$7,142.86	Bonefishing fees for Aitutaki. NZ $10/day, $50/week, $80/fortnight, $160/month, $500/lifetime. (no change)	$10,000.00	Assume slight growth as profile builds and Marine Park designation attracts higher usage
Takitumu Conservation Area	NZ$35 - $45 pp	$5,429	NZ $35 - $45 pp (no change)	$8,000.00	Revenue is dependent predominantly on cruise ship visits.

Research fees	NZ$80	$129	NZ$80	$350.00	Expect increase with Marae Moana and more PNAs/CCAs set up
Re-establish the portion of departure tax allocated to PA management	0	0			Unlikely however if a sustainable financing mechanism is established with Marae Moana then funds can be raised
Levy environmentally damaging imports e.g. Thin plastic shopping bags, phosphate based detergent	0	0			Plastic shopping bags banned, moves to also ban phosphate detergents
Fees for conducting mining activities within the Marine Park	0	0	NZ$500 per day fee	$127,500.00	for exploratory, % of value of extracted mineral for active mining
Fees for entrance to the Moko Ero Nui Reserve	0	0	NZ$5 per person	$425.00	2 ppl per week walking the Te Manga Track
Fees for entrance to the Cloud Forest Reserve	0	0	NZ$5 per person	$2,125.00	5 ppl per week visiting the reserve
Fees for conducting recreational fishing activities with the Marine Park	0	0	NZ$10 per day fee	$76,500.00	
Fees for access to the Aitutaki Lagoon for the purpose of kiteboarding	0	0	NZ$5 per day fee	$2,550.00	
Fees for conducting scuba diving within protected areas of the Marine Park	0	0	NZ$10 per day fee	$27,200.00	
Total		**$12,700.00**		**$254,650.00**	

Annex II - Policy Reform and Strengthening

II, Component I on the policy and legislative frameworks. This table

Policy/Law	**Justification for change or new policy/law**	**Recommended changes**	**Proposed Timeframe**
Policy Review of proteccted & managed areas legislative and institutional framework	Fragmented powers and responsibilities for the establishment and management of protected areas	Consolidate and clarify powers and responsibilities	End of 2019
Cook Islands Marine Park Policy	There is no policy support for potential PA financing mechanisms	Policy support for PA financing mechanisms	Completed

There is the Marae Moana Act passed in July, 2017

Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems					
SECTION III: Financial Sustainability Scorecard					

Note: Please complete the financial sustainability scorecard for each project that is focusing on improving the financial sustainability of a PA system or an individual PA, per outcome 1.2 in the GEF biodiversity					
Important: Please read the Guidelines posted on the GEF website before entering your data					

Part I: Protected Areas System, sub-systems and networks

Part I requires financial data to determine the costs, revenues and					

Part 1.1 - Basic Information on Country's National Protected Area System,

Protected Areas System, sub-systems and networks	Number of sites	Terrestrial hectares covered	Marine hectares covered[1]	Total hectares covered	Institution responsible for PA management
National System of PAs					
Cook Islands Marine Park	1	0	109977463	109977463	Office of the Prime Minister
Takitumu Conservation Area	1	155	0	155	Takitumu Conservation Trust
Other Existing Protected Areas (most are temporary or non-operational sites, with the exception of Suwarrow National Park)	26	985	3003.6	3,988.60	Various
Te Mange Te Kou Cloud Forest Reserve (proposed)	1	118	0	118	TBD
Manuae Wildlife Sanctuary / Marine Reserve (proposed)	1	617	400	1017	TBD
Takutea Wildlife Sanctuary / Marine Reserve (proposed)	1	100	85	185	TBD
Mokoero Nui Natural Reserve	1	90	0	90	Atiu
Suwarrow National Park	1	160	0	160	Natl. Env. Service

[1] MPAs should be detailed separately to terrestrial PAs as they tend to be much larger in size and have different cost structures

Note: Exchange rate used is NZ$1 = US$0.85

Part 1.2 - Financial Analysis of the National Protected Area System

Financial Analysis of the Sub-System or Network -[insert name of Sub-System or Network]	July 2013 / June 2014 (US$) [1][2]	July 2017/ June 2018 (US$) [3][4]	Comments Add the source of data and state confidence in data (low, medium,		
Available Finances[5]					
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues generated for the PA system)	63,750.00	**114,142.86**			
- operational budget (salaries, maintenance, fuel etc)	63,750.00	**114143**	NES Suwarrow budget and % of		
- infrastructure investment budget (roads, visitor centres etc)	0.00		Destination development funds are aid		
(2) Extra budgetary funding for PA management			Specify sources of funds		
- Total of A + B -	663,088.40	87,857.14			
A. Funds channelled through government - total	93,588.40	17,857.14			
- PA dedicated taxes	0.00	0			
- Trust Funds	0.00	0			
- Donor funds	93,588.40	17857.14	CI Tourism funded projects for Mauke,		
- Loans	0.00				
- Debt for nature swaps	0.00				

- Others					
B. Funds channelled through third party/independent institutional arrangements - total	569,500.00	70,000.00			
- Trust Funds					
- Donor funds	569,500.00	70000	Te Ipukarea Society USD$60,000		
- Loans	0.00				
- Others	0.00				
(3) Total annual site based revenue generation across all PAs broken down by source[6]			Indicate total economic value of PAs (if studies available)[7]		
- Total	23,112.61	12,700.00			
A. Tourism entrance fees	6,800.00	5428.57	Takitumu Conservation Area received		
B. Other tourism and recreational related fees (camping, fishing permits	15,300.00	7142.86	Bonefishing fees for Aitutaki. $10/day,		
C. Income from concessions	0.00	0	Specify type of concession		
D. Payments for ecosystem services (PES)	0.00	0	Provide examples:		
- water	0.00	0			
- carbon	0.00	0			
- biodiversity	0.00	0			
E. Other non-tourism related fees and charges (specify each type of revenue generation mechanism)	1,012.61	128.57			
- scientific research fees	1,012.61	128.57	Total fees is approximately 1200NZD for		
- genetic patents	0.00	0			
- pollution charges	0.00	0			
- sale of souvenirs from state run shops	0.00	0			
(4) Percentage of PA generated revenues retained in the PA system for re-investment[8]	29.42%	25.65%	TCA fees are retained by the TCA administrators and used to support		
(5) Total finances available to the PA system [line item 1+2.A+2.B]+ [line item 3 * line item 4]	733,638.40	205,257.55			
Available for operations	631,638.40	155,257.55			
Available for infrastructure investment	102,000.00	50000	Best estimate of value of infrustructure		
Costs and Financing Needs					
(1) Total annual expenditure for PAs (all PA operating and investment costs and system level expenses)[9]	733,638.40	205,257.55	Extraordinary levels of expendure in the 13/14 FY result from 3 sources		
- by government	157,338.40	132,000.00			
- by independent/other channels	576,300.00	73,257.55			
(2) Estimation of PA system financing needs			Where possible breakdown by terrestrial		
A. Estimated financing needs for *basic* management costs (operational and investments) to be covered	435,417.00	555,417.00	Summarize methodology used to make estimate (eg costs detailed at certain		
- PA central system level operational costs (salaries, office maintenance etc)	235,000.00	235,000.00	$225,000/year for PA staff (2 staff at Marae Moana Office; 1 Ra'ui Coordinator		
- PA site management operational costs	110,000.00	110,000.00	$40,000/year for 4 part time rangers		
- PA site infrastructure investment costs	0.00	120,000.00	Infrastructure improvements needed to		
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)	90,417.00	90,417.00	$30,000/year for public education and awareness programs; $60,417/year for		
B. Estimated financing needs for *optimal* management costs (operational	838,334.00	902,500.00	Summarize methodology used to make estimate		

- PA central system level operational costs (salaries, office maintenance etc)	407,500.00	407,500.00	Same as above, but with two additional full-time staff at the national level; a		
- PA site management operational costs	150,000.00	175,000.00	Same as above, but with four additional		
- PA site infrastructure investment costs	100,000.00	120,000.00	Estimated annual costs for infrastructure,		
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)	180,834.00	200,000.00	Same as above, but with double the budget for both public education and		
C. Estimated financial needs to expand the PA systems to be fully			Existing data on terrestrial and marine		
- basic management costs for new PAs					
- optimal management costs for new PAs					
Annual financing gap (financial needs – available finances)[10]			Where possible breakdown by terrestrial and marine sub-systems		
1. Net actual annual surplus/deficit[11]	0.00	0.00			
2. Annual financing gap for basic management scenarios	-298,221.40	350,159.45			
Operations	-196,221.40	280,159.45			
Infrastructure investment	-102,000.00	70,000.00			
3. Annual financing gap for optimal management scenarios	104,695.60	697,242.45			
Operations	106,695.60	627,242.45			
Infrastructure investment	-2,000.00	70,000.00			
4. Annual financing gap for basic management of an expanded PA system (current network costs plus annual costs of adding more PAs)		410,159.45	Estimated USD60,000 pa needed to add in more PNAs, CCA, and/or raui areas		
5. Projected annual financing gap for basic expenditure scenario in year X+5[12],[13]					
Financial data collection needs					
Specify main data gaps identified from this analysis:			Detailed breakdown of departmental		
Specify actions to be taken to fill data gaps[14]:			Recommend strengthening of financial		

[1] The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year eg 2007.
[2] Insert in footnote the local currency and exchange rate to US$ and date of rate (eg US$1=1000 colones, August 2007)
(eg 2008). For the first time the Scorecard is completed X will be the same
[4] Insert in footnote the local currency and exchange rate to US$ and date of rate
(i) government core budget (line item 1), (ii) additional government funds
[6] This data should be the total for all the PA systems to indicate total revenues. If data is only available for a specific PA system specify which system
[7] Note this will include non monetary values and hence will differ (be greater) than revenues
[8] This includes funds to be shared by PAs with local stakeholders
due to disbursement difficulties. In this case actual expenditure should be
[10] Financing needs as calculated in (8) minus available financing total in (6)
[11] This will likely be zero but some PAs may have undisbursed funds and some with autonomous budgets may have deficits
towards closing the finance gap. This line can only be completed if a long
upcoming needs of PA systems to adapt to climate change which may
[14] Actions may include (i) cost data based on site based management plans and extrapolation of site costs across a PA system and (ii) revenue and budget accounts and projections

Part II of the scorecard is compartmentalized into three fundamental					

PART II: FINANCIAL SCORECARD – ASSESSING ELEMENTS OF THE FINANCING SYSTEM			
Component 1 – Legal, regulatory and institutional frameworks			
Element 1 – Legal, policy and regulatory support for revenue generation by PAs			
(i) Laws or policies are in place that facilitate PA revenue mechanisms	2	0: None 1: A few 2: Several 3: Fully	
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	1	0: None 1: A few 2: Several 3: Fully	Legislation in place, not active
Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system			
(i) Laws or policies are in place for PA revenues to be retained by the PA system	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Current practice is all income derived by govt enters the consolidated fund
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	Specify % to be retained:
(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders	0	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	No laws currently just local agreements
Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)[1]			
(i) A Fund has been established and capitalized to finance the PA system	0	0: No 1: Established 2: Established with limited capital 3: Established with adequate capital	
(ii) Funds have been created to finance specific PAs	1	0: No 1: Partially 2: Quite well 3: Fully	Private funds for some PAs
(iii) Fund expenditures are integrated with national PA financial planning and accounting	0	0: No 1: Partially 2: Quite well 3: Fully	
Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government			
(i) There are laws or policies which allow and regulate concessions for PA services	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	

(ii) There are laws or policies which allow and regulate co-management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(iii) There are laws or policies which allow and regulate local government management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(iv) There are laws which allow, promote and regulate private reserves	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
Element 5 -National PA Financing Strategies			
(i) There are policies and/or regulations that exist for the following which should be part of a National PA Finance Strategy:			
- Comprehensive financial data and plans for a standardized and coordinated cost accounting systems (both input and activity based accounting)	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
- Revenue generation and fee levels across PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	List the budget allocation criteria: ad hoc process with steering committee guidance
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
- PA management plans to include financial data or associated business plans	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(ii) Degree of formulation, adoption and implementation of a national financing strategy[2]	0	0: Not begun 1: In progress 2: Completed and adopted 3: Under implementation	
Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)			
(i) Economic valuation studies on the contribution of protected areas to local and national development are available	0	0: None 1: Partial 2: Satisfactory 3: Full	Provide summary data from studies:
(ii) PA economic valuation influences government decision makers	0	0: None 1: Partial 2: Satisfactory 3: Full	Specify ministries that have been influenced:

Element 7 - Improved government budgeting for PA systems			
(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans	0	0: No 1: Partially 2: Yes	
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA)[3]	0	0: No 1: Partially 2: Yes	
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates	0	0: No 1: Partially 2: Yes	
(iv) Government plans to increase budget, over the long term, to reduce the PA financing gap	0	0: No 1: Partially 2: Yes	Assumed from a declining allocation from Govt for PA management
Element 8 - Clearly defined institutional responsibilities for financial management of PAs			
(i) Mandates of public institutions regarding PA finances are clear and agreed	0	0: None 1: Partial 2: Improving 3: Full	
Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level			
(i) Central level has sufficient economists and economic planners to improve financial sustainability of the system	0	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles:
(ii) There is an organizational structure (eg a dedicated unit) with sufficient authority and coordination to properly manage the finances of the PA system	0	0: None 1: Partial 2: Almost there 3: Full	
(iii) At the regional and PA site level there is sufficient professional capacity to promote financial sustainability at site level	1	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles:
(iv) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation [4]	1	0: None 1: Partial 2: Almost there 3: Full	Shared responsibility with NES central office
(v) Budgetary incentives motivate PA managers to promote site level financial sustainability (eg sites generating revenues do not necessarily experience budget cuts)	0	0: None 1: Partial 2: Almost there 3: Full	
(vi) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management	1	0: None 1: Partial 2: Almost there 3: Full	Suwarrow Rangers assessed
(vii) There is capacity within the system for auditing PA finances	3	0: None 1: Partial 2: Almost there 3: Full	National Audit office
(viii) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)	1	0: None 1: Partial 2: Almost there 3: Full	
Total Score for Component 1	23	**Actual score:**	

		Total Possible: 95	
	24%	% achieved	
Component 2 – Business planning and tools for cost-effective management			
Element 1 – PA site-level management and business planning			
(i) Quality of PA management plans used, (based on conservation objectives, management needs and costs based on cost-effective analysis)	1	0: Does not exist 1: Poor 2: Decent 3: High quality	Limited examples to assess quality, however capacity does exist for quality planning
(ii) PA management plans are used at PA sites across the PA system	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	Specify if management plans are current or out-dated: No PA system in place to assess
(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system[5]	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(iv) Business plans are implemented across the PA system (degree of implementation measured by achievement of objectives)	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(v) Business plans for PAs contribute to system level planning and budgeting	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	0	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
Element 2 - Operational, transparent and useful accounting and auditing systems			
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system	3	0: None 1: Partial 2: Near complete 3: Fully completed	NES internal procedures and other govt agencies are complete

(ii) Revenue tracking systems for each PA in place and operational	3	0: None 1: Partial 2: Near complete 3: Fully completed	For Govt PA sites
(iii) There is a system so that the accounting data contributes to system level planning and budgeting	3	0: None 1: Partial 2: Near complete 3: Fully completed	Consider Govt systems
Element 3 - Systems for monitoring and reporting on financial management performance			
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders	1	0: None 1: Partial 2: Near complete 3: Complete and operational	
(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	1	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	2	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives	0	0: None 1: Partial 2: Near complete 3: Complete and operational	
Element 4 - Methods for allocating funds across individual PA sites			
(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)	1	0: No 1: Yes	
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist	1	0: No 1: Yes	
Element 5 - Training and support networks to enable PA managers to operate more cost-effectively[6]			
(i) Guidance on cost-effective management developed and being used by PA managers	1	0: Absent 1: Partially done 2: Almost done 3: Fully	Mentoring through senior staff in place, informal training in place

(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iv) Monitoring and learning systems of cost-effectiveness are in place and feed into system management policy and planning	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(v) PA site managers are trained in financial management and cost-effective management	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
(vi) PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters[7]	0	0: Absent 1: Partially done 2: Almost done 3: Fully	
Total Score for Component 2	17	**Actual score:**	
		Total Possible: 59	
	29%	**% achieved**	
Component 3 – Tools for revenue generation by PAs			
Element 1 - Number and variety of revenue sources used across the PA system			
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	0	0: None 1: Partially 2: A fair amount 3: Optimal	Underway
(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system	1	0: None 1: Partially 2: A fair amount 3: Optimal	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial – 1-2 Fair amount – 3-4 Optimal – 5 or more List the mechanisms:
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	0	0: None 1: Partially 2: A fair amount 3: Optimal	
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs	2	0: None 1: Partially 2: A fair amount 3: Optimal	Aitutaki Bonefishing, TCA
Element 2 - Setting and establishment of user fees across the PA system			
(i) A system wide strategy and action plan for user fees is complete and adopted by government	0	0: None 1: Partially 2: Satisfactory 3: Fully	If PA sites have tariffs but there is no system strategy score as partial:

(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes	1	0: None 1: Partially 2: Satisfactory 3: Fully	CI Tourism direct tourists to PA for tours and promote these. NES supports TCA whenever possible.
(iii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment [8]	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives	1	0: None 1: Partially 2: Satisfactory 3: Fully	
(v) Non tourism user fees are applied and generate additional revenue	1	0: None 1: Partially 2: Satisfactory 3: Fully	Aitutaki Bonefishing
Element 3 - Effective fee collection systems			
(i) System wide guidelines for fee collection are complete and approved by PA authorities	0	0: None 1: Partially 2: Completely 3: Operational	
(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner	1	0: None 1: Partially 2: Completely 3: Operational	
(iii) Fee collection systems are monitored, evaluated and acted upon	1	0: None 1: Partially 2: Completely 3: Operational	
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided	1	0: None 1: Partially 2: Completely	No current data on Suwarrow fees
Element 4 - Communication strategies to increase public awareness about the rationale for revenue generation mechanisms			
(i) Communication campaigns for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	0	0: None 1: Partially 2: Satisfactory 3: Fully	
(i) Communication campaigns for the public about PA fees are in place at PA site level	1	0: None 1: Partially 2: Satisfactory 3: Fully	
Element 5 - Operational PES schemes for PAs[9]			
(i) A system wide strategy and action plan for PES is complete and adopted by government	0	0: None 1: Partially 2: Progressing 3: Fully	

(ii) Pilot PES schemes at select PA sites developed	0	0: None 1: Partially 2: Progressing 3: Fully	
(iii) Operational performance of pilots is monitored, evaluated and reported	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of PES across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	
Element 6 - Concessions operating within PAs[10]			
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	0	0: None 1: Partially 2: Progressing 3: Fully	
(ii) Concession opportunities are operational at pilot PA sites	0	0: None 1: Partially 2: Progressing 3: Fully	
(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of concessions across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	
Element 7 - PA training programmes on revenue generation mechanisms			
(1) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration	1	0: None 1: Limited 2: Satisfactory 3: Extensive	
Total Score for Component 3	12	**Actual score:**	
		Total Possible: 71	
	17%	**% achieved**	

[1] This element can be omitted in countries where a PA system does not require a Trust Fund due to robust financing within government
[2] A national PA Financing Strategy will include targets, policies, tools and approaches
[3] This could include budgets for development agencies and local governments for local livelihoods
[4] These responsibilities should be found in the Terms of Reference for the posts
gap in a PA's operations, and presents opportunities to mitigate that gap
[6] Cost-effectiveness is broadly defined as maximizing impact from amount invested and achieving a target impact in the least cost manner. It is not about lowering costs and resulting impacts.
[7] This might include aerial surveys, marine pollution monitoring, economic valuations etc.
visitor numbers and PA revenues the score for this item should be
[9] Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system
[10] Concessions will be mainly for tourism related services such as visitor centres, giftshops, restaurants, transportation etc

Part III summarizes the total scores and percentages scored by the					

PART III- FINANCIAL SCORECARD - SCORING AND MEASURING PROGRESS	
Total Score for PA System	52
Total Possible Score	225
Actual score as a percentage of the total possible score	23%
Percentage scored in previous year or previous time the scorecard was applied [1]	NA

[1] Insert NA if this is first year of completing scorecard.

Annex I - Revenue Projection Estimates

This table should be filled out to supplement data presented on revenue generation in both Part I and II.

Fees and other revenue generation mechanisms	Current fee levels	Current revenues	Proposed fee level	Estimated revenue	Comments
Bonefishing fees	Bonefishing fees for Aitutaki. NZ$10/day, $50/week, $80/fortnight, $160/month, $500/lifetime.	$7,142.86	Bonefishing fees for Aitutaki. NZ $10/day, $50/week, $80/fortnight, $160/month, $500/lifetime. (no change)	$10,000.00	Assume slight growth as profile builds and Marine Park designation attracts higher usage
Takitumu Conservation Area	NZ$35 - $45 pp	$5,429	NZ $35 - $45 pp (no change)	$8,000.00	Revenue is dependent predominantly on cruise ship visits.
Research fees	NZ$80	$129	NZ$80	$350.00	Expect increase with Marae Moana and more PNAs/CCAs set up
Re-establish the portion of departure tax allocated to PA management	0	0			Unlikely however if a sustainable financing mechanism is established with Marae Moana then funds can be raised
Levy environmentally damaging imports e.g. Thin plastic shopping bags, phosphate based detergent	0	0			Plastic shopping bags banned, moves to also ban phosphate detergents
Fees for conducting mining activities within the Marine Park	0	0	NZ$500 per day fee	$127,500.00	for exploratory, % of value of extracted mineral for active mining
Fees for entrance to the Moko Ero Nui Reserve	0	0	NZ$5 per person	$425.00	2 ppl per week walking the Te Manga Track
Fees for entrance to the Cloud Forest Reserve	0	0	NZ$5 per person	$2,125.00	5 ppl per week visiting the reserve
Fees for conducting recreational fishing activities with the Marine Park	0	0	NZ$10 per day fee	$76,500.00	
Fees for access to the Aitutaki Lagoon for the purpose of kiteboarding	0	0	NZ$5 per day fee	$2,550.00	
Fees for conducting scuba diving within protected areas of the Marine Park	0	0	NZ$10 per day fee	$27,200.00	
Total		**$12,700.00**		**$254,650.00**	

Annex II - Policy Reform and Strengthening

II, Component I on the policy and legislative frameworks. This table

Policy/Law	Justification for change or new policy/law	Recommended changes	Proposed Timeframe
Policy Review of proteccted & managed areas legislative and institutional framework	Fragmented powers and responsibilities for the establishment and management of protected areas	Consolidate and clarify powers and responsibilities	End of 2019
Cook Islands Marine Park Policy	There is no policy support for potential PA financing mechanisms	Policy support for PA financing mechanisms	Completed

There is the Marae Moana Act passed in July, 2017

Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION III: Financial Sustainability Scorecard

Important: Please read the Guidelines posted on the GEF website before entering your data

Part I: Protected Areas System, sub-systems and networks

Part I requires financial data to determine the costs, revenues and financing gaps of the PA system both in the current year and as forecast for the future. It provides a quantitative

Part 1.1 - Basic Information on Country's

Protected Areas System, sub-systems and networks	Number of sites	Terrestrial hectares covered	Marine hectares covered[1]	Total hectares covered	Institution responsible for PA management
National System of PAs					
Cook Islands Marine Park	1	0	109977463	109977463	Office of the Prime Minister
Takitumu Conservation Area	1	155	0	155	Takitumu Conservation Trust
Other Existing Protected Areas (most are temporary or non-operational sites, with the exception of Suwarrow National Park)	26	985	3003.6	3,988.60	Various
Te Mange Te Kou Cloud Forest Reserve (proposed)	1	118	0	118	TBD
Manuae Wildlife Sanctuary / Marine Reserve (proposed)	1	617	400	1017	TBD
Takutea Wildlife Sanctuary / Marine Reserve (proposed)	1	100	85	185	TBD
Mokoero Nui Natural Reserve	1	90	0	90	Atiu
Suwarrow National Park	1	160	0	160	Natl. Env. Service

[1] MPAs should be detailed separately to terrestrial PAs as they tend to be much larger in size and have different cost structures

Note: Exchange rate used is NZ$1 = US$0.85

Part 1.2 - Financial Analysis of the National

Financial Analysis of the Sub-System or Network -[insert name of Sub-System or	July 2013 / June 2014 (US$) [1][2]	July 2017/ June 2018 (US$) [3][4]	Comments Add the source of data and state confidence		
Available Finances[5]					
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues generated for the PA system)	63,750.00	**114,142.86**			
- operational budget (salaries, maintenance, fuel etc)	63,750.00	**114143**	NES Suwarrow budget and		
- infrastructure investment budget (roads,	0.00		Destination development		
(2) Extra budgetary funding for PA management			Specify sources of funds		
- Total of A + B -	663,088.40	87,857.14			
A. Funds channelled through government - total	93,588.40	17,857.14			
- PA dedicated taxes	0.00	0			
- Trust Funds	0.00	0			
- Donor funds	93,588.40	17857.14	CI Tourism funded projects		
- Loans	0.00				

- Debt for nature swaps	0.00				
- Others					
B. Funds channelled through third party/independent institutional arrangements - total	569,500.00	70,000.00			
- Trust Funds					
- Donor funds	569,500.00	70000	Te Ipukarea Society		
- Loans	0.00				
- Others	0.00				
(3) Total annual site based revenue generation across all PAs broken down by source[6]			Indicate total economic value of PAs (if studies available)[7]		
- Total	23,112.61	12,700.00			
A. Tourism entrance fees	6,800.00	5428.57	Takitumu Conservation Area		
B. Other tourism and recreational related	15,300.00	7142.86	Bonefishing fees for Aitutaki.		
C. Income from concessions	0.00	0	Specify type of concession		
D. Payments for ecosystem services (PES)	0.00	0	Provide examples:		
- water	0.00	0			
- carbon	0.00	0			
- biodiversity	0.00	0			
E. Other non-tourism related fees and charges (specify each type of revenue generation mechanism)	1,012.61	128.57			
- scientific research fees	1,012.61	128.57	Total fees is approximately		
- genetic patents	0.00	0			
- pollution charges	0.00	0			
- sale of souvenirs from state run shops	0.00	0			
(4) Percentage of PA generated revenues retained in the PA system for re-	29.42%	25.65%	TCA fees are retained by the TCA administrators and used		
(5) Total finances available to the PA system [line item 1+2.A+2.B]+ [line item 3 * line item 4]	733,638.40	205,257.55			
Available for operations	631,638.40	155,257.55			
Available for infrastructure investment	102,000.00	50000	Best estimate of value of		
Costs and Financing Needs					
(1) Total annual expenditure for PAs (all PA operating and investment costs and system level expenses)[9]	733,638.40	205,257.55	Extraordinary levels of expendure in the 13/14 FY result from 3 sources		
- by government	157,338.40	132,000.00			
- by independent/other channels	576,300.00	73,257.55			
(2) Estimation of PA system financing			Where possible breakdown		
A. Estimated financing needs for *basic* management costs (operational and	435,417.00	555,417.00	Summarize methodology used to make estimate (eg		

- PA central system level operational costs (salaries, office maintenance etc)	235,000.00	235,000.00	$225,000/year for PA staff (2 staff at Marae Moana Office;		
- PA site management operational costs	110,000.00	110,000.00	$40,000/year for 4 part time		
- PA site infrastructure investment costs	0.00	120,000.00	Infrastructure improvements		
- PA system capacity building costs for central and site levels (training, strategy,	90,417.00	90,417.00	$30,000/year for public education and awareness		
B. Estimated financing needs for *optimal* management costs (operational and investments) to be covered	838,334.00	902,500.00	Summarize methodology used to make estimate		
- PA central system level operational costs (salaries, office maintenance etc)	407,500.00	407,500.00	Same as above, but with two additional full-time staff at the		
- PA site management operational costs	150,000.00	175,000.00	Same as above, but with four		
- PA site infrastructure investment costs	100,000.00	120,000.00	Estimated annual costs for		
- PA system capacity building costs for central and site levels (training, strategy,	180,834.00	200,000.00	Same as above, but with double the budget for both		
C. Estimated financial needs to expand the			Existing data on terrestrial		
- basic management costs for new PAs					
- optimal management costs for new PAs					
Annual financing gap (financial needs - available finances)[10]			Where possible breakdown by terrestrial and marine sub-systems		
1. Net actual annual surplus/deficit[11]	0.00	0.00			
2. Annual financing gap for basic management scenarios	-298,221.40	350,159.45			
Operations	-196,221.40	280,159.45			
Infrastructure investment	-102,000.00	70,000.00			
3. Annual financing gap for optimal management scenarios	104,695.60	697,242.45			
Operations	106,695.60	627,242.45			
Infrastructure investment	-2,000.00	70,000.00			
4. Annual financing gap for basic management of an expanded PA system (current network costs plus annual costs of adding more PAs)		410,159.45	Estimated USD60,000 pa needed to add in more PNAs, CCA, and/or raui areas		
5. Projected annual financing gap for basic expenditure scenario in year X+5[12],[13]					
Financial data collection needs					
Specify main data gaps identified from this			Detailed breakdown of		
Specify actions to be taken to fill data			Recommend strengthening of		

[1] The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year eg 2007.
[2] Insert in footnote the local currency and exchange rate to US$ and date of rate (eg US$1=1000 colones, August 2007)

completed and should be inserted (eg
[4] Insert in footnote the local currency and exchange rate to US$ and date of rate
available to PAs, categorized by (i)
[6] This data should be the total for all the PA systems to indicate total revenues. If data is only available for a specific PA system specify which system
[7] Note this will include non monetary values and hence will differ (be greater) than revenues
[8] This includes funds to be shared by PAs with local stakeholders
differs from planned expenditure due to
[10] Financing needs as calculated in (8) minus available financing total in (6)
[11] This will likely be zero but some PAs may have undisbursed funds and some with autonomous budgets may have deficits
direction and pace of the PA system
consideration should be given to upcoming
[14] Actions may include (i) cost data based on site based management plans and extrapolation of site costs across a PA system and (ii) revenue and budget accounts and projections

COOK ISLANDS RIDGE TO REEF - CAPACITY NEEDS ASSESSMENT		
Level: system/organisation/protected area (site)	**System**	
Assessed by (list names & positions)	**Louisa Karika, Liz Munro, Maria Tuoro - NES**	**Jacqui Evans - MMCO**
	Nukutua Pokura, OPSC	**Keith Twyford - consultant**
Date	**17-Jul-19**	

PART II: FINANCIAL SCORECARD - ASSESSING ELEMENTS OF THE FINANCING SYSTEM

Scoring criteria		2014 baseline		2017 MTR		2019 CNA	
Component 1 - Legal, regulatory and institutional frameworks						**Score**	**Comments**
Element 1 - Legal, policy and regulatory support for revenue generation by PAs							
(i) Laws or policies are in place that facilitate PA revenue mechanisms	0: None 1: A few 2: Several 3: Fully	2		2		0	
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	0: None 1: A few 2: Several 3: Fully	1	Legislation in place, not active	1	Legislation in place, not active	0	
Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system							
(i) Laws or policies are in place for PA revenues to be retained by the PA system	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	0	Current practice is all income derived by govt enters the consolidated fund	0	Current practice is all income derived by govt enters the consolidated fund	1	Two sites - TCA & Swarrow
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	0	Specify % to be retained:	0	Specify % to be retained:	1	
(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	0	Specify % to be shared:	0	No laws currently just local agreements	2	TCA - yes
Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)[1]							
(i) A Fund has been established and capitalized to finance the PA system	0: No 1: Established 2: Established with limited capital 3: Established with adequate capital	0		0		0	
(ii) Funds have been created to finance specific PAs	0: No 1: Partially 2: Quite well 3: Fully	1	Private funds for some PAs	1	Private funds for some PAs	1	

(iii) Fund expenditures are integrated with national PA financial planning and accounting	0: No 1: Partially 2: Quite well 3: Fully	0		0		1	
Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to							
(i) There are laws or policies which allow and regulate concessions for PA services	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	
(ii) There are laws or policies which allow and regulate co-management of PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	Co-management with Island Govts
(iii) There are laws or policies which allow and regulate local government management of PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	
(iv) There are laws which allow, promote and regulate private reserves	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		2	
Element 5 -National PA Financing Strategies							
(i) There are policies and/or regulations that exist for the following which should be part of a National PA Finance Strategy:						0	No National PA Finance Strategy hence all sub-elements are 0
- Comprehensive financial data and plans for a standardized and coordinated cost accounting systems (both input and activity based accounting)	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	0		0		0	
- Revenue generation and fee levels across PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel	2	Specify the tariff levels for the Pas: Suwarrow base fee $50 per day per vessel	0	
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	0	List the budget allocation criteria: ad hoc process with steering committee guidance	0	List the budget allocation criteria: ad hoc process with steering committee guidance	0	
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	2		2		0	
- PA management plans to include financial data or associated business plans	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	0		0		0	
(ii) Degree of formulation, adoption and implementation of a national financing strategy[2]	0: Not begun 1: In progress 2: Completed and adopted 3: Under implementation	0		0		0	
Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)							
(i) Economic valuation studies on the contribution of protected areas to local and national development are available	0: None 1: Partial 2: Satisfactory 3: Full	0	Provide summary data from studies:	0	Provide summary data from studies:	1	O'Connor biodiversity valuation report

(ii) PA economic valuation influences government decision makers	0: None 1: Partial 2: Satisfactory 3: Full	0	Specify ministries that have been influenced:	0	Specify ministries that have been influenced:	0	
Element 7 - Improved government budgeting for PA systems							
(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans	0: No 1: Partially 2: Yes	0		0		0	
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA)[3]	0: No 1: Partially 2: Yes	0		0		0	
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates	0: No 1: Partially 2: Yes	0		0		2	
(iv) Government plans to increase budget, over the long term, to reduce the PA financing gap	0: No 1: Partially 2: Yes	0	Assumed from a declining allocation from Govt for PA management	0	Assumed from a declining allocation from Govt for PA management	1	MM Policyh & Act has sust financing goals in it
Element 8 - Clearly defined institutional responsibilities for financial management of PAs							
(i) Mandates of public institutions regarding PA finances are clear and agreed	0: None 1: Partial 2: Improving 3: Full	0		0		1	
Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level							
(i) Central level has sufficient economists and economic planners to improve financial sustainability of the system	0: None 1: Partial 2: Almost there 3: Full	0	State positions and describe roles:	0	State positions and describe roles:	1	
(ii) There is an organizational structure (eg a dedicated unit) with sufficient authority and coordination to properly manage the finances of the PA system	0: None 1: Partial 2: Almost there 3: Full	0		0		1	Functions spread across multiple agencies
(iii) At the regional and PA site level there is sufficient professional capacity to promote financial sustainability at site level	0: None 1: Partial 2: Almost there 3: Full	1	State positions and describe roles:	1	State positions and describe roles:	0	
(iv) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation [4]	0: None 1: Partial 2: Almost there 3: Full	1	Shared responsibility with NES central office	1	Shared responsibility with NES central office	0	Only TCA has a site manager and he doesn't have these responsibilities
(v) Budgetary incentives motivate PA managers to promote site level financial sustainability (eg sites generating revenues do not necessarily experience budget cuts)	0: None 1: Partial 2: Almost there 3: Full	0		0		0	
(vi) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management	0: None 1: Partial 2: Almost there 3: Full	1	Suwarrow Rangers assessed	1	Suwarrow Rangers assessed	0	
(vii) There is capacity within the system for auditing PA finances	0: None 1: Partial 2: Almost there 3: Full	3	National Audit office	3	National Audit office	3	
(viii) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)	0: None 1: Partial 2: Almost there 3: Full	1		1		0	
	Actual score:	**23**		**23**		**24**	

Total Score for Component 1	**Total Possible: 95**	**95**		**95**		**95**	
	% achieved	**24**		**24**		**25**	
Component 2 – Business planning and tools for cost-effective management							
Element 1 – PA site-level management and business planning							
(i) Quality of PA management plans used, (based on conservation objectives, management needs and costs based on cost-effective analysis)	0: Does not exist 1: Poor 2: Decent 3: High quality	1	Limited examples to assess quality, however capacity does exist for quality planning	1	Limited examples to assess quality, however capacity does exist for quality planning	0	
(ii) PA management plans are used at PA sites across the PA system	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0	Specify if management plans are current or out-dated: No PA system in place to assess	0	Specify if management plans are current or out-dated: No PA system in place to assess	1	
(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system[5]	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		1	
(iv) Business plans are implemented across the PA system (degree of implementation measured by achievement of objectives)	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		1	Swarrow only
(v) Business plans for PAs contribute to system level planning and budgeting	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		0	
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	0		0		1	Swarrow only
Element 2 - Operational, transparent and useful accounting and auditing systems							
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system	0: None 1: Partial 2: Near complete 3: Fully completed	3	NES internal procedures and other govt agencies are complete	3	NES internal procedures and other govt agencies are complete	0	
(ii) Revenue tracking systems for each PA in place and operational	0: None 1: Partial 2: Near complete 3: Fully completed	3	For Govt PA sites	3	For Govt PA sites	1	TCA and Swarrow
(iii) There is a system so that the accounting data contributes to system level planning and budgeting	0: None 1: Partial 2: Near complete 3: Fully completed	3	Consider Govt systems	3	Consider Govt systems	0	
Element 3 - Systems for monitoring and reporting on financial management performance							
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders	0: None 1: Partial 2: Near complete 3: Complete and operational	1		1		1	

(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	0: None 1: Partial 2: Near complete 3: Complete and operational	1		1		0	
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	0: None 1: Partial 2: Near complete 3: Complete and operational	2		2		0	
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives	0: None 1: Partial 2: Near complete 3: Complete and operational	0		0		0	
Element 4 - Methods for allocating funds across individual PA sites							
(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)	0: No 1: Yes	1		1		0	
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist	0: No 1: Yes	1		1		0	
Element 5 - Training and support networks to enable PA managers to operate more cost-effectively[6]							
(i) Guidance on cost-effective management developed and being used by PA managers	0: Absent 1: Partially done 2: Almost done 3: Fully	1	Mentoring through senior staff in place, informal training in place	1	Mentoring through senior staff in place, informal training in place	1	
(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(iv) Monitoring and learning systems of cost effectiveness are in place and feed into system management policy and planning	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(v) PA site managers are trained in financial management and cost-effective management	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
(vi) PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters[7]	0: Absent 1: Partially done 2: Almost done 3: Fully	0		0		0	
Total Score for Component 2	**Actual score:**	**17**		**17**		**7**	
	Total Possible: 59	**59**		**59**		**59**	
	% achieved	**29**		**29**		**12**	
Component 3 – Tools for revenue generation by PAs							

Element 1 - Number and variety of revenue sources used across the PA system							
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	0: None 1: Partially 2: A fair amount 3: Optimal	0		0	Underway	1	MM SFM activity
(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system	0: None 1: Partially 2: A fair amount 3: Optimal	1	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms:	1	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms:	1	Mix of govt, donors, private, NGOs
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	0: None 1: Partially 2: A fair amount 3: Optimal	0		0		0	
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs	0: None 1: Partially 2: A fair amount 3: Optimal	2		2	Aitutaki Bonefishing, TCA	0	
Element 2 - Setting and establishment of user fees across the PA system							
(i) A system wide strategy and action plan for user fees is complete and adopted by government	0: None 1: Partially 2: Satisfactory 3: Fully	0	If PA sites have tariffs but there is no system strategy score as partial:	0	If PA sites have tariffs but there is no system strategy score as partial:	0	
(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes	0: None 1: Partially 2: Satisfactory 3: Fully	1		1	CI Tourism direct tourists to PA for tours and promote these. NES supports TCA whenever possible.	1	Swarrow only
(iii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment [8]	0: None 1: Partially 2: Satisfactory 3: Fully	1		1		1	
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives	0: None 1: Partially 2: Satisfactory 3: Fully	1		1		0	
(v) Non tourism user fees are applied and generate additional revenue	0: None 1: Partially 2: Satisfactory 3: Fully	1		1	Aitutaki Bonefishing	1	
Element 3 - Effective fee collection systems							
(i) System wide guidelines for fee collection are complete and approved by PA authorities	0: None 1: Partially 2: Completely 3: Operational	0		0		0	

(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner	0: None 1: Partially 2: Completely 3: Operational	1		1		1	
(iii) Fee collection systems are monitored, evaluated and acted upon	0: None 1: Partially 2: Completely 3: Operational	1		1		1	
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided	0: None 1: Partially 2: Completely	1	No current data on Suwarrow fees	1	No current data on Suwarrow fees	1	
Element 4 - Communication strategies to increase public awareness about the rationale for revenue generation							
(i) Communication campaigns for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	0: None 1: Partially 2: Satisfactory 3: Fully	0		0		0	
(i) Communication campaigns for the public about PA fees are in place at PA site level	0: None 1: Partially 2: Satisfactory 3: Fully	1		1		1	
Element 5 - Operational PES schemes for PAs[9]							
(i) A system wide strategy and action plan for PES is complete and adopted by government	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(ii) Pilot PES schemes at select PA sites developed	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(iii) Operational performance of pilots is monitored, evaluated and reported	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(iv) Scale up of PES across the PA system is underway	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
Element 6 - Concessions operating within PAs[10]							
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(ii) Concession opportunities are operational at pilot PA sites	0: None 1: Partially 2: Progressing 3: Fully	0		0		1	

(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
(iv) Scale up of concessions across the PA system is underway	0: None 1: Partially 2: Progressing 3: Fully	0		0		0	
Element 7 - PA training programmes on revenue generation mechanisms							
(1) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration	0: None 1: Limited 2: Satisfactory 3: Extensive	1		1		1	
Total Score for Component 3	**Actual score:**	**12**		**12**		**11**	
	Total Possible: 71	**71**		**71**		**71**	
	% achieved	**17**		**17**		**15**	

Part III summarizes the total scores and percentages scored by the country in any given year when the exercise is completed. It shows the total possible score and the total actual

PART III- FINANCIAL SCORECARD - SCORING AND MEASURING PROGRESS

		2014 baseline		2017 MTR		2019 CNA	
Total Score for PA System		52		52		42	
Total Possible Score		225		225		225	
Actual score as a percentage of the total possible score		23%		23%		19%	
Percentage scored in previous year or previous time the scorecard was applied [1]		NA		23%		23%	

[1] Insert NA if this is first year of completing scorecard.

Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems
SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.
Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.
1. Datasheets: the data sheet comprises of two separate sections:
ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.
ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.
2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes	Assessment by CNA July 2019	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Maria Tuoro (R2R PC), Jacqui Evans (Marae Moana)		Maria Tuoro (R2R PC), Jacqui Evans (Marae Moana), Louisa Karika (NES), Liz Munro (NES), Keith Twyford	
Date assessment carried out	December 5, 2017	Month DD, YYYY (e.g., May 12, 2010)	July 17, 2019	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Marae Moana - Cook Islands Marine Park		Marae Moana - Cook Islands Marine Park	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	None		None	
Designations(please choose 1-3)	1	Fails to meet criteria for IUCN catorgarization (commercial fishing and mining activities to take place within the boundary of the park)		
Country	Cook Islands		Cook Islands	
Location of protected area (province and if possible map reference)	19°35'S 160°W	All marine environments south of latitude 15°S within the Cook Islands EEZ	19°35'S 160°W	All marine environments south of latitude 15°S within the Cook Islands EEZ
Date of establishment	12th of July, 2017	Marae Moana Act 2017 passed in Parliament	12th of July, 2017	Marae Moana Act 2017 passed in Parliament
Ownership details (please choose 1-4)	1	1: State 2: Private 3: Community 4: Other	1	1: State 2: Private 3: Community 4: Other
Management Authority	TBD		Marae Moana Coordination Office (MMCO)	
Size of protected area (ha)	190,000,000	The entire EEZ of the Cook Islands	190,000,000	The entire EEZ of the Cook Islands
Number of Permanent staff	1		1	
Number of Temporary staff	-		-	
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs	20,000	Office of the Prime Minister	?	Office of the Prime Minister
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs	300,000	R2R project support (NZD)	?	R2R project support (NZD)
What are the main values for which the area is designated	Recognition and maintenance of a wide range of values (including social, cultural, economic, aesthetic and ecological) in making balanced decisions	Representation of NGO's on the Marae Moana Council is an opportunity to provide the peoples voice within the council	Recognition and maintenance of a wide range of values (including social, cultural, economic, aesthetic and ecological) in making balanced decisions	
List the two primary protected area management objectives in below:				
Management objective 1	To promote sustainable multiple use of resources with the CIMP		To promote sustainable multiple use of resources with the CIMP	
Management objective 2	Integrated, community based management		Integrated, community based management	
No. of people involved in completing assessment	-		5	
Including: (please choose 1-8)	6	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other	1	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other

Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).				
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.				
1. Residential and commercial development within a protected area				
Threats from human settlements or other non-agricultural land uses with a substantial footprint				
1.1 Housing and settlement	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area				
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture				
2.1 Annual and perennial non-timber crop cultivation	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
2.4 Marine and freshwater aquaculture	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low Pearl farming, Giant Clams 2: Medium 3: High
3. Energy production and mining within a protected area				
Threats from production of non-biological resources				
3.1 Oil and gas drilling	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
3.2 Mining and quarrying	1	Sea bed mining is in a planning stage, with an exploratory phase to commence within 24 months. Until a management plan for the park is established, and until the affects of the mining activities are better understood, threats on PA values remain difficult to assess.	1	0: N/A 1: Low 2: Medium 3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
4. Transportation and service corridors within a protected area				
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality				
4.1 Roads and railroads (include road-killed animals)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A 1: Low 2: Medium 3: High	2	0: N/A 1: Low 2: Medium 3: High
4.3 Shipping lanes and canals	1	0: N/A 1: Low 2: Medium 3: High	2	0: N/A 1: Low 2: Medium Undersea data/telecomms cable from Samoa; may have impacts crossing inshore reefs 3: High
4.4 Flight paths	1	Could possibly have an impact on sea birds nesting	1	0: N/A 1: Low 2: Medium 3: High
5. Biological resource use and harm within a protected area				
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)				

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
5.3 Logging and wood harvesting	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
5.4 Fishing, killing and harvesting aquatic resources	3	0: N/A 1: Low 2: Medium 3: High	3	0: N/A 1: Low 2: Medium 3: High
6. Human intrusions and disturbance within a protected area				
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources				
6.1 Recreational activities and tourism	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
6.2 War, civil unrest and military exercises	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
6.3 Research, education and other work-related activities in protected areas	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
7. Natural system modifications				
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions				
7.1 Fire and fire suppression (including arson)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
7.3a Increased fragmentation within protected area	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	The park is a large scale continuious area	0	0: N/A 1: Low 2: Medium 3: High
7.3c Other 'edge effects' on park values	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	2	0: N/A 1: Low 2: Medium 3: High	2	0: N/A 1: Low 2: Medium 3: High
8. Invasive and other problematic species and genes				
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase				
8.1 Invasive non-native/alien plants (weeds)	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
8.1a Invasive non-native/alien animals	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High

8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
9. Pollution entering or generated within protected area				
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources				
9.1 Household sewage and urban waste water	3	Particularly in specific coastal environments	3	0: N/A 1: Low 2: Medium 3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	2	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
9.4 Garbage and solid waste	1	0: N/A 1: Low 2: Medium 3: High	2	0: N/A 1: Low 2: Medium Especially marine plastics & debris from other countries 3: High
9.5 Air-borne pollutants	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low Coastal lights & nesting turtle impacts 2: Medium 3: High
10. Geological events				
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.				
10.1 Volcanoes	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
10.2 Earthquakes/Tsunamis	1	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
10.3 Avalanches/ Landslides	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
11. Climate change and severe weather				
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation				
11.1 Habitat shifting and alteration	1	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
11.2 Droughts	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High
11.3 Temperature extremes	0	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
11.4 Storms and flooding	0	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low 2: Medium 3: High
12. Specific cultural and social threats				
12.1 Loss of cultural links, traditional knowledge and/or management practices	3	0: N/A 1: Low 2: Medium 3: High	3	0: N/A 1: Low 2: Medium 3: High

12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High	1	0: N/A 1: Low Fish traps 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High	0	0: N/A 1: Low 2: Medium 3: High

Assessment Form				
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	1	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Marae Moana Park Policy endorsed by Cabinet in May 2016			
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	1	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	1	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	The space covered by the CIMP includes lands and waters already under regluatory control of other government authorities and Acts of			
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	1	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations 1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support) 2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain 3: The staff have excellent capacity/resources to enforce protected area legislation and regulations	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations 1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support) 2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain 3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Capacity Needs Assessment to be conducted in 2017			
4. Protected area objectives: Is management undertaken according to agreed objectives?	1	0: No firm objectives have been agreed for the protected area 1: The protected area has agreed objectives, but is not managed according to these objectives 2: The protected area has agreed objectives, but is only partially managed according to these objectives 3: The protected area has agreed objectives and is managed to meet these objectives	2	0: No firm objectives have been agreed for the protected area 1: The protected area has agreed objectives, but is not managed according to these objectives 2: The protected area has agreed objectives, but is only partially managed according to these objectives 3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps				
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult 1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management) 2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes) 3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc	2	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult 1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management) 2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes) Marae Moana could encompass islands as well to maximise design 3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps	Because the entire EEZ is now covered, this can be considered for			
6. Protected area boundary demarcation: Is the boundary known and demarcated?	3	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users 1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users 2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated 3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated		0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users 1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users 2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated 3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps	Now that Marae Moana Act has passed, the challenge is to now			
7. Management plan: Is there a management plan and is it being implemented?	0	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented	2	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems MM Action Plan 3: A management plan exists and is being implemented
Comments and Next Steps	This is now one of the key priorities of the Marae Moana going forward			
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes	1	0: No 1: Yes

Comments and Next Steps				
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	0	0: No 1: Yes	1	0: No 1: Yes
Comments and Next Steps	Dependent on outcomes of Marae Moana Council meeting			
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0	0: No 1: Yes	0	0: No 1: Yes
Comments and Next Steps				
8. Regular work plan: Is there a regular work plan and is it being implemented	0	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented	2	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	There is a workplan for the establishment for the PA, but no regular workplan for once the PA is			
9. Resource inventory: Do you have enough information to manage the area?	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps	This will be a work in progress, over a few years still			
10. Protection systems: Are systems in place to control access/resource use in the protected area?	0	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use 1: Protection systems are only partially effective in controlling access/resource use 2: Protection systems are moderately effective in controlling access/resource use 3: Protection systems are largely or wholly effective in controlling access/ resource use	1	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use 1: Protection systems are only partially effective in controlling access/resource use 2: Protection systems are moderately effective in controlling access/resource use 3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	These systems are forth coming as the Marae Moana is still in			
11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area 1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management 2: There is considerable survey and research work but it is not directed towards the needs of protected area management 3:There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	1	0: There is no survey or research work taking place in the protected area 1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management 2: There is considerable survey and research work but it is not directed towards the needs of protected area management 3:There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps				
12. Resource management: Is active resource management being undertaken?	1	0: Active resource management is not being undertaken 1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented 2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed 3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented	1	0: Active resource management is not being undertaken 1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented 2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed 3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps				
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff 1: Staff numbers are inadequate for critical management activities 2: Staff numbers are below optimum level for critical management activities 3: Staff numbers are adequate for the management needs of the protected area	1	0: There are no staff 1: Staff numbers are inadequate for critical management activities 2: Staff numbers are below optimum level for critical management activities 3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Required staffing levels have not yet been established			
14. Staff training: Are staff adequately trained to fulfill management objectives?	1	0: Staff lack the skills needed for protected area management 1: Staff training and skills are low relative to the needs of the protected area 2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management 3: Staff training and skills are aligned with the management needs of the protected area	1	0: Staff lack the skills needed for protected area management 1: Staff training and skills are low relative to the needs of the protected area 2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management 3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps				
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area 1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage 2: The available budget is acceptable but could be further improved to fully achieve effective management 3: The available budget is sufficient and meets the full management needs of the protected area	1	0: There is no budget for management of the protected area 1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage 2: The available budget is acceptable but could be further improved to fully achieve effective management 3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps				
16. Security of budget: Is the budget secure?	0	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding 1: There is very little secure budget and the protected area could not function adequately without outside funding 2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding 3: There is a secure budget for the protected area and its management needs	1	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding 1: There is very little secure budget and the protected area could not function adequately without outside funding 2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding 3: There is a secure budget for the protected area and its management needs
Comments and Next Steps				
17. Management of budget: Is the budget managed to meet critical management needs?	1	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year) 1: Budget management is poor and constrains effectiveness 2: Budget management is adequate but could be improved 3: Budget management is excellent and meets management needs	0	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year) 1: Budget management is poor and constrains effectiveness 2: Budget management is adequate but could be improved 3: Budget management is excellent and meets management needs

Comments and Next Steps	It is understandable to have the budget be poor with constraints as it is an important area that needs			
18. Equipment: Is equipment sufficient for management needs?	1	0: There are little or no equipment and facilities for management needs 1: There are some equipment and facilities but these are inadequate for most management needs 2: There are equipment and facilities, but still some gaps that constrain management 3: There are adequate equipment and facilities	1	0: There are little or no equipment and facilities for management needs 1: There are some equipment and facilities but these are inadequate for most management needs 2: There are equipment and facilities, but still some gaps that constrain management 3: There are adequate equipment and facilities
Comments and Next Steps				
19. Maintenance of equipment: Is equipment adequately maintained?	1	0: There is little or no maintenance of equipment and facilities 1: There is some ad hoc maintenance of equipment and facilities 2: There is basic maintenance of equipment and facilities 3: Equipment and facilities are well maintained	1	0: There is little or no maintenance of equipment and facilities 1: There is some ad hoc maintenance of equipment and facilities 2: There is basic maintenance of equipment and facilities 3: Equipment and facilities are well maintained
Comments and Next Steps				
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	1	0: There is no education and awareness programme 1: There is a limited and ad hoc education and awareness programme 2: There is an education and awareness programme but it only partly meets needs and could be improved 3: There is an appropriate and fully implemented education and awareness programme	2	0: There is no education and awareness programme 1: There is a limited and ad hoc education and awareness programme 2: There is an education and awareness programme but it only partly meets needs and could be improved 3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps	Effective community education has taken place, but is sporadic and related to advocacy for the PA			
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area 1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area 2: Adjacent land and water use planning partially takes into account the long term needs of the protected area 3: Adjacent land and water use planning fully takes into account the long term needs of the protected area	0	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area 1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area 2: Adjacent land and water use planning partially takes into account the long term needs of the protected area 3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps	This would be a 0.5. Adjacent land uses are detrimental in some key coastal areas, but not for the entire			
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes	0	0: No 1: Yes
Comments and Next Steps				
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes	0	0: No 1: Yes
Comments and Next Steps				
21c. Land and water planning for habitat conservation: "Planning adresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes	0	0: No 1: Yes
Comments and Next Steps				
22. State and commercial neighbours:Is there co-operation with adjacent land and water users?	1	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management	2	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps				
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps				
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	1	0: Local communities have no input into decisions relating to the management of the protected area 1: Local communities have some input into discussions relating to management but no direct role in management 2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management	2	0: Local communities have no input into decisions relating to the management of the protected area 1: Local communities have some input into discussions relating to management but no direct role in management 2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	Extensive consultations have been conducted by traditional leaders			
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	0	0: No 1: Yes	1	0: No 1: Yes
Comments and Next Steps				
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	0	0: No 1: Yes	0	0: No 1: Yes
Comments and Next Steps				
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	0	0: No 1: Yes	1	0: No 1: Yes
Comments and Next Steps				

25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	0	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognised and plans to realise these are being developed 2: There is some flow of economic benefits to local communities 3: There is a major flow of economic benefits to local communities from activities associated with the protected area	1	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognised and plans to realise these are being developed 2: There is some flow of economic benefits to local communities 3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps				
26. Monitoring and evaluation: Are management activities monitored against performance?	0	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management	1	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps				
27. Visitor facilities: Are visitor facilities adequate?	2	0: There are no visitor facilities and services despite an identified need 1: Visitor facilities and services are inappropriate for current levels of visitation 2: Visitor facilities and services are adequate for current levels of visitation but could be improved 3: Visitor facilities and services are excellent for current levels of visitation	2	0: There are no visitor facilities and services despite an identified need 1: Visitor facilities and services are inappropriate for current levels of visitation 2: Visitor facilities and services are adequate for current levels of visitation but could be improved 3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps	Based on an assessment of tourism infrastructure in our coastal			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	1	0: There is little or no contact between managers and tourism operators using the protected area 1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters 2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values 3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	1	0: There is little or no contact between managers and tourism operators using the protected area 1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters 2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values 3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps				
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs	0	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps	There are no fees in place			
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	1	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact	2	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps	Overfishing in the pelagic and coastal zones are leaving			
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	0	0: No 1: Yes	0	0: No 1: Yes
Comments and Next Steps				
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes	1	0: No 1: Yes
Comments and Next Steps	Awaiting outcome of Marae Moana Council meeting			
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	0	0: No 1: Yes	1	0: No 1: Yes
Comments and Next Steps	Awaiting implementation of a management plan			
TOTAL SCORE	35	**Pls add up numbers from assessment form (questions 1 to 30)**	46	**Pls add up numbers from assessment form (questions 1 to 30)**

Annex 8.
Capacity development scorecard results for all R2R agencies

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: organisation	**NES**		
Assessed by (list names & positions)	**Louisa Karika, Liz Munro, Maria Tuoro - NES**		
Date	**16-Jul-19**		
Capacity Result / Indicator	**Staged Indicators**	**Score (Rating 0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		NES Act 2003; all agencies are identified & recognised through legislation but there are overlaps, unclear responsibilities in some places or gaps where noone is managing.
	Organizational responsibilities for environmental management are identified (1)		
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)	2	
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)		
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		Good rapport with partners
	Some co-management mechanisms are in place and operational (1)	1	
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)		
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		Membership on NBSC and MMTAG
	Stakeholders are identified but their participation in decision-making is limited (1)		
	Stakeholders are identified and regular consultations mechanisms are established (2)	2	
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)		
Sub-total		**5**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		Climate Change Office, MMCO, NSDC membership; but somewhat score 2 - awareness is there but not all know how to participate
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)		
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)		
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)	3	
	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		Platforms like Inform will help provide guidance; govt network &
	Environmental information needs are identified but the information management infrastructure is inadequate (1)		

Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)	2	Platforms like Inform will help provide guidance; govt network & databases are fragmented and agencies are wary of sharing information
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		Many communications from many partners; environment part of primary school curriculum; biodoversity has been somewhat integrtaed through teacher rainiang but only some teachers and only biodiversity (other enviro topics missing)
	Environmental education programmes are partially developed and partially delivered (1)		
	Environmental education programmes are fully developed but partially delivered (2)	2	
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)		Formal links need to be completed; no clear pathway whered research needs can be articulated & actively promoted for support.
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)	1	
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		Traditional leaders provide insight as part of environmental committees eg. NBSC, NES Authority
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)		
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)	2	
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**10**	
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)		Coordination overall needs to be strenghtened; NESA & NBSAP need to be reviewed and endorsed. Capacity exists to develop national and sector plans and strategies but implementation is always the issue.
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)		
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)	2	
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		Review is currently underway, although room to do more. Legislation/policy exists butg overlapping mandates, gaps, areas left out, loopholes, new emerging issues; enforcement & compliance is an issue.
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)	1	
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)		

	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		Information exists however the mechanism to use this for decision making is sometimes lacking.
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)	1	
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
Sub-total		**4**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)		Funding sources are not guaranteed.
	Resource requirements are known but are not being addressed (1)	1	
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)		
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)		Like most TA and skills transfer, there needs more funding to do this
	Required skill and technology needs are identified as well as their sources (1)		
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)	2	
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
Sub-total		**3**	
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)		
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)	1	
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)		
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)	0	
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)		
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)		
	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		

Sub-total		**1**	
Total		**23**	
%		**51**	

CR 1: Capacities for engagement			5
CR 2: Capacities to generate, access and use information and knowledge			10
CR 3: Capacities for strategy, policy and legislation development			4
CR 4: Capacities for management and implementation			3
CR 5: Capacities to monitor and evaluate			1
Total			23
%			51

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: organisation	**National Environment Service (NES)**		
Assessed by (list names & positions)	**Joseph Brider (Cook Islands Natural Heritage Trust)**		
Date	**22-Jul-18**		
Capacity Result / Indicator	**Scoring criteria (score in brackets)**	**Score (0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0) Organizational responsibilities for environmental management are identified (1) Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2) Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)	2	Authority and mandate established in the Environment Act 2003, however the implemetation framework across partners in government and society is fragmented or absent. Jurisdictional overlaps with partners in government complicates implementation. National Biodiversity Steering committee established to coordinate biodiversity effort across partners but yet effective at this task.
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0) Some co-management mechanisms are in place and operational (1) Some co-management mechanisms are formally established through agreements, MOUs, etc. (2) Comprehensive co-management mechanisms are formally established and are operational/functional (3)	1	Very few co-management structure are in place, those that are e.g. Takuva'ine Water Catchment Regulations 2006, Environment (Ātiu and Takūtea) Regulations 2008, are substantially under-resourced and almost non-existent in terms of implementation
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0) Stakeholders are identified but their participation in decision-making is limited (1) Stakeholders are identified and regular consultations mechanisms are established (2) Stakeholders are identified and they actively contribute to established participative decision-making processes (3)	1	Stakeholder participation is intermittent and project-bound i.e. when a project concludes, so does the participation. The National Biodiversity Steering committee provides a regular platform for stakeholder participation in decision-making however the level of engagement limited to shallow inquiry and more-so information-sharing
Sub-total		**4**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0) Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1) Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2) Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)	1	Stakeholders are aware of some issues, but not the possible solutions, and do not see linkage with the MEAs. Stakeholders typically expect government to deliver solutions for the enjoyment of non-government stakeholders
	Environmental information needs are not identified and the information management infrastructure is inadequate (0) Environmental information needs are identified but the information management infrastructure is inadequate (1)		NES undertakes very little research (but does collect some environmentally relevant data) and has invested little in developing a research agenda, instead focusing on compiling external data into

Capacity Result / Indicator	Scoring criteria (score in brackets)	Score (0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)	1	reports for dissemination. The INFORM portal is intended to be a platform for the storage and dissemination of environmental data but will struggle to perform without stakeholder data contributions. NES maintains a website, social media page and clearinghouse mechanism for Biodiversity is under development but will need data to remain relevant to stakeholders
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)	1	NES has a fairly well developed education and awareness programme which extends to schools, community groups and the broader community via social media. There is still a need for education and awareness to be integrated into the education curriculum. Of the programmes that NES does run, there is very little to measure the effectiveness of these programmes and whether these programmes are delivering an educational need. Stakeholder expectation of NES education and awareness programmes are low, instead, especially with schools, utilising NES to keep school children occupied during the last week of each school term with
	Environmental education programmes are partially developed and partially delivered (1)		
	Environmental education programmes are fully developed but partially delivered (2)		
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)	0	NES undertakes very little research (but does collect some environmentally relevant data), that which is has not been utilised to inform policy e.g. CITES export report, building permit database records, coconut crab surveys, P3D modelling, invasive species surveys, rat control programmes on Suwarrow, land use and wetland surveys, asbestos removal. There is uncertainty as to what the capacity challenge is, whether it is a time constraint requiring a reprioritisation, an inability to understand how to carry research through to policy or perception that research alone is sufficient?
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)		
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)	2	NES undertakes effort to integrate traditional knowledge into decision-making and includes traditional leaders on its decision-making boards. NES is sometimes challenged by the variation of knowledge between islands and how to integrate those difference into a national system of management
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)		
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)		
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**5**	

Capacity Result / Indicator	Scoring criteria (score in brackets)	Score (0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0) The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1) Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2) The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)	1	Strategic planning is currently driven by the Cook Islands National Sustaianble Development Plan, an attempt was made to update the National Environment Strategic Action Framework but was not completed and has remained dormant since. Thematic areas have their own thematic plans e.g. NBSAP, JNAP, SLM NAP and activities are loosely linked to these priorities.
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0) Some relevant environmental policies and laws exist but few are implemented and enforced (1) Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2) Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)	1	The Environment Act was established in 2003 and is only somewhat relevant to the issues of today, requiring a revision which is being undertaken currently. The Act does require Regulations, which are, for the most part absent. Thematic action plans function loosely as policy for NES or policy guidance is provided through other policies developed by partner agencies. Enforcement is a substantial challenge on a small island, which is further compounded by the absence of Regulations to provide a clearer legislative landscape.
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0) Some environmental information exists but it is not sufficient to support environmental decision-making processes (1) Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2) Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)	1	High-level decisions of NES are made by its Boards (IEA, NBSC), although some information is provided, decisions are mainly guided by political or social agendas, especially given that NES Boards have a large politically-based membership. There still remains a disconnect between national sustainable development plans and directions and community grass-root aspirations and desires e.g. national development seeks to build tourism whereas some communities are objecting to the social pressures that result from increasing tourism
Sub-total		**3**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0) Resource requirements are known but are not being addressed (1) Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2) Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)	2	It is only in this current financial year that NES has received a substantial budget increase from Government which should be applauded. The Global Environment Facility still remains the largest funded of environmental activities in the Cook Islands. NES and the Cook Islands, as a whole, are challenged with expending resources within a set timeframe due to various constraints e.g. recruitment, capacity to implement. due to this dependence on donor funds, the implementation framework is subject to donor and global community agendas which may not nessasarily reflect the national
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0) Required skill and technology needs are identified as well as their sources (1) Required skills and technologies are obtained but their access depend on foreign/donor sources (2) Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)	1	Technically skilled personel are scarce and work-stretched, those who are competent are often given additional responsibilities, often outside of their technical competence, which diminshes their ability to deliver effectively. Technology transfer is also a challenge as often there is a not a relative competent person to transfer the knowledge to or if there is, that transfer is on top of an existing workload. Often skills and technology are developed through projects, which run the risk of project staff taking the built capacity with them when the project closes and another similar project has
Sub-total		**3**	

Capacity Result / Indicator	Scoring criteria (score in brackets)	Score (0-3)	Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0) An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1) Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2) Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)	1	Financial monitoring appears adequate and integrated across government and partners. Activity monitoring is somewhat less, often aiming to monitor activity completion more so than activity effectiveness or relevance
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0) An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1) Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2) Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)	1	The evaluation process is adequate, however I believe some of the responses should have been triggered earlier in the project. Attempts are made to realign effort once concerns have been clearly identified and a proposed course of action has been determined. Unfortunately a lot of this as dependent on the implementing agency identifying that an action or proposed course of action is a concern
Sub-total		**2**	
Total		**17**	
%		**38**	

CR 1: Capacities for engagement			4
CR 2: Capacities to generate, access and use information and knowledge			5
CR 3: Capacities for strategy, policy and legislation development			3
CR 4: Capacities for management and implementation			3
CR 5: Capacities to monitor and evaluate			2
Total			17
%			38

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: organisation	**CI Tourism Coorporation**		
Assessed by (list names & positions)	**Sienni**		
Date	**17th July 2019**		
Capacity Result / Indicator	**Staged Indicators**	**Score (Rating 0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		
	Organizational responsibilities for environmental management are identified (1)		
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)	2	
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)		
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		
	Some co-management mechanisms are in place and operational (1)	1	
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)		
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		
	Stakeholders are identified but their participation in decision-making is limited (1)		
	Stakeholders are identified and regular consultations mechanisms are established (2)	2	
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)		
Sub-total		**5**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)		
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)	2	
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)		
	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		
	Environmental information needs are identified but the information management infrastructure is inadequate (1)		

Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)	2	
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		
	Environmental education programmes are partially developed and partially delivered (1)		
	Environmental education programmes are fully developed but partially delivered (2)	2	
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)		
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)	1	
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)		
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)	2	
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**9**	
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)		
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)		
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)	2	
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)		
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)	2	

	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)	1	
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
Sub-total		**5**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)		
	Resource requirements are known but are not being addressed (1)		
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)	2	
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)		
	Required skill and technology needs are identified as well as their sources (1)		
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)	2	
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
Sub-total		**4**	
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)		
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)		
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)	2	
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)		
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)		
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)	2	
	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		

Sub-total		**4**	
Total		**27**	
%		**60**	

CR 1: Capacities for engagement			5
CR 2: Capacities to generate, access and use information and knowledge			9
CR 3: Capacities for strategy, policy and legislation development			5
CR 4: Capacities for management and implementation			4
CR 5: Capacities to monitor and evaluate			4
Total			27
%			60

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: system/organisation/protected area (site)	Marae Moana (entire ocean territory)		
Assessed by (list names & positions)	Jacqueline Evans, Director, Marae Moana Coordination Office		
Date	16th July 2019		
Capacity Result / Indicator	**Staged Indicators**	**Score (Rating 0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		The Marae Moana Action Plan identifies organisational responsibilities for environmental management for each of the government agencies and NGOs involved in implementing the Action Plan. The authority and legitimacy of the Marae Moana Council and Technical Advisory Group has been questioned by the Crown Law Office (see Legal Opinions on the MM TAG).
	Organizational responsibilities for environmental management are identified (1)		
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)	2	
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)		
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		The Marae Moana TAG and Council have been established in that membership is confirmed and rules and procedures finalised. They are also meeting (4 meetings of Council to date and 8 meetings of the TAG). However, true integration of policy concerning Marae Moana is not yet happening. Ministers and Ministries are continuing to make high level policy decisions without adequate consideration of the role of Marae Moana institutions. This role needed clarification but this has been done through a legal opinion from the Crown Law Office which totally misunderstood the integrated management purpose of the Marae Moana Act.
	Some co-management mechanisms are in place and operational (1)	1	
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)		
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		Stakeholders are identified and their representatives are participating in decision-making but the consultation between representatives and their organisations is limited. Also, due to the way in which other agencies work without consideration or involvement of Marae Moana institutions, the decision-making powers of the Council and TAG are enormously limited.
	Stakeholders are identified but their participation in decision-making is limited (1)	1	
	Stakeholders are identified and regular consultations mechanisms are established (2)		
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)		
Sub-total		**4**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		Staekholders are aware of global environmental issues to a degree, but more awareness from particular groups is needed. Also solutions are not well understood. For example the use of marine spatial planning as a tool for better ocean management.
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)	1	
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)		
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)		
	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		

Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information needs are identified but the information management infrastructure is inadequate (1)	1	The INFORM database (Cook Islands Environmental data database) is a good start by the National Environment Service and SPREP with regards to acting as a clearing house for Cook Islands environmental information. There is a need to manage our spatial data on a portal that allows the public to gain access to public domain spatial data.
	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)		
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		The best environmental education programme occurring at present is the programme by Korero O Te Orau, a local environmental NGO. The information being taught is not known in detail but the instructors are well informed about Cook Islands environmental issues and solutions. The programme is not expanded across all schools. Lagoon Day was another good way to education students about the environment. Maritime Cook Islands has taken on the role of coordinating similar events.
	Environmental education programmes are partially developed and partially delivered (1)	1	
	Environmental education programmes are fully developed but partially delivered (2)		
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)	0	There currently isn't a venue for presenting research to enable improved policy development. Research has only recently been given emphasis as a result of the R2R project, particularly with respect to the two science advisors at the Ministry of Marine Resources. This research needs to continue and should be used to inform traditional leaders, the TAG and Council.
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)		
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		Traditional knowledge is recognised but the communication with traditioal knowledge holders is bottle-necked through the House of Ariki and information does not flow well through this formal avenue to traditional leaders responsible for locally managed marine areas.
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)	1	
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)		
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**4**	
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)	0	The Marae Moana Action Plan is an attempt to have an environmental planning process in place but the action plan needs to become more of a strategy rather than a list of actions that agencies are doing to help achieve Marae Moana objectives. There needs to be more pro-activeness in multi-agency strategic planning. The Action Plan is also generally ignored.
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)		
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)		
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		The environmental policies and laws exist but they could be amended to give the Environment Service and MM Council, TAC
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)	1	

environmental policy and regulatory frameworks	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)		amended to give the Environment Service and MM Council, TAG and MMCO more power over other government agencies
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		Environmental information that exists includes some information on the spatial extent of important ecosystems and species on Rarotonga, catch rates of tuna (and location of catch) in the Cook Islands EEZ, some lagoon and stream water quality data for Rarotonga, Aitutaki and (for lagoon only) Manihiki, some groundwater quality data (although this isn't available to most), presence/absence of species on islands and in the ocean, soil maps, climate data (rainfall, temperature, wind direction), septic tank data for Muri village (not easily accessible or available), wastewater data for Tepuka-Tereora in Nikao, coral reef survey data for southern islands, some artisanal tuna catch data.
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)	1	
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
Sub-total		**2**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)	0	Environmental NGOs don't have adequate resources to strengthen their programmes. Te Ipukarea Society has previously done a capacity self-assessment using Darwin Initiative funding. Government agencies don't have sufficient human resources to carry out their mandates. Competency assessments are needed.
	Resource requirements are known but are not being addressed (1)		
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)		
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)	0	With respect to environmental management, heavy emphasis must be placed on technical skills and
	Required skill and technology needs are identified as well as their sources (1)		
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)		
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
Sub-total		**0**	
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)		Marae Moana is being monitored in two ways - 1. formally - agency reports to the MMCO, Marae Moana Annual Report, and Marae Moana Outlook Report (all are required under the Act), and informally through the Marae Moana TAG and Council meetings. MMCO must also report to the Public Service Commission annually. To date, only two of four agencies have provided an agency report to MMCO. The first Annual Report (2017/2018) has been completed. Ridge to Reef project reports are additional monitoring tools. These are required quarterly.
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)	1	
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)		
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)	0	There is no "evaluation plan" document so this would make the score for this indicator low.
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)		
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)		

	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		
Sub-total		**1**	
Total		**11**	
%		**24**	

CR 1: Capacities for engagement			4
CR 2: Capacities to generate, access and use information and knowledge			4
CR 3: Capacities for strategy, policy and legislation development			2
CR 4: Capacities for management and implementation			0
CR 5: Capacities to monitor and evaluate			1
Total			11
%			24

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: system/organisation/protected area (site)	**MMR**		
Assessed by (list names & positions			
Date			
Capacity Result / Indicator	**Staged Indicators**	**Score (Rating 0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		
	Organizational responsibilities for environmental management are identified (1)		
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)	2	
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)		
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		Some bylaws have been established and we consider this formallly established co-management
	Some co-management mechanisms are in place and operational (1)		
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)	2	
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		Consultation are frequently held however public decsion-making is limited
	Stakeholders are identified but their participation in decision-making is limited (1)	1	
	Stakeholders are identified and regular consultations mechanisms are established (2)		
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)		
Sub-total		**5**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		Generally some of the stakehoders are aware of the global environmental issues but some choose not to do something.
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)	1	
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)		
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)		
	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		

Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information needs are identified but the information management infrastructure is inadequate (1)		
	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)	2	
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		
	Environmental education programmes are partially developed and partially delivered (1)	1	
	Environmental education programmes are fully developed but partially delivered (2)		
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)		
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)		
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)	2	
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)		The question is not entirely applicable - we would refer to as different to each island decisdion process.
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)	2	
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**8**	
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)		
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)	1	
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)		
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate environmental policy and regulatory	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)	1	Some environmental policy exist but generally considered

environmental policy and regulatory frameworks	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)		insufficient
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)	1	
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
Sub-total		**3**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)		
	Resource requirements are known but are not being addressed (1)		
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)	2	
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)		
	Required skill and technology needs are identified as well as their sources (1)		
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)	2	
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
Sub-total		**4**	
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)	0	
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)		
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)		
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)		
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)		
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)	2	
	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		

Sub-total		**2**	

Total **22**
% **49**

CR 1: Capacities for engagement			5
CR 2: Capacities to generate, access and use information and knowledge			8
CR 3: Capacities for strategy, policy and legislation development			3
CR 4: Capacities for management and implementation			4
CR 5: Capacities to monitor and evaluate			2
Total			22
%			49

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: system/organisation/protected area (site)	**NES R2R Project**		
Assessed by (list names & positions)	**Sanjinita Sunish**	Corporate Services Manager- Ministry of Agriculture	
Date	**14/07/19**		

Capacity Result / Indicator	**Staged Indicators**	**Score (Rating 0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		
	Organizational responsibilities for environmental management are identified (1)		
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)		
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)	3	
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		
	Some co-management mechanisms are in place and operational (1)		The Management mechanism are normally as per the MOU or the agreement established by the Donors. However, certain staff are knowledgeable of the mechanisms.
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)	2	
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		
	Stakeholders are identified but their participation in decision-making is limited (1)		Although the stakeholders are involving in the decision making but most of the times the decision is being overruled by the Project staff without clear justification/reasoning behind the decision being made.
	Stakeholders are identified and regular consultations mechanisms are established (2)		
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)	3	
Sub-total		**8**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)		
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)	2	
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)		
	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		
	Environmental information needs are identified but the information management infrastructure is inadequate (1)		

Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)	2	
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		
	Environmental education programmes are partially developed and partially delivered (1)		
	Environmental education programmes are fully developed but partially delivered (2)	2	
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)		
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)	1	NES I think at this stage are developing the policy and legislation for environment which is yet to be passed by the Cabinet.
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)		
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)	2	
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**9**	
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)		
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)		
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)	2	
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)	1	NES I think at this stage are developing the policy and legislation for environment which is yet to be passed by the Cabinet.
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)		

	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		The environment information is available but NES needs to consolidate all the information together in order to improve decision making process. Staff need to also have open mind and have faith in the statistically data available and not assume themselves.
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)	1	
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
Sub-total		**4**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)		
	Resource requirements are known but are not being addressed (1)		
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)		
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)	0	NES needs capabilities in terms of staff who have technical and project administration/financial perspective.
	Required skill and technology needs are identified as well as their sources (1)		
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)		
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
Sub-total		**0**	
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)		More frequent monitoring of the project needs to be conducted rather than waiting on quarterly basis.
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)		
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)	2	
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)		The evaluation of the project is done on quarterly basis. NES needs to be meet maybe once in 2 months to get updates on the respective agencies on the project status/progress.
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)	1	
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)		
	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		

Sub-total		**3**	
Total		**24**	
%		**53**	

CR 1: Capacities for engagement			8
CR 2: Capacities to generate, access and use information and knowledge			9
CR 3: Capacities for strategy, policy and legislation development			4
CR 4: Capacities for management and implementation			0
CR 5: Capacities to monitor and evaluate			3
Total			24
%			53

COOK ISLANDS RIDGE TO REEF - CAPACITY DEVELOPMENT SCORECARD			
Level: system/organisation/protected area (site)	**System**		
Assessed by (list names & positions)	**Louisa Karika, Liz Munro, Maria Tuoro - NES**	**Jacqui Evans - MMCO**	
	Nukutua Pokura, OPSC	**Keith Twyford - consultant**	
Date	**17-Jul-19**		
Capacity Result / Indicator	**Staged Indicators**	**Score (Rating 0-3)**	**Comments - provide specific examples & evidence to support scores; for low scores, list issues & problems**
CR 1: Capacities for engagement			
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined (0)		
	Organizational responsibilities for environmental management are identified (1)	1	
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders (2)		
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders (3)		
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place (0)		
	Some co-management mechanisms are in place and operational (1)	1	
	Some co-management mechanisms are formally established through agreements, MOUs, etc. (2)		
	Comprehensive co-management mechanisms are formally established and are operational/functional (3)		
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor (0)		
	Stakeholders are identified but their participation in decision-making is limited (1)	1	
	Stakeholders are identified and regular consultations mechanisms are established (2)		
	Stakeholders are identified and they actively contribute to established participative decision-making processes (3)		
Sub-total		**3**	
CR 2: Capacities to generate, access and use information and knowledge			
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs) (0)		
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs) (1)		
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate (2)	2	
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions (3)		
	Environmental information needs are not identified and the information management infrastructure is inadequate (0)		
	Environmental information needs are identified but the information management infrastructure is inadequate (1)		

Indicator 5 – Access and sharing of environmental information by stakeholders	Environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited (2)	2	Spatial data - just starting to consolidate; enviro/biodiversity database in place
	Comprehensive environmental information is available and shared through an adequate information management infrastructure (3)		
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place (0)		
	Environmental education programmes are partially developed and partially delivered (1)		
	Environmental education programmes are fully developed but partially delivered (2)	2	
	Comprehensive environmental education programmes exist and are being delivered (3)		
Indicator 7 – Extent of the linkage between environmental research/science and policy development	No links exist between environmental policy development and science/research strategies and programmes (0)	0	
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes (1)		
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs (2)		
	Relevant research results are available for environmental policy development (3)		
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes (0)		
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes (1)	1	
	Traditional knowledge is collected but is not used systematically in relevant participative decision-making processes (2)		
	Traditional knowledge is collected, used and shared for effective participative decision-making processes (3)		
Sub-total		**7**	
CR 3: Capacities for strategy, policy and legislation development			
Indicator 9 – Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies (0)		
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but these are not implemented/used (1)		
	Adequate environmental plans and strategies are produced but these are only partially implemented because of funding constraints and/or other problems (2)	2	
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations, and produces the required environmental plans and strategies which are being implemented (3)		
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment (0)		
	Some relevant environmental policies and laws exist but few are implemented and enforced (1)		
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them (2)	2	

	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and it functions (3)		
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking (0)		
	Some environmental information exists but it is not sufficient to support environmental decision-making processes (1)	1	
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly (2)		
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions (3)		
Sub-total		**5**	
CR 4: Capacities for management and implementation			
Indicator 12 – Existence and mobilization of resources	Environmental organizations don't have adequate resources for their programmes and projects and requirements have not been assessed (0)		
	Resource requirements are known but are not being addressed (1)	1	
	Funding sources for these resource requirements are partially identified and the resource requirements are partially addressed (2)		
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations (3)		
Indicator 13 – Availability of required technical skills and technology transfer	Necessary required skills and technology are not available and the needs are not identified (0)		
	Required skill and technology needs are identified as well as their sources (1)	1	
	Required skills and technologies are obtained but their access depend on foreign/donor sources (2)		
	Required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading technologies (3)		
Sub-total		**2**	
CR 5: Capacities to monitor and evaluate			
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme (0)		CBD reporting; SoE Report in place 2018 (donor funded)
	An adequately resourced monitoring framework is in place but project monitoring is irregularly conducted (1)	1	
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team (2)		
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action (3)		
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan, including the necessary resources (0)		Reporting against NSDP
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted (1)	1	
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team (2)		
	Effective evaluations are conducted timely and accurately and are used by the implementation team, agencies and GEF staff to correct the course of action if needed and to learn for further planning activities (3)		

Sub-total		**2**	
Total		**19**	
%		**42**	

CR 1: Capacities for engagement			3
CR 2: Capacities to generate, access and use information and knowledge			7
CR 3: Capacities for strategy, policy and legislation development			5
CR 4: Capacities for management and implementation			2
CR 5: Capacities to monitor and evaluate			2
Total			19
%			42

Summary of results from GEF Capacity Development Scorecard (CDS) assessment

Capacity result	Organisation								System	
	NES	NES (peer)	CITC	MMCO	MMR	MoAg	Average score	Average %	Score	%
CR 1: Capacities for engagement (x/9)	5	4	5	4	5	8	**5**	**57**	3	**33**
CR 2: Capacities to generate, access and use information and knowledge (x/15)	10	5	9	4	8	9	**8**	**50**	7	**47**
CR 3: Capacities for strategy, policy and legislation development (x/9)	4	3	5	2	3	4	**4**	**39**	5	**56**
CR 4: Capacities for management and implementation (x/6)	3	3	4	0	4	0	**2**	**39**	2	**33**
CR 5: Capacities to monitor and evaluate (x/6)	1	2	4	1	2	3	**2**	**36**	2	**33**
Total (x/45)	**23**	**17**	**27**	**11**	**22**	**24**	**21**	**46**	**19**	**42**
%	**51**	**38**	**60**	**24**	**49**	**53**	**46**		**42**	

Summary of results from GEF Capacity Development Scorecard (CDS) assessment

Capacity result	Max. score	Organisation														System	
		NES		NES (peer)		CITC		MMCO		MMR		MoAg		Average		Score	%
		Score	%	Score	%	Score	%	Score	%	Score	%	Score	%	Score	%		
CR 1: Capacities for engagement	9	5	56	4	44	5	56	4	44	5	56	8	89	**5.2**	**57**	3	**33**
CR 2: Capacities to generate, access and use information and knowledge	15	10	67	5	33	9	60	4	27	8	53	9	60	**7.5**	**50**	7	**47**
CR 3: Capacities for strategy, policy and legislation development	9	4	44	3	33	5	56	2	22	3	33	4	44	**3.5**	**39**	5	**56**
CR 4: Capacities for management and implementation	6	3	50	3	50	4	67	0	0	4	67	0	0	**2.3**	**39**	2	**33**
CR 5: Capacities to monitor and evaluate	6	1	17	2	33	4	67	1	17	2	33	3	50	**2.2**	**36**	2	**33**
Total	**45**	**23**	**51**	**17**	**38**	**27**	**60**	**11**	**24**	**22**	**49**	**24**	**53**	**20.7**	**46**	**19**	**42**