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United Nations Development Programme

Project Document

Project title: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)		
Country: Indonesia	**Implementing Partner (GEF Executing Entity):** Directorate General, Natural Resources and Ecosystem Conservation-Ministry of Environment and Forestry	**Execution Modality:** National implementation
Contributing Outcome(s): **UNSDCF Indonesia 2021-2025 / CPD 2021-2025:** **Outcome 3**: Institutions, communities and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive. **Contributing Outputs:** **Output 3.2**: Strengthened and expanded protection, governance and management of terrestrial and aquatic ecosystems, habitats, and species. **Output 3.4**: Conservation and resilience strategies with local priorities (income and food security) contribute to global environment benefits. Aligned with **UNDP Strategic Plan (2022-2025)** Output Signature Solution #4 (Environment); contributing to UNDP SP Result 4.1: Natural resources protected and managed to enhance sustainable productivity and livelihoods; and Result 4.2: Public and private investment mechanisms mobilized for biodiversity, water, oceans, and climate solutions.		
UNDP Social and Environmental Screening Category: High	**UNDP Gender Marker:** GEN2	
Atlas Award ID: 00141871	**Atlas Project/Output ID:** 00130319	
UNDP-GEF PIMS ID number: 6506	**GEF Project ID number:** 10728	
LPAC meeting date: 23 December 2022		
Latest possible date to submit to GEF: 11 February 2022.		
Latest possible CEO endorsement date: 29 August 2022		
Project duration in months: 72		
Planned start date: 01 March 2023	**Planned end date:** 28 February 2029	
Expected date of Mid-Term Review: December 2025	**Expected date Terminal evaluation:** November 2028	
Brief project description: The project strategy is predicated on integrated landscape-seascape management approaches facilitated through multi-stakeholder collaboration across multiple use landscapes-seascapes on Flores Island, designated by the Government of Indonesia as one of the five "super priority destinations" for tourism in the country. The project will generate multiple global environmental benefits. Threatened wildlife species, including the iconic Komodo dragon (*Varanus komodoensis*; IUCN Red List: Endangered EN), as well as the Flores Hawk-eagle (*Nisaetus*		

floris; IUCN Red List: Critically Endangered CR), Yellow-crested Cockatoo (*Cacatua sulphurea*; IUCN Red List: CR), and other endangered marine and terrestrial species will be safeguarded through improving the management effectiveness of 40,068 ha of terrestrial protected areas and 121,829 ha of marine protected areas. Reductions in such threats as wildlife hunting and poaching, destructive fishing incidents, and damaging practices in the tourism sector will contribute towards achieving stable or increasing populations of the threatened species in the target landscapes-seascapes.

The project will facilitate improved management of 275,946 ha of landscapes outside protected areas to benefit biodiversity, through establishment of Other Effective Area-based Conservation Measures (OECMs) in key biodiversity areas (KBAs) through community-managed conservation corridors, improved buffer zone management, and sustainable forest management practices. Moreover, 300 ha of degraded forest and grassland ecosystems will be rehabilitated to further enhance connectivity and improve biodiversity conservation across the two target landscapes-seascapes on Flores Island.

An estimated 2,500 people, of whom 50% are women, are expected to directly benefit as a co-benefit of the GEF investment, through sustainable livelihood and business alternatives supported by strengthened and newly deployed conservation finance instruments and broadened engagement with private sector and financial institutions.

Improved management and restoration of degraded habitats in the Flores are estimated to result in a co-benefit of 3.383 million tons of carbon dioxide equivalent of greenhouse gas emissions mitigated, through increased carbon sequestration and reduced emissions.

There is significant potential for the project to generate multiplier impacts beyond target landscapes-seascapes through scaling up the integrated approaches and OECM modalities to other parts of Indonesia. Further, the project will promote equitable representation and participation of women, *Adat* communities, and other marginalized groups in natural resource governance and management.

FINANCING PLAN	
GEF Trust Fund grant	USD 6,284,018
(1) Total Budget administered by UNDP	**USD 6,284,018**
(2) Total confirmed co-financing to this project not administered by UNDP	**USD 40,411,809**
(3) Grand-Total Project Financing (1)+(2)	**USD 46,695,827**

SIGNATURES

Signature:	**Agreed by Implementing Partner** **Dr. Ir. Bambang Hendroyono, M.M.** **Secretary General** **Ministry of Environment and Forestry**	**Date/Month/Year:** 07 / 07 / 2023
Signature:	**Agreed by UNDP** **Norimasa Shimomura** **Resident Representative**	**Date/Month/Year:** 03 / 07 / 2023

I. TABLE OF CONTENTS

I. Table of Contents 3
II. Development Challenge 8
III. Strategy 24
IV. Results and Partnerships 40
V. Project Results Framework 71
VI. Monitoring and Evaluation (M&E) Plan 76
VII. Governance and Management Arrangements 87
VIII. Financial Planning and Management 92
IX. Total Budget and Work Plan 94
X. Legal Context 106
XI. Risk Management 106
XII. Mandatory Annexes 108
Annex 1: GEF Budget template 109
Annex 2: Project map and geospatial coordinates of the project landscapes-seascapes 156
Annex 3: Multiyear Workplan 157
Annex 4: UNDP Social and Environmental Screening Procedure (SESP) 169
Annex 4. Social and Environmental Screening Template (2021 SESP Template, Version 1) 169
SESP Attachment 1. Social and Environmental Risk Screening Checklist 187
Annex 5: UNDP Risk Register 193
Annex 6: Overview of project staff and technical consultancies 209
Annex 7: Procurement plan 218
Annex 8: Stakeholder Engagement Plan 218
Annex 9: Stakeholder consultations during project preparation phase 218
Annex 10: Environmental and Social Management Framework (ESMF) 218
Annex 11: Gender analysis and gender action plan 218
Annex 12: Climate and disaster screening report 218
Annex 13: COVID-19 analysis and action framework 218
Annex 14: Baseline report on threats and root causes, and conservation practices and needs 218
Annex 19: Sustainable financing baseline analysis and opportunity assessment 218
Annex 20: Baseline report and recommendations on biodiversity-friendly businesses 219
Annex 21: Capacity assessment of local CBOs and businesses 219
Annex 22: Knowledge, Attitudes and Practices (KAP) Survey Framework 219
Annex 23: Estimation of greenhouse gas emissions mitigated 219
Annex 24: GEF 7 Core Indicator Worksheet 219
Annex 25: GEF 7 taxonomy 219
Annex 26: Additional agreements (cofinancing letters) 219
Annex 27: Partner capacity assessment tool and HACT assessment 219
Annex 28: UNDP project quality assurance report 220
Annex 29: UNDP checklist for all projects pending GEF approval 220
Annex 30: On-Granting Provisions Applicable to the Implementing Partner 220

List of Tables:

Table 1: Project contributions towards Sustainable Development Goals 21
Table 2: Extent of protected areas in the target landscapes-seascapes (hectares) 36
Table 3: Breakdown of target landscapes-seascapes, excluding protected aeras (hectares) 36
Table 4: Potential OECMs in the target landscapes-seascapes 37
Table 5: Project stakeholders 61
Table 6: Monitoring plan 79
Table 7: Monitoring and evaluation budget 86

List of Figures:

Figure 1: Komodo dragon distribution areas on Flores Island 9
Figure 2: Problem tree analysis 23
Figure 3: Project theory of change 27
Figure 4: Map of West Flores landscape-seascape 33
Figure 5: Map of North Flores landscape-seascape 35
Figure 6: Project Organization Structure 88

Abbreviations and Acronyms:

APL	Area for other purposes (*Areal Penggunaan Lain*)
ATR-BPN	Ministry of Agrarian Affairs and Spatial Planning-National Land Agency
AMAN	*Adat* Peoples' Alliance of the Archipelago (*Aliansi Masyarakat Adat Nusantara*)
AWP	Annual Work Plan
BD	Biodiversity
Bappeda	Provincial/District Development Planning Agency
Bappenas	Ministry of National Development Planning
BBKSDA	Natural Resources Conservation Agency (*Balai Konservasi Sumber Daya Alam*)
BER	Biodiversity Expenditure Review
BFP	Biodiversity Finance Plan
BIOFIN	The Biodiversity Finance Initiative
BLU	Public Agency for the Management of Environmental Funds
BNPB	National Disaster Management Agency *(Badan Nasional Penanggulangan Bencana)*
BPDLH	Environmental Fund Management Agency
BPOLBF	Labuan Bajo Flores Tourism Authority (*Badan Pelaksana Otorita Labuan Bajo Flores*)
BPPS-NCE-VF	Bureau for Policy and Programme Support, Nature, Climate and Energy, Vertical Fund team
BPS	Statistics Indonesia (*Badan Pusat Statistik*)
BRI	People's Bank of Indonesia (*Bank Rakyat Indonesia*)
BUMDes	Village-owned Enterprises (*Badan Usaha Milik Desa*)
CBO	Community-based Organization
CC	Climate Change
CCA	Climate Change Adaptation
CPD	Country programme document
CSR	Corporate social responsibility
CTA	Chief Technical Advisor
DD	Due diligence
DRR	Disaster Risk Reduction
EFT	Ecological Fiscal Transfer
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FAO	Food and Agriculture Organization of the United Nations
FPIC	Free, Prior, and Informed Consent
FMU	Forest Management Unit (*Kesatuan Pengelolahan Hutan*)
FSP	Full Sized Project
GCF	Green Climate Fund
GDP	Gross Domestic Product
GHG	Greenhouse gas
GEF	Global Environment Facility
GEF SEC	Global Environment Facility Secretariat
GRM	Grievance Redress Mechanism
ha	Hectare
HACT	Harmonized Approach to Cash Transfers
HBVA	High Biodiversity Value Areas (*Kawasan Bernilai Keanekaraman Hayati Tinggi*)
HWC	Human-Wildlife Conflict
ICCTF	Indonesian Climate Change Trust Fund

IDR	Indonesian Rupiah
IEF	Indonesian Environment Fund
IPPF	Indigenous Peoples Planning Framework
IPP	Indigenous Peoples Plan
IUCN	International Union for Conservation of Nature
KAP	Knowledge, Attitudes and Practices
KBA	Key Biodiversity Area
KEHATI	Indonesian Biodiversity Fund
KKH	Directorate of Biodiversity Conservation (*Direktorat Konservasi Keanekaragaman Hayati*)
KM	Knowledge management
KNP	Komodo National Park
KSDAE	Directorate General of Natural Resources and Ecosystem Conservation (*Direktorat Jenderal Konservasi Sumber Daya Alam dan Ekosistem*)
KSLH	Environmental Strategic Areas (*Strategi dan Rencana Aksi Konservasi*)
KSP	Komodo Survival Program
KUR	Indonesia's Guaranteed Microfinance Programme
LIPI	Indonesian Institute of Sciences (*Lembaga Ilmu Pengetahuan Indonesia*)
LPDB	Revolving Fund for Cooperatives and Micro SMEs
LPMUKP	Maritime and Fisheries Business Capital Management Institute
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MMAR	Ministry of Marine Affairs and Fisheries (*Kementerian Kelautan dan Perikanan, KKP*)
MoEF	Ministry of Environment and Forestry (*Kementerian Lingkungan Hidup dan Kehutanan, KLHK*)
MNP	Marine National Park
MPA	Marine Protected Area
MTR	Mid-term Review
N/A	Not Applicable and/or Not Assessed
NBSAP	National Biodiversity Strategy and Action Plan
NGO	Non-Governmental Organization
NPD	National Project Director
NTFPs	Non-timber forest products
NTT	East Nusa Tenggara (*Nusa Tenggara Timur*)
NP	National Park
OECM	Other Effective Area-based Conservation Measure
OJK	Financial Service Authority of Indonesia (*Otoritas Jasa Keuangan*)
PA	Protected Area
PBS	Project based Sukuk
PES	Payment for Ecosystem Services
PIF	Project Identification Form
PIMS	Project information management system
PIR	Project Implementation Report
PM	Project Manager
PMU	Project Management Unit
POPP	Programme and operations policies and procedures
PPG	Project Preparation Grant
PPP	Public Private Partnership
RBM	Results Based Management
REDD	Reducing Emission from Deforestation and forest Degradation

RPJMN	National Medium-Term Development Plan (*Rencana Pembangunan Jangka Menengah Nasional*)
RTA	Regional Technical Advisor
SBSN	State Sharia Securities
SDG	Sustainable development goal
SECU	Social and Environmental Compliance Unit
SES	Social and Environmental Standards (UNDP)
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Procedure
SMEs	Small and Medium-sized Enterprises
STAP	Scientific and Technical Advisory Panel
SRAK	Komodo Dragon Strategic Action Plan (*Strategi dan Rencana Aksi Konservasi*)
TBD	To be determined
tCO2e	Tons of carbon dioxide equivalents
TE	Terminal Evaluation
TOR	Terms of reference
UNDP	United Nations Development Programme
UNDP CO	United Nations Development Programme Country Office
UNEP	United Nations Environment Programme
UNESCO	United Nations Education, Scientific and Cultural Organization
UNWTO	United Nations World Tourism Organization
USAID	United States Agency for International Development
USD	United States dollar
UNSDCF	United Nations Sustainable Development Cooperation Framework
WDPA	World Database on Protected Areas
WLB	Women's Livelihood Bond
WWF	World Wide Fund for Nature

II. DEVELOPMENT CHALLENGE

Biodiversity in Indonesia and Flores Island: Country Overview and Context

1. Indonesia is considered among one of the world's 17 megadiverse countries and is home to two of the global biodiversity hotspots: Sundaland and Wallacea. The Wallacea hotspot has a total land area of 33.8 million hectares[1] and provides livelihoods for around 30 million people. Ongoing economic growth is negatively impacting the environment in this region in a variety of ways. For example, both regional population growth and changes in land use patterns have resulted in widespread habitat loss, with further environmental degradation projected as the region continues to experience rapid growth that prioritizes short-term economic gains over long-term sustainability[2]. Moreover, government policies and resource management schemes that have supplanted traditional management systems are introducing new issues stemming from poor monitoring, limited capacity and a lack of political will.

2. The ongoing growth of the region through government driven policies and inadequate resource management systems has placed approximately 10,000 unique plant species—15% of which are endemic and a further 66 species globally threatened—at risk of extinction[3]. Additionally, Wallacea supports numerous types of complex biodiverse communities with a plethora of endemic fauna species, including over half of all mammal species, 40% of bird species and 65% of known amphibian species being endemic to the region[4]. This loss of biodiversity represents a global threat, as it can: reduce ecosystem services and create social issues, such as increased food insecurity; eliminate sources of future biotechnology; reduce livelihood opportunities and increase the risk of a global pandemic through higher rates of infectious disease transmission and emergence[5]. One area in Wallacea that is currently experiencing a severe reduction in biodiversity is the island of Flores in East Nusa Tenggara (NTT) Province.

3. Flores is home to several endangered and critically endangered species, some of which are regionally endemic, such as: Flores hawk-eagle (*Nisaetus floris;* IUCN Red List: Critically Endangered CR), yellow-crested cockatoo (*Cacatua sulphurea;* IUCN Red List: CR), largetooth sawfish (*Pristis pristis;* IUCN Red List: CR), and Tenggara hill myna (*Gracula venerate;* IUCN Red List: Endangered EN)[6]. On top of these endangered species, Flores supports a small extant population of Komodo dragon (*Varanus komodoensis;* IUCN Red List: EN). Furthermore, some of these species are specifically endemic to the island of Flores, making conservation efforts on the island critical for the survival of several endangered bird and mammalian species, including in addition, the Flores crow (*Corvus florensis;* IUCN Red List: EN), Flores monarch (*Symposiachrus sacerdotum;* IUCN Red List: EN) and Flores scops-owl (*Otus alfredi;* IUCN Red List: EN), Flores shrew (*Suncus mertensi;* IUCN Red List: EN), Hainald's Flores Island rat (*Rattus hainaldi;* IUCN Red List: EN), and Paula's long-nosed rat (*Paulamys naso;* IUCN Red List: EN)[7]. These species are highly vulnerable to the pressures of: habitat degradation, landscape changes, overexploitation, climate change, illegal hunting, and other harmful human activities. The marine area around Flores, and the Komodo National Park (KNP), in particular includes one of the richest marine environments including coral reefs, mangroves, seagrass beds, seamounts, and semi-enclosed bays. These habitats harbor more than 1,000 species of fish, some 260 species of reef-building coral, and 70 species of sponges, dugong, sharks, manta rays, and at least 14 species of whales, dolphins, and sea turtles. Strong daily tidal flows combine with nutrient rich upwelling from the depths of the Indian Ocean to create ideal conditions for thousands of species of coral and tropical fish to flourish.

4. The rich diversity of shallow coral reefs, cold water upwelling, coastal deep-sea systems, major current systems, and wetlands offer promise and challenges alike to conservation efforts. Mixing of tropical-temperate, deep-shallow, and Indian Ocean-Pacific communities in this region permits a rare diversity of habitats supporting high species richness and endemism of coral reef fishes, *stomatopods* and corals. The strong connectivity

[1] Critical Ecosystem Partnership Fund (2014). Wallacea Biodiversity Hotspot. https://www.cepf.net/sites/default/files/resources/Donor%20Council/EcosystemProfile_Wallacea_DonorCouncil.pdf
[2] Ibid
[3] Critical Ecosystem Partnership Fund (2014). Wallacea Biodiversity Hotspot. https://www.cepf.net/sites/default/files/resources/Donor%20Council/EcosystemProfile_Wallacea_DonorCouncil.pdf
[4] Conservation International. Biodiversity Hotspots. https://www.conservation.org/priorities/biodiversity-hotspots
[5] WHO (2015). https://www.who.int/news-room/fact-sheets/detail/biodiversity-and-health
[6] IUCN (2019), Red List of Threatened Species
[7] Ibid

between coastal to oceanic ecosystems supports at least 18 species of cetaceans in exceptional relative abundance. Other extremely important coastal habitats include the Wilayah Beach in Komodo National Park, which hosts 23 species of beach and mangrove trees, more than 500 species of fish, 77 species of bird, 32 mammal species, and 25 reptiles and the Maumere Bay in Flores that hosts 14 species of bird (including 4 seabirds), two marine mammals, and one marine reptile, In addition to these unique species, the Lesser Sundas ecoregion, in which Flores is located may be a reservoir of Indian Ocean fauna, and hence may prove very important in capturing that biogeographic element. At least 12 red-listed species (*Balaenoptera acutorostrata*, *B. musculus*, *Dugong dugon*, *Chelonia mydas*, *Eretmochelys imbricate*, *Varanus komodoensis*, *Bos javanicus*, *Hystrix brachyura*, *Felis bengalensis*, *Eretmochelys imbricate*, *Crocodylus porosus*) are though to inhabit the Lesser Sundas region.

5. In September 2021, the Komodo dragon (Varanus komodoensis), the world's largest living lizard was reclassified from Vulnerable (VU) to Endangered (EN) status by the International Union for the Conservation of Nature (IUCN). Endemic to Flores in NTT it can be found in Komodo National Park (KNP) as well as in two areas on the Flores mainland (see **Figure 1**), one on the western peninsula (e.g. Wae Wuul) and the other on the north coast (e.g. Longos Island and Riung)[8]. The change in the Komodo's status, according to the IUCN, is based on the threats posed by the impacts of climate change. Rising global temperatures and subsequent sea levels are expected to reduce the Komodo dragon's suitable habitat by at least 30% in the next 45 years. In addition, while the subpopulation in Komodo National Park is currently stable and well protected, Komodo dragons outside protected areas in Flores are also threatened by significant habitat loss due to ongoing human activities. The change in status gives added urgency to the need to improve management schemes tailored towards the protection of the Komodo dragon outside of the protected areas. In 2016, the government designated the Komodo dragon as one of 25 species in the country to be protected, including from illegal wildlife trade.

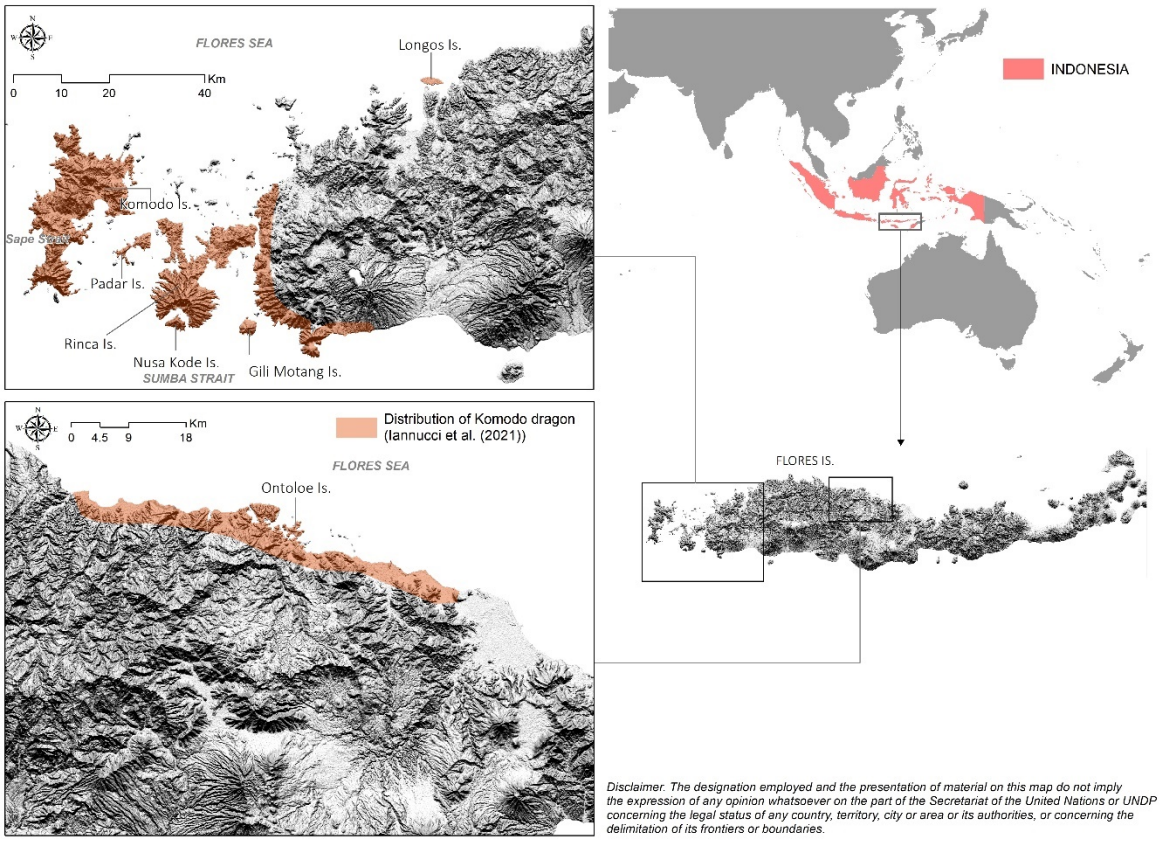


Figure 1: Komodo dragon distribution areas on Flores Island[9]

[8] Ariefiandy, A., Purwandana D., Natali, C., Imansyah, M. J., Surahman, M., Jessop, T. S. & Ciofi, C. (2015) Conservation of Komodo dragons Varanus komodoensis in the Wae Wuul nature reserve, Flores, Indonesia: a multidisciplinary approach. International Zoo Yearbook, 49

[9] Map adapted from: Iannucci, A. et al. 2021. Population structure, genomic diversity and demographic history of Komodo dragons inferred from whole-genome sequencing. Molecular Ecology. 2021;30:6309-6324. Wiley online library.

6. Data for 2015 – 2020 from joint surveys conducted by the KNP and the Komodo Survival Program (KSP) shows that the population of Komodo dragons in the KNP fluctuates in the range of 2,430 – 3,163 individuals with a fairly stable trend of population trends (KNP-KSP, 2020)[10]. The population of Komodo dragons outside the KNP area has yet to be estimated with certainty. Based on available information from the results of the monitoring program by the Natural Resources Conservation Agency of East Nusa Tenggara Province (BBKSDA-NTT) and KSP, the average population density has just been estimated in several conservation areas, the density ranges from 1.96 individuals/km^2 (CA Wae Wuul) to 4.7 individuals/km^2 (Ontoloe Island). Previous research by Ciofi and de Boer (2004)[11] stated that the density of Komodo dragons in several locations on Flores Island ranged from 0.47 to 1.67 individuals/km^2.

7. On the island of Flores, the Komodo dragon population is scattered to form population pockets near the north and west coasts. Only 15% of known distribution areas are in protected areas (Nature Reserves and Nature Recreation Park) or being conserved by means of designating ecosystem essential areas (Kawasan Ekosistem Esensial: KEE). KEE's were promoted in draft legislation over the past several years in Indonesia. The Government of Indonesia has decided not to proceed with enacting the KEE legislation. The MoEF promoted KEE as a means to address the need to conserve areas of high biodiversity value outside PA areas that did not previously have any sort of formal protection. The KEE policy instrument was aimed at extending conservation measures beyond classical conservation zones to support initiatives that emerge voluntarily, even in areas that might not have been historically thought of as conservation areas. It would be applicable to all land categories, including private and public. The policy also promoted expanding the scope of conservation area management approaches, recognizing the need for multiple stakeholders. KEE's that have been designated by district and provincial governments remain officially recognized. In Flores, for example, Governor Decree of East Nusa Tenggara Number 238/KEP/HK/2020 concerning KEE's on Flores Island, East Nusa Tenggara Province is still in effect. Flores Island located specifically in the Mbeliling landscape in West Manggarai District, Nggorang Bowosie, Longos Island and Todo Repok in West Manggarai District and Torong Padang in Ngada District. The Komodo dragon is found in all of these areas. This was followed up with the establishment of a Collaborative Forum for Management of KEE's on Flores Island. Unfortunately, these initiatives have not been followed up with concrete measures. The forum is not active and there is no sign of a budget for field activities. During the program preparation phase, interview results indicated minimal knowledge in the communities and amongst government officials regarding these decrees and the activities of the forum. One of the challenges confronting the implementation of the KEEs is the need for a legal framework.

8. 35% of the Komodo dragon distribution areas are located in protection forest areas (*Hutan Lindung*) and 50% are in public or community lands or APL (BBKSDA-KSP, 2021)[12]. On the northern coast, there are at three conservation areas (Riung Nature Reserve, Tujuh Belas Pulau Nature Recreation park, and Wolo Tadho Nature Reserve). In addition, there is one KEE in Pota. These areas the main habitat of conserving Komodo dragon. The East Manggarai District issued Decree No. HK/83.A/2013 concerning the Establishment of a Collaborative Forum for the Management of the KEE for the Pota Protected Forest, Sambi Rampas District, as one of the Komodo dragon habitats outside the conservation forest. The issuance of the village regulation was facilitated by the government (central and regional) and the Church/Diocese of Ruteng JPIC SVD Ruteng. It is expected to be one of the legal umbrellas for the protection and preservation of the Komodo in the KEE of the Pota Protected Forest. In addition, the Directorate General of KSDAE has designated KEE Pota as one of the three Komodo dragon population monitoring sites in the BBKSDA-NTT working area. This population monitoring effort is carried out annually by the BBKSDA-NTT in collaboration with the Komodo Survival Program (KSP).[13]

9. While on the west coast, apart from the KNP, there is one other protected area, namely Wae Wuul Nature Reserve. The rest of the distribution areas are in public/community lands and protection forest areas. In addition, other Komodo dragon population pockets can also be found on Longos Island in West Manggarai District on public or community lands. Currently, BBKSDA-NTT in collaboration with KSP is conducting a study on

[10] BBKSDA-NTT-KSP (2021). Laporan Akhir Pelaksanaan Kegiatan Kerjasama antara Balai Besar Konservasi Sumber Daya Alam NTT dan Yayasan Komodo Survival Program, 2016-2021. BBKSDAN TT, Kupang

[11] Ciofi, C., & de Boer, M. (2004). Distribution and conservation of the Komodo monitor Varanus komodoensis. Herpetological Journal, 14, 99-107.

[12] BBKSDA NTT-KSP (2021). Laporan Akhir Pelaksanaan Kegiatan Kerjasama antara Balai Besar Konservasi Sumber Daya Alam NTT dan Yayasan Komodo Survival Program, 2016-2021. BBKSDAN TT, Kupang

[13] See: Sosialisasi Perlindungan Rugu/Komodo di KEE HL Pota (2017) http://bbksdantt.menlhk.go.id/14-latest-news/106-sosialisasi-perlindungan-rugu-komodo-di-kee-hl-pota

the population of Komodo dragons on Flores Island, especially in Wae Wuul Nature Reserve, Ontoloe Island (part of Tujuh Belas Pulau Recreation Park) and Pota.

10. Public and stakeholders awareness is still limited about the existence of Komodo dragons on the island of Flores. For example, in Pota and Riung, the community considers Komodo as a pest because it preys on the residents' livestock and encounter between Komodo dragons and humans often results in the Komodo dragon being injured and even killed. Continuous dissemination and awareness raising of the community has helped in reducing the killing of the Komodo dragons. If captured, they will be handed over to the BBKSDA-NTT for release to the wild.

11. The natural habitat of Komodo dragons such as savanna and open deciduous forests can be found on the Torong Padang Peninsula in northern Flores, an area of about 880 ha, which according to the Baar *Adat* community is their customary area (*ulayat*) and is managed collectively. It is one of the Komodo's strongholds on mainland Flores.

12. Threats to terrestrial biodiversity include the increasing pressure on forest cover and water resources as the local human population has increased 800% over the past 60 years. In addition, the Timor deer population, the preferred prey source for the endangered Komodo dragon, is still being poached. Destructive fishing practices such as dynamite, cyanide, and compressor fishing severely threaten marine resources by destroying both the habitat (coral reefs) and the resource itself (fish and invertebrate stocks). The present situation in the marine section of KNP is characterized by reduced but continuing destructive fishing practices primarily by immigrant fishers, and high pressure on demersal stocks like lobsters, shellfish, groupers and napoleon wrasse. Pollution inputs, ranging from raw sewage to chemicals, are increasing and may pose a major threat in the future.

13. Despite its declining and threatened population, the Komodo dragon home range is spread across Flores Island not only in the conservation areas but also outside in production forest and communal land. This increases the pressure on this species and its habitat, affecting the survival of other protected animals in the Flores landscape and waters, such as the Flores hawk-eagle and the yellow-crested cockatoo. Habitat degradation cannot be avoided because of the need for land for economic activities. In addition, the availability of data on distribution of Komodo dragon outside the protected areas has constrained effective measures for conservation of the species. Komodo dragons are also found in several conservation facilities abroad. These institutions have expertise in Komodo dragon breeding and conservation, research and monitoring that can contribute to species conservation efforts in Flores.

14. If these challenges are not addressed, the complete loss of the Komodo dragon, and other threatened populations on Flores would likely have deleterious effects on the island's wildlife, as apex predators, such as the Komodo dragon and Flores eagle-hawk, have been shown to have positive regulatory effects on biodiversity, including the management of invasive species populations[14]. Therefore, one salient method for ensuring the island of Flores can maintain its unique biodiversity while concurrently protecting local and *Adat* communities in Flores, which depend on wild and protected flora and fauna as a source of income and food, is to protect the Komodo dragon, and its habitat.

Root Causes and Development Issues:

15. As illustrated in the problem tree analysis shown in **Figure 2**, the habitats of the Komodo dragon and other threatened species are negatively impacted by development and unsustainable forestry, tourism, fisheries and other activities in Flores and is threatened by infrastructure development, expanding human settlements and unsustainable resource use practices (illegal timber felling, fire wood collection, fires and encroachment) that cause Komodo and threatened species habitat loss and ecosystems degradation. Loss of biodiversity and wildlife due to these activities threatened the food supply. Increased community settlement is one of the impacts of habitat degradation and second is the threat of increased human-Komodo dragon conflicts. The hunt for Komodo prey and the presence of foreign species competing against Komodo wild food source is a challenge that has led to dwindling biodiversity.

[14] Hollings, T, et al (2016). Disease-induced decline of an apex predator drives invasive dominated states and threatens biodiversity, Ecology

16. The challenge for marine species is destructive fisheries practices, unsustainable tourism practices, waste and trash disposal, etc. Destructive fishing practices such as dynamite fishing, cyanide fishing, coral removal, and over exploitation of sea cucumber threaten the marine environment and damage coral reefs and associated species. Unsustainable tourism practices, such as boat anchoring and coral trampling, shoreline destruction and construction of tourism facilities in fragile coastal areas are additional threats. Coastal communities also depend for their livelihoods on extractive resource use. The main type of fishery in the vicinity of the KNP is the *bagan* (net lift platform) fishery for small pelagic species, which takes place in coastal waters off the reef. This type of fishery is not likely to have serious, direct impact on fragile reef communities. However, local people supplement income from the *bagan* fishery by exploiting reef resources, (e.g., using hookah compressors, hook and line, traps, gillnets) and some fishers exclusively depend on this type of fishery.

17. The Flores Islands in the Province of East Nusa Tenggara (NTT) is among the outermost islands with levels of development quality that are far behind areas on large islands such as Java and Sumatra. In the NTT Province's Medium-Term Development Plan (RPJMD), development indicators such as the human development index and income inequality are in an alarming condition (RPJMD, 2018). With limited development options, exploiting resources for development without taking into consideration the environment and wildlife is often inevitable. Deforestation is threatening wild ecosystems in Flores, which is counterproductive to the growth of tourism, where the majority of tourism in Flores is nature based with its picturesque landscapes, exotic wildlife, and rich biodiverse marine ecosystems.

18. The low development index and the high income inequality need to be resolved together with the problem of resource and landscape management in Flores to ensure the continuity of community welfare and the preservation of ecosystems including conservation of Komodo dragon and other key species. The four root causes of these problems are as follows:

a) **Rapidly Growing Human Population:** The total land area of Flores Island, NTT, is 13,112 km^2 (Statistics Indonesia-BPS, 2019), 6,705 km^2 of which are forested (BPS, 2019). However, land use changes in NTT are rapidly occurring due to forest loss and land degradation, which are closely linked to agricultural expansion, excessive grazing of livestock, use of chemical fertilizers, and highly destructive techniques for clearing land (e.g. 'slash and burn'). From 2011-2015 alone, a total of 542 km^2 of forested land was converted to other uses in 3 districts; Manggarai Barat, East Manggarai and Ngada. In 2019, NTT had a population of over 5 million and an annual population growth rate of 1.67% (BPS, 2019). While agricultural productivity is increasing to support the ongoing growth of the local population, with 800,980 tons produced in 2018, the peoples of NTT are still exposed to food security issues (e.g., food shortages). Therefore, a growing human population and the need to increase agricultural practices to remedy food security issues is putting direct pressure on local wildlife through the removal of habitat, affecting many vulnerable and endangered endemic species, including the Komodo dragon.

b) **Limited Economic Opportunities:** Flores is one of the least developed economies in Indonesia and is primarily based on subsistence agriculture, fisheries and seaweed production[15]. Most farmers grow rice for food self-sufficiency purposes as well as corn, cassava, sweet potatoes, and peanuts. Cash crops are also grown on small holding plantations, such as coconut, cocoa, cashew, candlenut, and coffee. Alongside agriculture, fisheries make up a large portion of the local economy, with tourism steadily growing as an alternative livelihood strategy to traditional forms of income generation[16]. Due to limited livelihood opportunities, unemployment rate in 2018 was around 3.01% (BPS, 2019), it is common for residents of Flores to migrate to other areas of Indonesia or nearby countries, such as Singapore and Malaysia, as they seek to find sources of income outside of the limited opportunities available on the island of Flores. However, for those that choose to stay, the limited economic opportunities available and persistent food security issues have led to hunting in designated wildlife areas and trading of species in the global illegal wildlife trade as a means to supplement their personal and financial needs.

c) **Rapidly Expanding Tourism Sector:** One of the factors driving deforestation of habitats on Flores is the dramatic growth of tourism sector (pre-Covid19) on the island without proper environmentally sustainability measures. Labuan Bajo, the gateway to the Komodo National Park, is now being promoted as a super-premium tour destination. There has been heavy investment in infrastructure in

[15] Flores Destination Management Organization, 2019

[16] Ibid.

Labuan Bajo, its airport and the surrounding area since 2020. This is part of the government's drive to attract more international tourists and diversify tourism away from Bali as well as promote economic diversification in Flores.

Based on Government Regulation 13/2017 on the revision of the RTRWN, the Komodo National Park is one of the National Strategic Areas or *Kawasan Strategis Nasional* (KSN). In addition, the Indonesia's Medium Term Development Plan for 2020 – 2024 (*Rencana Pembangunan Nasional Menengah* or RPJMN), has selected Labuan Bajo as one of the Strategic National Tourism Areas or KSPN (*Kawasan Strategis Pariwisata Nasional*). Led by the Ministry of Public Works, an Integrated Tourism Master Plan (ITMP) for Komodo National Park – Labuan Bajo is being developed to create a super-premium tourism destination. The plan will include the national park and the western coastal areas of Flores. Yet, at the same time, it is putting pressure on the island's fragile natural resource base with tourist arrivals in 2018 reaching 176,000, up from 125,069 the previous year. A target of 500,000 annual visitors for KNP has been proposed, which is more than double the pre-COVID-19 pandemic visitor number.

The investment plans have also raised questions from UNESCO which designated Komodo National Park as a World Heritage Site in 1991. The organization has raised concerns about development in the park such as the project's reduction of the park's wilderness zone to one-third the previous area, addition of tourism concessions within the property, lack of an adequate environmental impact assessment, and a target to dramatically increase visitors. As a result, in July 2021 the UNESCO called for work to stop until further assessments were done[17].

The infrastructure developments has triggered land conflicts as investors buy property for hotels and other facilities, especially along coastal areas. Increasing tourism in this region will also directly affect the physiology of the Komodo dragon. Human disturbance has been found to influence the Komodo dragon's heart rate, stress hormone levels and energy expenditure, which can negatively impact the Komodo dragon's population by impairing reproductive success and individual survival rates[18]. Hence, the rapid expansion of tourism in the area is not only leading to habitat loss but also to negative health impacts on Komodo dragon physiology.

d) **Changing Climate:** Recent research indicates that climate change over the next few decades could have major impacts on Komodo dragons[19]. The climate-change models project that over the next century, Indonesia will experience unprecedented rates of both temperature rise and reduced rainfall,[20] leading to a prolonged dry season with increased fire frequency and decreased soil moisture.[21] This will cause a contraction of mesic forest cover and an expansion of drier vegetation communities, such as savannah woodland.[22] This vegetation transformation is likely to negatively impact Komodo dragons by altering resource availability for survival and reproduction.[23] In addition, rising sea levels are likely to inundate low-lying valleys that currently support the highest densities of Komodo dragons, leading to a permanent loss of their preferred lowland habitat.[24]

Depending on the climate change scenarios and the mitigation policies to reduce greenhouse gas emissions, Jones et al (2020) found that in 2050 there is the possibility of the Komodo dragon distribution range potentially declining by 8–87%, leading to a decrease in habitat-patch occupancy of 25–97% and declines of 27–99% in abundance across the species' range. The worst predictions only happen in the extreme condition (i.e. temperature increase 6°C and the greenhouse gas emission rise throughout the 21st century) when only Komodo dragons on Rinca and Komodo Island could survive.

[17] Source: Komodo National Park. https://whc.unesco.org/en/soc/4177

[18] Ardiantiono et al (2018). Effects of human activities on Komodo dragons in Komodo National Park, *Biodiversity and Conservation* volume 27

[19] Jones AR et al 2020. Identifying island safe havens to prevent the extinction of the World's largest lizard from global warming. Ecol Evol. 2020;10:10492–10507. https://doi.org/10.1002/ece3.6705

[20] R Boer and Faqih. 2004 An Integrated Assessment of Climate Change Impacts Adaptation and Vulnerability in Watershed Areas and Communities in Southeast Asia. Report from AIACC Project No AS21. Int. START Secretariat. Washington, DC. See also, Deffenbaugh, N.S. and F. Giorgi, Climate change hotspots in the CMIP5 global climate model ensemble, Climatic Change Letters, 114 (3-4), 813-822, 2012.

[21] Fernandes K. et al. 2017 Heightened fire probability in Indonesia in non-drought conditions: the effect of increasing temperatures. Environmental Research Letters. Volume 12 Number 5. https://iopscience.iop.org/article/10.1088/1748-9326/aa6884

[22] Bickford D. et al 2010. Impacts of climate change on the amphibians and reptiles of Southeast Asia. Biodiversity and Conservation. doi:10.1007/s10531-010-9782-4.

[23] Jessop, T.S. et al 2007. Ekologi populasi, reproduksi, dan spasial biawak Komodo (Varanus komodoensis) di Taman Nasional Komodo. BTNK/ CRES-ZSSD/TNC. Labuan Bajo.

[24] Purwandana D. et al. 2014. Demographic status of Komodo dragons populations in Komodo National Park. Biol Conserv. 171:29–35.

However, according to their study, even in the best scenario (i.e. temperature increase can be maintained to maximum 1,5°C and the greenhouse gas emissions decline after 2020) there are still possibilities of slight changes in Komodo dragon patch occupancy by 2050. These changes most likely will happen on small island populations and on Flores Island where Komodo dragon populations are thought to be more vulnerable to the impact of climate change compared to those who live in Komodo and Rinca Islands.

Threats and root causes are described in more detail in **Annex 14** (*Baseline report on threats and root causes, and conservation practices and needs*), and in **Annex 15** (*Landscape-seascape profiles*).

Baseline Scenario:

19. Indonesia's strong commitment to maintaining biodiversity is indicated among others through the ratification of global biodiversity frameworks such as the CBD Convention (Law No.5 / 1990), the Cartagena Protocol (Law No.21 *of 2004*), and the Nagoya Protocol (Law No.11 of 2013). These regulations become the legal umbrella for biodiversity management and operationalized through Indonesia Biodiversity Strategic Plan (IBSAP) to achieve Aichi target and aligning biodiversity priorities in mid-term development plan (2020-2024). One of them, the recommendation to maintain the forest cover for wildlife habitats around 43.2 million hectares.

20. The Ministry of Environment and Forestry and its partners have identified a variety of terrestrial and marine areas that are essential for ensuring the conservation of globally threatened species in Flores Island. The government has designated the importance of the Komodo Dragon by including it in a list of 25 priority species for the country. With this framework, Komodo conservation is strengthened through Komodo Strategic Conservation Plan that has been established recently. The continued deforestation and degradation of these critical terrestrial and marine areas could lead to a variety of negative impacts, including complete loss of forest and marine dependent biodiversity, disruption to ecological services, an increase in GHG emissions, and unsustainable economic growth patterns. To avert a future in which these negative impacts are incurred, there have already been several positive steps taken by the public and private sectors. The intent is to further strengthen the on-going efforts at Komodo dragon conservation through improved collaboration among the different stakeholders, improving planning and budgetary allocations.

21. Under the baseline scenario, without GEF funding, the Government of Indonesia has committed more than USD 35 million in the coming six years for strengthening management effectiveness in the protected areas situated in the target landscapes-seascapes, improving management of FMU's and implementing social forestry schemes, enhancing conservation outside protected areas, and ensuring tourism expansion in Flores is developed sustainably. Additional investments are committed from civil society organizations, private sector enterprises, other donors, and academic-scientific institutions.

22. **Komodo Survival Program (KSP):** Since 2004, the KSP has supported the Komodo National Park and NTT BKSDA to conduct a Komodo dragon population survey mainly on Flores Island. Existence data and estimated numbers are important results for the conservation of Komodo dragon species. KSP also conducts capacity building activities for local communities of Komodo dragons. This program is supported by a number of overseas Zoological Gardens and Conservation Organizations, including the Association of Zoos and Aquariums, European Association of Zoos and Aquaria (EAZA), Ocean Park Conservation Foundation Hong Kong (OPCF Hong Kong), and Chester Zoo.

23. **Burung Indonesia:** Burung Indonesia has been working in Flores since 1997. The organization's "Sustainable and Integrated Management of Mbeliling Forest" program is strengthening the conservation and sustainable livelihood capacity of Conservation Development Groups (CDGs) members in 27 villages surrounding the forest area with funding from DANIDA. Burung Indonesia also supports BBKSDA-NTT's to survey bird populations including the Flores hawk-eagle and the Yellow crested cockatoo on Flores island.

24. **PT Komodo Wildlife Ecotourism:** Obtained a natural tourism permit (IUPSWA) for 151.94 ha on Komodo island and for 274.13 ha on Padar island to build accommodations, a sightseeing facility and a restaurant. As of January 2022, the organization's operating permit is under review by the Ministry of Environment and Forestry (MoEF).

25. **PT Segara Komodo Lestari (SKL): PT SKL** obtained a natural tourism permit (IUPSWA) for 22.10 hectares in Loh Buaya, Rinca island in September 2013. The company plans to build an expanded ranger station, viewing platform, boat dock, toilets and other infrastructure on Rinca. Rinca, along with Padar and Komodo islands are the three largest of the 29 islands that encompass the national park. As of January 2022, the organization's operating permit is under review by the MoEF.

26. **SWISS Contact**: Since 1972, Swiss contact aimed to contribute to improved standards of living and income disparities in Indonesia with focus on less developed areas. Two projects in Flores NTT, the Local Economic Development LED-NTT and the eco-tourism project WISATA were implemented under this strategy. In a first phase of WISATA, Swiss contact was assigned by SECO to implement the program in one destination in Flores to strengthen the DMO and supporting the tourism sector in the destination as a whole. With the second phase, the program was expanded to three additional and quite different destinations Toraja, Wakatobi and Tanjung Puting. The overall outcome of the WISATA program was very positive since; a) the destinations benefited from the project and; b) new and innovative approaches and tools have been developed and tested, which are ready to be absorbed by the Ministry and local Government programs.

27. **Indonesian Ecotourism Network (INDECON)**: INDECON works to develop ecotourism or sustainable tourism destinations, as well as community- based tourism. INDECON was involved in the CREATED project based on the previous initiatives of EU-funded INFEST (Innovative Indigenous Flores Ecotourism for Sustainable Trade) project. It was implemented in 2016-2019 to strengthen INFEST key achievements in improving capacity of local tourism stakeholders and developing tourism villages in Flores. The project had established in more than 12 community-based production groups, which ensures the production of these new-creative products. The group members are local farmers, teachers, or individual woman, who are currently benefitting from additional income.

28. **Indonesian Environmental Information Center (PILI)**: PILI is a non-governmental organization whose programs and activities are oriented towards nature and environment conservation. Its institutional network focuses on the collection and exchange of information on biodiversity and natural resource protection and environmental issues. Since 2009, PILI has supported the publication of "Nature Conservation" in collaboration with PIKA (Department of Forestry Information Center for Nature Conservation). PILI is one of the four implementing partners for the World Bank's-CTI's COREMAP (Coral Reef Rehabilitation and Management Program - Coral Triangle Initiative) project in the Sawu Sea Marine National Park.

29. **Komodo Dragon Conservation Strategy and Action Plan (2020-2030)** aims at integrating all Komodo dragon research and conservation activities and contributing to increasing the population of Komodo in the wild. The document is still in development and it is expected to be adopted into the work plans of the MoEF's technical units and local governments governing the habitat of the Komodo dragon.

30. **Labuan Bajo Flores Tourism Authority (BOPLBF)**: Established by Presidential Regulation 32/2018 the BOPLB is mandated by the Government of the Republic of Indonesia to accelerate the development of Labuan Bajo Flores as a Super Priority Destination given its classification as a National Strategic Area (KSN). To achieve this, the BOPLBF will coordinate development in Flores, including the Komodo Biosphere Reserve area. In addition it has been given authority over an area of 400 ha in Labuan Bajo to be developed as an integrated tourism area. The scope of its work will involve: development of tourism destinations, improving access to basic infrastructure (water, electricity, roads, airports, and ports) and providing hotels in collaboration with the private sector. Currently, the BOPLBF is preparing to host the G20 Summit from June to September 2022.

GEF and other donor projects and initiatives

31. The baseline scenario includes projects and initiatives funded by GEF and other donors, including the following:

- *Eco-system Approach to Fisheries Management (EAFM) in Eastern Indonesia (Fisheries Management Area (FMA)- 715, 717 & 718)* (GEF Project ID: 9129) WWF-GEF. This project commenced in 2015. The proposed project delivers sustainable environmental, social and economic benefits, demonstrating effective, integrated, sustainable and replicable models of coastal fisheries management that are

characterized by good governance and effective incentives, which in many cases would involve dealing with community-based marine protected areas.

- *Strengthening of Social Forestry in Indonesia* (GEF Project ID: 9600). World Bank-GEF. This project aims to improve community management of forests in select priority areas and to conserve biodiversity of global significance. This project is relevant with the IN-FLORES project in the area of inclusive forestry management.
- *Enhancing the Protected Area System in Sulawesi (E-PASS) for Biodiversity Conservation | GEF (thegef.org)* (GEF Project ID 4867). UNDP-GEF. This project commenced in 2012. The project purpose is to strengthen the effectiveness and financial sustainability of the Sulawesi PA system to respond to threats affecting globally significant biodiversity. This project is relevant with the proposed project in relation to strengthening PAs, as there are three PAs as part of the planned project intervention.
- *Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes* (GEF Project ID 4892). UNDP-GEF. This project commenced in 2015. The purpose is to enhance biodiversity conservation in priority landscapes in Sumatera through the adoption of best management practices in PAs and adjacent production landscapes, using tiger recovery as a key indicator of success. This project will use a landscape approach which is highly relevant with the proposed project.
- *Critical Ecosystem Partnership Fund Hotspot Wallacea*. Burung Indonesia/CEPF. This program commenced in 2015. The purpose of the program is to strengthen civil society organizations for conservation action in the Wallacea area (Sulawesi, Lesser Sunda, and Maluku), through grant making, capacity building and mainstreaming. This project addresses focus areas and Key Biodiversity Areas that are relevant to the proposed project.
- *European Union- Forest Law Enforcement Governance and Trade (FLEGT)-Voluntary Partnership Agreement (VPA).* Burung Indonesia/Birdlife Asia. This project commenced in 2016. The purpose of the project is capacity building for nongovernmental stakeholders engaged in forest management. This project has areas that overlap with the proposed project.
- *Landsense; A Citizen Observatory and Innovation Marketplace for Land Use and Land Cover Monitoring.* European Commission/Birdlife International/Burung Indonesia. This project began in 2017. The purpose is capacity building for citizens/villagers for better participation on land use planning, by connecting the domains of citizen science and Earth Observation to address critical issues in the field of Land use and Land Cover (LULC). This project has overlap areas with segments of the proposed project. SGP GEF
- *USAID Lestari Project: The Terrestrial NRM Project (2015-2020):* The project will draw on the following lessons: (i) Adjustments made to theory of change meant that the projects' activities became more focused and integrated, bringing together four technical components to improve the management of conservation areas and forests, and to improve the protection of key species by combating wildlife trafficking and achieve a number of results in regulatory reform: (ii) maintaining good relationship, avoiding regular staff turnover and dedication of substantial time is key to project success; and (iii) ensuring that grant making is superseded by good procedures for grant design, review and award.

Long-term Vision:

32. The goals of the IN-FLORES project share the spirit of Indonesia's vision for 2045 especially its second pillar on sustainable economic development. The Ministry of National Development Planning (Bappenas) stated in 2019 that this pillar is underpinned by growth of investment and international trade, acceleration of industry, tourism and maritime based economy, as well as strengthening food, water and energy security and environmental stewardship.[25] There has been a growing concern among government, private sector and civil society about the growth pattern that needs to be adjusted to ensure sustainability in not just economic but also social and environmental aspects. The push for a more equitable and sustainable development have inspired numerous initiatives and policy in many aspects. To quote some, Bappenas has launched the low carbon development economy (2019) and climate resilient development policy (2021) to ensure development will not

[25] https://simantu.pu.go.id/personal/img-post/198607032010121005/post/20190617230241_F_Ringkasan_Eksekutif_Visi_Indonesia_2045_Final_8_Mei_2019_BP.pdf

result in increases in greenhouse gas (GHG) emissions and will not be severely disrupted by climate related hazards.

33. The IN-FLORES project will not just contribute to conservation of Komodo dragon and other globally threatened species and their habitats, but also safeguard Flores' main natural ecosystems that support the economic development of the island population through provision of essential services such as water supply, climate regulation, disaster prevention, pollination and pest control, and aesthetics. An important dimension of the project' vision is the successful implementation of Other Effective Area-based Conservation Measures (OECM), aimed at expanding the coverage of landscapes-seascapes under effective protection and management, and expanding stakeholder involvement in conservation initiatives. Infrastructure development will not put globally significant biodiversity and ecosystems at threat as sustainability guidelines and safeguards will be embedded in management and strategic plans of various government sectors.

34. In order to genuinely engage local communities into proposed integrated landscape-seascape scale management frameworks, the current urban-rural growth disparity needs to be reduced, e.g., through investment in community led businesses that will be incentivized to develop biodiversity-friendly business models. The growth of the tourism sector in Flores will be oriented towards a model promotes responsible and green tourism while ensuring the growing participation of local actors in the industry. The landscape-seascape approach implemented in west and north Flores will serve as a model for the achievement of Indonesia's vision 2045.

Barriers to long-term conservation of the Komodo dragon and other threatened species:

35. The following barriers are impeding to achievement of an inclusive conservation Komodo dragon and other globally threatened species goals.

36. **Barrier 1:** ***Lack of proper management of the Komodo dragon and other globally threatened species terrestrial and marine species within and outside of conservation areas*****.** The Komodo dragon populations in Flores show significant genetic diversity indicating that there are barriers that help to preserve their genetic diversity. Three specific genetic conservation populations have been identified in the country, in (i) Komodo National Park Area, (ii) the North Flores area (Mbarujawa, Riung Nature Reserve, and Ontoloe Island) and (iii) in Sambi Rampas District and its surroundings (including Riung and Seventeen Island Nature Reserve, and Wolo Tadho Nature Reserve). The Komodo dragon populations are monophyletic (one breed) residing on Komodo Island and North Flores that is currently geographically separated from other populations. However, while efforts at conservation of the Komodo dragon has been largely focused in Komodo national park, there is a lack of an intensive and holistic approach to conserve the full genetic diversity of the Komodo dragon, both within and outside conservation areas, particularly in mainland Flores. Without such an effort, the genetic variability and adaptability of the Komodo dragon will likely be less understood. Limited exploratory research in assessing genetic variability will likely preclude identification and adaptation of appropriate and specific management actions to prevent the extinction of the smaller and distinct populations of the Komodo dragon. Limited resources for monitoring of genetic, demographic and health parameters of the distinct populations in order to better understand factors that contribute to population decline and management efforts that can contribute to improving its health and population viability is needed.

37. Populations in nature have evolved and adapted to natural conditions that are very different from populations that are currently in ex-situ conditions (in zoological gardens and safari parks). As this precludes the possibility of reintroductions to the wild (to supplement dwindling populations outside of conservation areas) due to inability of ex-situ populations to be able to compete as well as disease factors, it exemplifies the need for a coordinated and intensive approach to management of the current wild populations that are found outside conservation areas. This is compounded by the fact that stakeholders (government, private and community) are guided by their respective priorities and individual needs that often result in resource use conflicts due to the absence of a commonly agreed conservation planning and management framework for all stakeholders to agree and follow. Various agencies that are involved with forest and natural resources management need to work together to reconcile their approach to "conservation and protection of species and ecosystems". Policies and programs in the broader landscape, particularly those that support agricultural expansion, intensity grazing, use of chemical fertilizers, tourism development and infrastructure expansion require review to determine their impacts on the Komodo dragon population and their habitats. Unplanned clearing of natural vegetation in the

landscapes surrounding conservation areas, as well as uncontrolled fires, can contribute to greenhouse gas emission and diminish local resilience to the effects of climate change. All this is compounded by the inadequacy of a long-term spatial planning framework at the provincial levels that considers sustainable conservation objectives and specific safeguards– thus, creating an environment where there is competition for "locking" of important lands for other specific purposes without regard for their potential long-term impacts on Komodo dragon, other threatened species, ecosystem services, movement of threatened species, sustainable tourism, environmentally-friendly agriculture and community livelihoods. Further many of the identified threats arise from the lack of (or weak and ineffective) compliance monitoring and enforcement of plans, policies, strategies, laws and other measures. Provincial governments and their entities have a very crucial role in landscape level actions because of mandates to reflect the above concerns in land use and local investment planning and programs, however, current policy guidance for spatial planning at the landscape level tend to be unclear and fragmented that can act as disincentive for local conservation action. Related to the above barrier is also the limited capacity of government and other stakeholders to work across a mosaic of land uses to exact any meaningful changes in long-term biodiversity conservation with social benefits that would bring a range of stakeholders with diverse knowledge (including traditional knowledge) and cultural experiences for protection of the complex landscape of Flores.

38. Therefore, to strengthen management for globally threatened species in a wider landscape-seascape, interventions will be necessary at multiple and overlapping scales, requiring coordination among a diverse network of individuals and organizations to integrate local-scale conservation activities with broad-scale goals as well as integration of innovative and novel environmentally-friendly and sustainable solutions to generate economic opportunities, safeguard biodiversity and appease cultural traditions. Conservation non-governmental organizations and research institutions efforts that incentivize socially and environmentally responsible investments to help reduce poverty, protect biodiversity and address climate vulnerability are still relatively new, requiring enhanced capacity and skills and novel financial solution strategies to achieve positive outcomes.

39. **Barrier 2:** ***Absence of viable alternative economic models and environmental-friendly livelihood activities for sustaining conservation efforts and benefits for local communities*****.** The investments in Labuan Bajo and the surrounding areas have attracted large scale investors resulting in high land prices. If not properly managed, the drive to make Labuan Bajo a premium tourist destination will marginalize small businesses or operators. Currently, there is little effort to assess the impacts of tourism on the Komodo dragon (and possibly on associated terrestrial and marine species), particularly on the individual and population level attributes of the Komodo dragon, given that there is known phenotypic and demographic responses to variation in human activities across the Komodo dragon range, that have not be fully studied. The potential negative consequence of altered behavior due to human activity is nevertheless believed to influence demographic processes through intraspecific competition or predation. Consequently, the absence of properly managed ecotourism, in particular if visitation increases in the future can preclude opportunities for generating long-term conservation benefits for Komodo dragon, while concurrently providing additional economic resources for conservation management and improving incomes for local communities. Efforts are needed to ensure that expansion of ecotourism activities are carefully planned to limit negative impacts on animal populations and their habitats as well as reducing human-wildlife conflict.

40. While effective alternative economic models can generate funding from conservation and improving community livelihoods, there will still remain uncertainty of national, regional and local governments being able to solicit adequate funds to successfully manage the Komodo populations outside the KNP in mainland Flores. As of 2021, the number of personnel working for BBKSDA-NTT is eleven, who are responsible for management of six protected areas covering 52,417 hectares in mainland Flores. While there are around 74 existing financial solutions to increase funding (BIOFIN[26]) these have not been explored, so opportunities exists to explore a mix of funding sources (including the Village Fund) to pilot local ecotourism and environmentally-friendly income generation efforts. While, there have been piecemeal efforts to promote economic activities based on ecology in the past, a regional integrated landscape (and seascape) planning approach that integrates the multiple uses within the Komodo habitat is required to develop a sustainable approach to income generation (community

[26] BIOFIN (The Biodiversity Finance Initiative) is a UNDP-managed global programme, initiated with the European Commission at the CBD COP 11, in response to the urgent global need to divert more finance from all possible sources towards global and national biodiversity goals. Homepage | BIOFIN

ecotourism activities, breeding of Timor deer, growing of traditional crops and medicinal and aromatic plants with niche market and other economic access, small holder agriculture and plantation models, etc.) and conservation. The absence of a comprehensive alternative economic model prevents the selection of the best options for reducing human influence on the Komodo dragon and its habitat, including the development of a regional or integrated landscape-seascape management planning approach for operation of existing, and location of new tourism and infrastructure facilities, livelihood development locations and activities to limit impacts on the Komodo dragon and other key species.

41. In terms of the marine environment, alternative and sustainable economic models are needed to promote community enterprises in support of small scale sustainable mariculture, seaweed culture and pelagic fisheries, value chains and post-harvest fisheries operations and community ecotourism to enable a shift from destructive fishing practices that threatened the marine environment.

42. Other innovative financing options for conservation and community improvement that have not been adequately pursued so far include loan guarantees for biologically-friendly economic activities, fiscal transfers through regional incentives, as well as negotiation of easing of regulations that preclude regional and local governments (currently financing for conservation is directly provided by the Central Government) from contributing directly to conservation efforts. On the other hand, the market approach to conservation activities is still underdeveloped. For example the entry fee to a national park or nature reserve does not reflect the value of scarcity of the resources in it and the entry tickets are very cheap (as low as USD 1/person) hence the funds collected are not able to cover operations and conservation activities. A combination of market approaches and financial instruments are needed, such as through a guarantee-mechanism, whereby banks distribute loans to micro, small and medium enterprises (MSME) actors around conservation areas for environmentally-friendly activities which are supported by a guarantee-mechanism to ensure access to finance for MSMEs that are non-bankable. The lack of economic growth around the area that support environmentally sustainable activities is a barrier to diverting destructive activities into productive activities that in turn could raise awareness to support conservation

43. **Barrier 3:** ***Limited knowledge and awareness of Komodo dragon and other globally threatened species, and the role of biodiversity conservation in the long-term economic and social well-being of local communities*****.** Local communities that live side by side with Komodo dragons and other vulnerable species have valuable traditional knowledge based on the wisdom of the community whereby humans, animals and other living creatures have lived together without disturbing each other. However, there is an opportunity to integrate and use scientific and traditional knowledge to effectively manage the landscape-seascape and its attendant species through improved documentation and dissemination for its wider application. Local governments also require sufficient incentives and encouragement for environmental stewardship and improved sex-disaggregated data and appreciation for gender issues that would make it easier to plan and evaluate for gender-based improvements. In addition, the lack of adequate awareness among tour operators and tourists on appropriate behavior is another constraint that needs to be addressed.

44. While knowledge of Komodo dragons and the vulnerable species, particularly generated through research in ex-situ facilities (and to some extent in-situ), this knowledge is very useful and has not been consolidated and integrated with existing knowledge management systems at the Ministry of Environment and Forestry, and fisheries agencies and made readily available for local decision making. On the other hand, the information collected by personnel of conservation areas and traditional knowledge held by local communities, that might be of high commercial value are not effectively and scientifically managed, not codified and protected by law and hence vulnerable to being stolen and recognized unilaterally for commercialization purposes.

National Policy Alignment:

45. The rationale of this project is fully consistent with national policies and strategic plans. The Government of Indonesia has started to develop its National Biodiversity Strategic and Action Plan for the period starting in 2020. The development of the document, however, will be subject to the finalization of the Global Biodiversity Framework Post-2020. Currently, the relevant national biodiversity targets can be referred to the Medium-Term National Development Plan (RPJMN) 2020-2024 and the Strategic Plan of the DG KSDAE of the Ministry of Environment and Forestry 2020-2024

46. **Medium-Term National Development Plan (RPJMN) 2020-2024.** The RPJMN has determined that the improvement of environmental quality is one of the priority programs. Under this program, the project will contribute to the national target to increase the protection of high conservation value areas from 52 million to 70 million by 2024. This target will be achieved. As it will be described under Output 1.3, the project will support the identification and verification of the high biodiversity value areas both in state forest areas as well as on community lands and pilot area-based conservation measures with an integrated landscape/seascape approach.

47. Further, as it will be reflected in the proposed outputs, the project is consistent with the **strategic policy direction** in the mid-term development plan to improve the environmental quality by a) preventing biodiversity loss and ecosystem degradation through site/area conservation as well as protection of the threatened species in terrestrial and aquatic areas; b) providing data and information on biodiversity and ecosystems.

48. Within the mid-term development plan, the 25 priority species identified in the Indonesian Biodiversity Strategy and Action Plan 2003-2020 are also included, which is pertinent to this project, as the Komodo dragon is one of the 25 listed species. As it will be elaborated in Output 2, the project will facilitate the development of an investment plan based on the existing Komodo Dragon Strategic Action Plan (SRAK) and implemented with adequate investments in innovative tools, practices, and financing; improve guideline and planning framework integrating conservation outcomes in development sectors and facilitation development of integrated ecosystem management landscape framework in Flores.

49. **Strategic Plan of the DG KSDAE of the Ministry and Environment and Forestry for 2020-2024.** The current strategic plan of the DG KSDAE is to implement the target set in the RPJMN. The project will contribute to 2 of the 6 priority activities under the strategic plan: to improve the management effectiveness of protected areas and to identify and verify high biodiversity value areas outside of the protected areas. For the first goal, the indicative target is to increase the management effectiveness in 277 units of PAs. For the second goal, the indicative target is 43 million ha of high biodiversity value areas outside of the PA network identified and verified.

50. The project will support the Government of Indonesia in compliance with its **CITES** requirements. The project will focus on two species listed in CITES Appendix 1 which are the Komodo dragon and Yellow-crested cockatoo as well as one species listed in CITES Appendix 2 which is the Flores hawk-eagle. All of the species are globally threatened species. The project will support the establishment and/or enforcement of the National Strategy and Action Plan for the Komodo dragon and Flores hawk-eagle species. A National Strategy and Action Plan for the Yellow-crested cockatoo is expected to be prepared in 2021-22.

51. **Sixth National Report to CBD**. The project is consistent with the national targets as reflected in Indonesia's sixth national report to the CBD. In particular, this relates to the following:

a. National Target 2: Implementation of sustainable management of biodiversity resources in the planning and implementation of national and regional development to improve community economies
b. National Target 3: Realization of incentives and disincentives system in business and the sustainable management of biological resources
c. National Target 4: Establishment of increased availability and implementation of policies supporting sustainable consumption and production in the utilization of biodiversity resources
d. National Target 6: Implementation of policies for sustainable management and harvesting
e. National Target 7: Improved sustainably managed land for agricultural, plantation and animal husbandry
f. National Target 11: Realization of sustainable maintenance and improvement of conservation areas
g. National Target 12: Realization of efforts to maintain the populations of endangered species as a national conservation priority
h. National Target 14: Improved functionality of integrated ecosystems to ensure the improvement of essential services
i. National Target 15: Realization of conservation and restoration of degraded ecosystems
j. National Target 19: Implementation of science and technology capacity building for sustainable management of biodiversity

k. National Target 21: Implementation of comprehensive and integrated data gathering and information mapping on biodiversity.

Relevance to Sustainable Development Goals (SDGs) and post-2020 Global Biodiversity Framework:

52. The project is relevant to a number of SDGs, most notably SDG 1 (No Poverty), SDG 5 (Gender Equality), SDG 12 (Responsible Consumption and Production), SDG 13 (Climate Action), SDG 14 (Life below Water), SDG 15 (Life on Land), and SDG 17 (Partnerships for the Goals), as outlined below in **Table 1.**

Table 1: Project contributions towards Sustainable Development Goals

SDG	Project Contribution:
	2,500 estimated direct beneficiaries, participating and benefitting in interventions on community-based OECMs (aligned with SDG 1.1). The integrated ecosystem management frameworks for the target landscapes-seascapes will promote gender-sensitive development strategies, and facilitation of biodiversity-friendly livelihood ventures will contribute towards investments in poverty alleviation (aligned with SDG 1.b).
	50% of the envisaged direct beneficiaries are estimated to be women (1,250 individuals). Women empowerment is expected to be strengthened through increased participation in governance structures, livelihood ventures, as well as increased leadership through active participation of women's groups (aligned with SDG 5.a).
	The project's knowledge management strategy will be developed on the basis of the results of the Knowledge, Attitudes and Practices (KAP) survey conducted at project inception. Knowledge management and environmental education activities will focus on ensuring stakeholders have increased access to information and knowledge related to role of biodiversity in the sustainable development in Flores (aligned with SDG 12.8).
	The project will help facilitate strengthened resilience and adaptive capacity to climate-related hazards and natural disasters in the target landscapes (aligned with SDG 13.1). Climate change considerations will be incorporated into the integrated ecosystem management frameworks for the target landscapes-seascapes (aligned with SDG 13.2). Local communities will have increased awareness of climate change through learning-by-doing capacity building delivered through partnerships with expert organizations and interactions with enabling stakeholders (aligned with SDG 13.3).
	The project aims to improve marine protected area management effectiveness of marine and coastal ecosystems (aligned with SDG 14.2), promote best practices to reduce pollution of and damage to environmentally sensitive marine areas (aligned with SDG 14.1), and contribute towards the objective of conserving coastal and marine areas (aligned with SDG 14.5).
	The project aims to ensure conservation, restoration, and sustainable use of environmentally sensitive terrestrial areas (aligned with SDG 15.1); facilitate sustainable management of terrestrial ecosystems through integrated landscape approaches (aligned with SDG 15.2); improve terrestrial protected area management effectiveness (aligned with SDG 15.5); reduce threats to protected wildlife species (aligned with SDG 15.7); mainstream biodiversity conservation into key production sectors in Flores (aligned with SDG 15.9); help facilitate increased and diversified conservation financing in the target landscapes-seascapes (aligned with SDG 15.a); mobilize co-financing to support the conservation and restoration interventions (aligned with SDG 15.b).
	Enhancing South-South and triangular regional and international cooperation on collaborative initiatives with new or existing scientific partners to advance knowledge of the Komodo dragon and other globally threatened species in the target landscapes-seascapes (aligned with SDG 17.6); and encouraging public-private-community partnerships in the establishment and implementation of OECMs (aligned with SDG 17.17).

53. The project will also contribute to achievement of the targets outlined in the post-2020 global biodiversity framework [27], which was under development at the time of developing the Project Document. The project is aligned with the following draft 2030 Action Targets of the zero draft of the post-2020 global biodiversity framework:

- **Target 1.** By 2030, [50%] of land and sea areas globally are under spatial planning addressing land/sea use change, retaining most of the existing intact and wilderness areas, and allow to restore [X%] of degraded freshwater, marine and terrestrial natural ecosystems and connectivity among them.

[27] CBD, 17 August 2020. Update of the Zero Draft of the Post-2020 Global Biodiversity Framework. Convention on Biological Diversity, CBD/POST2020/PREP/2/1. The term "post-2020 global biodiversity framework" is used as a placeholder pending decision on the final name at the fifteenth meeting of the Conference of the Parties.

- **Target 2**. By 2030, protect and conserve through well connected and effective system of protected areas and other effective area-based conservation measures at least 30 per cent of the planet with the focus on areas particularly important for biodiversity.
- **Target 7.** By 2030, increase contributions to climate change mitigation adaption and disaster risk reduction from nature-based solutions and ecosystems-based approaches, ensuring resilience and minimizing any negative impacts on biodiversity.
- **Target 9**. By 2030, support the productivity, sustainability and resilience of biodiversity in agricultural and other managed ecosystems through conservation and sustainable use of such ecosystems, reducing productivity gaps by at least [50%].
- **Target 13.** By 2030, integrate biodiversity values into policies, regulations, planning, development processes, poverty reduction strategies and accounts at all levels, ensuring that biodiversity values are mainstreamed across all sectors and integrated into assessments of environmental impacts.
- **Target 18.** By 2030, increase by [X%] financial resources from all international and domestic sources, through new, additional and effective financial resources commensurate with the ambition of the goals and targets of the framework and implement the strategy for capacity-building and technology transfer and scientific cooperation to meet the needs for implementing the post-2020 global biodiversity framework.
- **Target 19.** By 2030, ensure that quality information, including traditional knowledge, is available to decision makers and public for the effective management of biodiversity through promoting awareness, education and research.
- **Target 20.** By 2030, ensure equitable participation in decision-making related to biodiversity and ensure rights over relevant resources of indigenous peoples and local communities, women and girls as well as youth, in accordance with national circumstances.

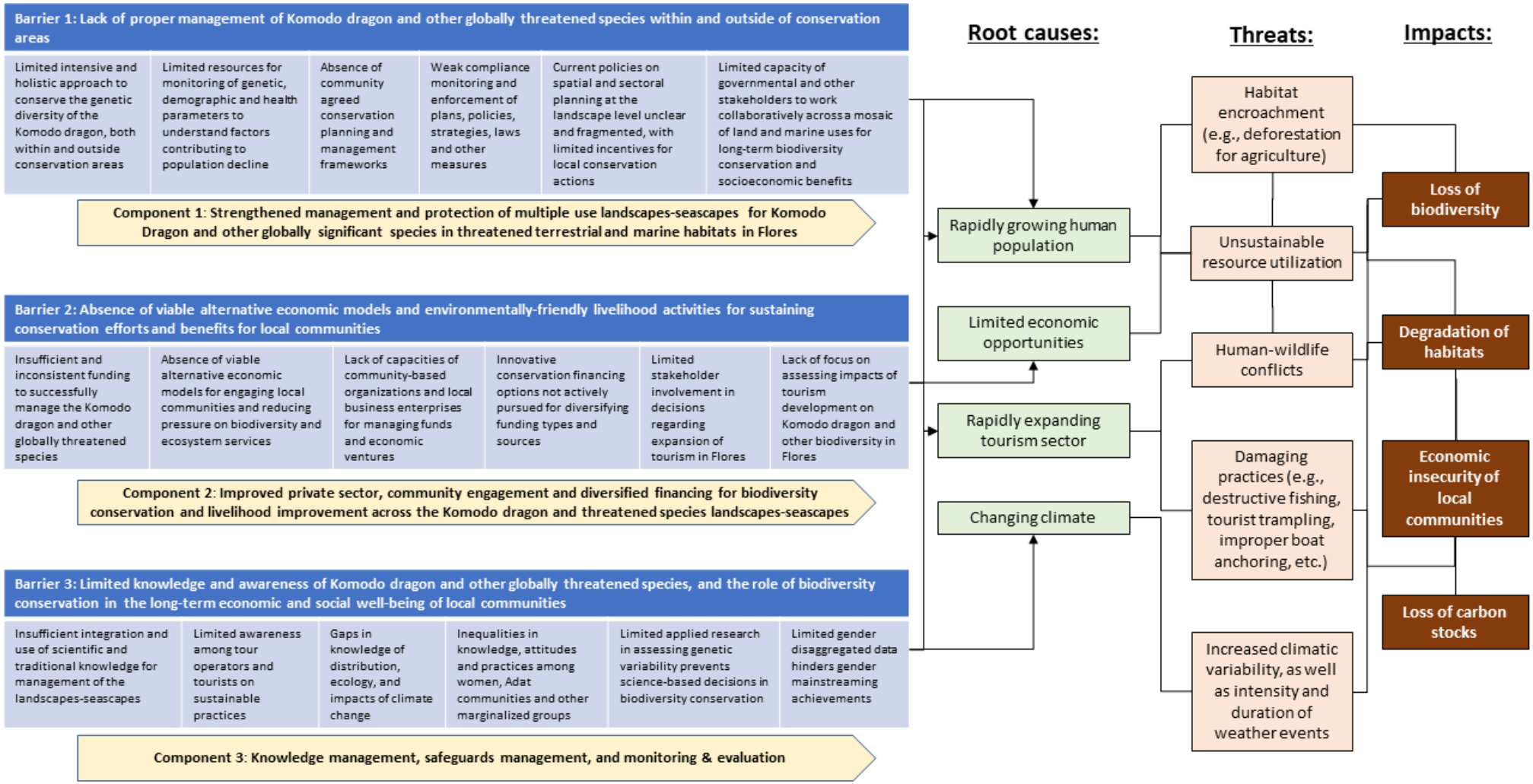


Figure 2: Problem tree analysis

III. STRATEGY

GEF alternative

54. To address the above-mentioned challenges and barriers, the proposed project aims to mainstream biodiversity conservation priorities into multiple use landscapes-seascapes, including protected areas, conservation areas, production and protection forests and community lands through active community participation in species management, sustainable economic activities and livelihood development. In particular, this builds on the policy of the MoEF to encourage regional governments to ensure that high biodiversity value terrestrial and marine ecosystems that are outside existing protected areas be managed through alternative modalities, such as OECMs.[28] This is further enhanced by the decree issued by the Governor of NTT Province to facilitate establishment of a multi-sectoral management mechanism to enable integrated landscape-seascape planning in Flores.[29]

55. The support from the business community will be a key factor to deliver the OECM approach involving private sector and improved community livelihoods. The project will also aim at establishing sustainable conservation financing mechanisms to ensure long-term support for conservation of the Komodo dragon (considered the flagship species for the Flores landscape) and other threatened species and their terrestrial and marine habitats. This will be achieved through a set of targeted outputs that support conservation, socio-economic and financial interventions aimed at integrated management of the Flores landscapes-seascapes. Designation of OECMs will follow defined steps of identification and inventory of delineation, legal recognition of the OECMs and establishment of OECM governance mechanisms (multi-stakeholder platforms) to support planning and management, and solicit partnerships and sustainable financing.

56. The long-term approach is to harness community engagement and innovative conservation financing and economic opportunities, in support of conservation through: (i) demonstration of new alternative economic models involving tourism, agriculture, fisheries and private sector, building on BIOFIN findings to pilot innovative biodiversity financing; (ii) promote a range of alternative livelihood activities for local communities to reduce or deflect unsustainable resource use activities that degrade habitats of Komodo dragon and other species, with a specific emphasis on small and medium scale ecotourism enterprises that benefit local and *Adat* communities; (iii) promote an integrated landscape-seascape approach that enhances connectivity of the currently fragmented habitats, in particular through improved practices within production forests, convertible forest and community owned lands, marine and coastal habitats; and (iv) support comprehensive monitoring efforts to better understand the distribution and population dynamics of the varied populations of the Komodo dragon and other threatened species to provide improved options for the management and conservation of the genetic variability of the species.

Theory of change:

57. The project theory of change, as graphically depicted in **Figure 3** is explained as follows: if strengthened and integrated management of multiple-use landscapes are in place, species management, bio-economy, and sustainable community livelihood are beneficial, and tested financing instruments are institutionalized, promoting conservation of Komodo dragon and other globally threatened species in Flores will be realized. As shown in this diagram, the theory of change for the project is broken down into the following three causal pathways: (1) strengthening and introducing new governance models, (2) building financial sustainability, and (3) facilitating adaptive management through knowledge sharing, monitoring and evaluation. The integrated landscape-seascape approaches are envisaged to be upscaled and sustained after GEF funding ceases, leading the following long-term outcomes:

- Strengthened enabling environment facilitates biodiversity mainstreaming among production sectors
- Improved management of protected areas and OECMs achieve durable conservation objectives

[28] Regulation of the Director General of Natural Resources and Ecosystem Conservation No: P. 8/KSDAE/set.3/kum.1/11/2020 concerning technical guidelines for inventory and verification of areas with high biodiversity values outside nature reserves, nature conservation areas, and hunting parks

[29] Governor Decree of East Nusa Tenggara Number 238/KEP/HK/2020 concerning Essential Ecosystem Areas on Flores Island, East Nusa Tenggara Province

- Stable populations of globally threatened species through strengthened and expanded area-based conservation at scale
- Enhanced well-being and resilience of local communities, inclusive of women, *Adat* communities and other marginalized groups, through participatory approaches
- Adaptive management facilitated through effective knowledge sharing and durable collaboration with scientific partners

Causal Pathway 1: Strengthening and introducing new governance models

58. It is recognized through the project's theory of change that achieving long-term conservation objectives in the target-landscapes requires an integrated approach, involving existing protected areas, new OECMs, as well as effective collaboration among production sectors. Multi-stakeholder coordination platforms will be established in each of the two target landscapes-seascapes, to facilitate the required collaboration among stakeholders and across sectors. The designation of OECMs will be verified through the process of developing integrated ecosystem management frameworks and culturally-appropriate engagement with local communities. Important impact drivers in this causal pathway is that the government remains committed to the OECM model, and the cross-sectoral and multi-stakeholder collaboration mechanisms are effectively established. Assumptions associated with the process of strengthening and introducing new governance models include the following:

- Institutional commitment and flexibility to mainstreaming and financing (including MoEF and other national ministries, provincial and district governmental departments, Labuan Bajo Flores Tourism Authority)
- Institutional and individual capacities remain in place
- Governance conditions I the project landscapes-seascapes support the proposed OECM models

59. It is important that conservation goals and social outcomes are mutually supportive in the OECMs, e.g., diversification of livelihoods through sustainable use of natural resources, genuine participatory conservation arrangements involving local communities into decision-making – including women, *Adat* communities and other marginalized groups, and that traditional knowledge is respected and protected. Working at landscape-seascape scales also requires that there are sufficient capacities for monitoring biodiversity, enabling informed management decisions. Resources are allocated for strengthening capacities of the protected areas, with a particular emphasis on marine and coastal concerns, as well as local communities responsible for governance of the OECMs.

Causal Pathway 2: Building financial sustainability

60. Achieving durable impacts at scale will largely depend upon sustainable financing for conservation initiatives and reliable access to funding instruments. Project interventions include developing business plans for some of the protected areas in the landscapes-seascapes, as well as for local biodiversity-friendly livelihood and business ventures, demonstrating implementation of these plans, delivering capacity building to local stakeholders to enable them to better management available funds, strengthening and introducing new conservation finance options, and improving the ecotourism offerings and experiences, aligned with the integrated ecosystem management approaches in the target landscapes-seascapes. Some of the key assumptions under this causal pathway include the following:

- Sustainable options are attractive to local communities
- Private sector partners share the long-term vision of sustainable development
- Financial instruments are accessible to local stakeholders
- Increasing consumer demand for sustainability

61. Ensuring equitable distribution of benefits, including among women, Adat communities and other marginalized groups, is an important impact driver. Moreover, investments and revenue-generating strategies need to be sufficient to enable upscaling and achieve financial sustainability objectives.

Causal Pathway 3: Facilitating adaptive management through knowledge sharing, monitoring and evaluation

Achieving durable changes in knowledge, attitudes and practices depends on ensuring stakeholders attain and keep abreast of knowledge and best practices. The project will implement an inclusive knowledge management strategy, regularly update the strategy based on feedback obtained from monitoring and evaluation and implementation of safeguard management plans. Building upon existing partnerships and building new ones with scientific institutions, the project will facilitate increased knowledge transfer, as well as expand the knowledge base with analyses in the impacts of climate change. One of the key impact drivers in this causal pathway is that conservation practices are adapted according to effective flow of knowledge. The receptiveness of stakeholders to knowledge inputs is an important assumption in this regard.

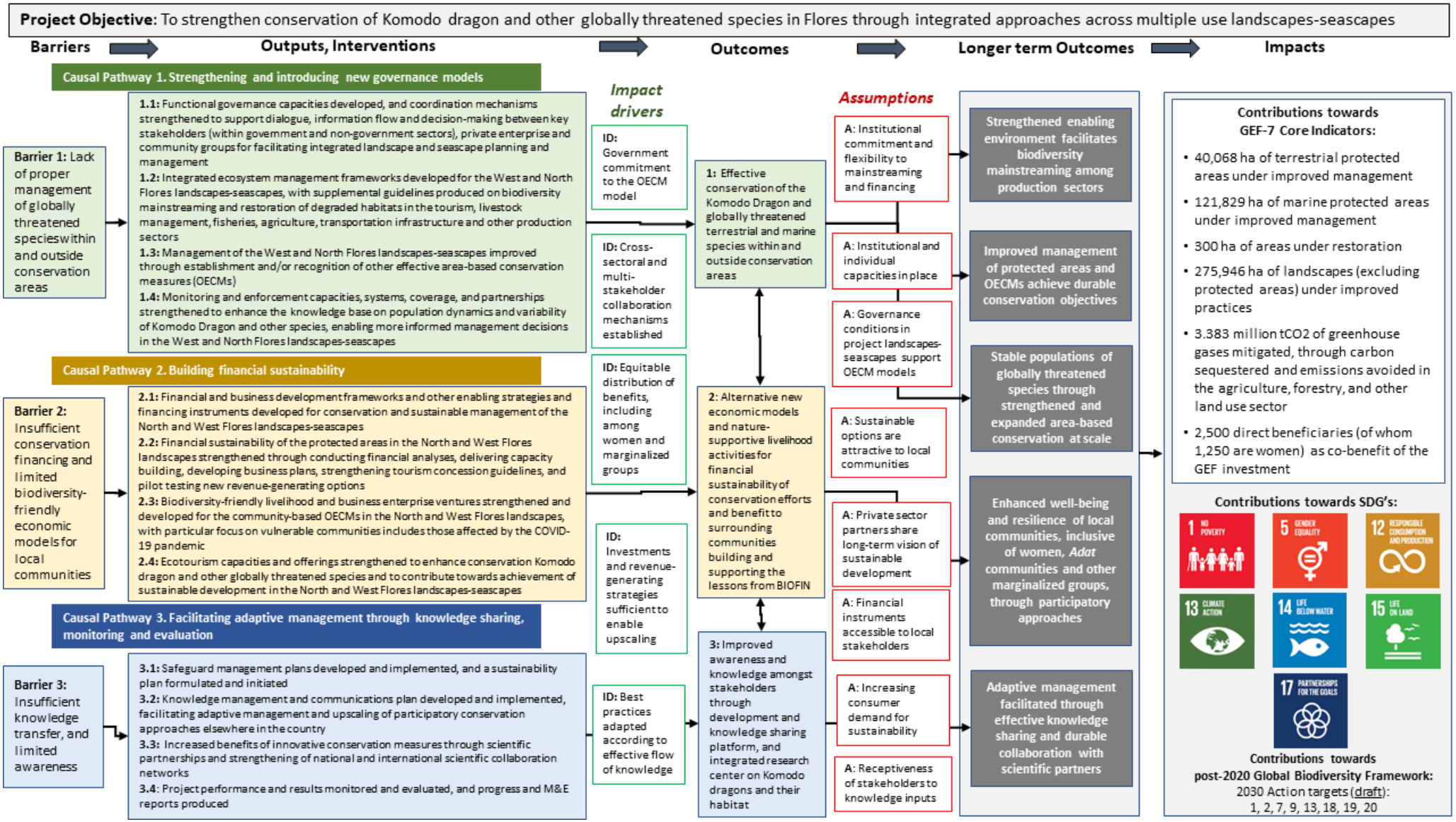


Figure 3: Project theory of change

62. The proposed project objective is proposed to be achieved through three inter-linked components:

Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management

Outcome 1: Effective conservation of the Komodo Dragon and globally threatened terrestrial and marine species within and outside conservation areas

Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape

Outcome 2: Alternative new economic models and nature-supportive livelihood activities for financial sustainability of conservation efforts and benefit to surrounding communities

Component 3: Knowledge management, safeguards management, and monitoring & evaluation

Outcome 3: Improved awareness and knowledge amongst stakeholders through development and knowledge sharing platform, and integrated research center on Komodo dragons and their habitat

Alignment with GEF focal area

63. The project is closely aligned with the GEF-7 biodiversity focal area programming directions, including Objective 1 (*Mainstreaming biodiversity across sectors as well as landscapes and seascapes*), Outcome BD 1-1 (*Mainstream biodiversity across sectors as well as landscapes and seascapes through biodiversity mainstreaming in priority sectors*). The project strategy is underpinned by mainstreaming biodiversity in key development sectors in Flores, particularly related to tourism, and also including agriculture, livestock management, fisheries, and infrastructure development (namely transportation infrastructure). Facilitated by multi-stakeholder coordination platforms, integrated ecosystem management frameworks will be developed for the West and North Flores landscapes-seascapes. Such an approach brings multiple stakeholders and multi-sectors together to define an integrated planning exercise for effective conservation and sustainable natural resource uses within the landscapes-seascapes, in particular in production areas (production forests, protection forests, convertible forests and other land and marine uses) outside protected areas. In terms of tourism, the intent (post COVID-19) is to identify appropriate ecologically friendly tourism promotion approaches to maximize experiences, including identification of niche tourism products and enhancing community-based ecotourism opportunities. An integrated landscape-seascape approach will help facilitate the establishment of community-private partnerships for economic business development opportunities, thus, unlocking non-public sources of financing for biodiversity conservations. Area-based conservation will be expanded through establishment of OECMs in these target landscapes-seascapes, the first such OECMs in Indonesia.

64. The project is also aligned with Outcome 2-7 (*Address direct drivers to protect habitats and species and Improve financial sustainability, effective management, and ecosystem coverage of the global protected area estate*) of Objective 2 (*Address direct drivers to protect habitats and species*) under the GEF-7 biodiversity focal area programming directions. The project strategy addresses the direct drivers to protect habitats and species (e.g., human settlements and other development activities, human Komodo conflicts, and rapid tourism expansion) through improving management effectiveness of protected areas in the target landscapes-seascapes and enhancing the financial sustainability of protected areas and other area-based conservation measures. Moreover, appropriate economic investments in improving community livelihoods and small-scale community enterprise development will be expected to facilitate reduction of encroachment into Komodo habitat.

65. The expected results of the project would lead to: (i) biodiversity conservation mainstreamed into the management of terrestrial and marine habitats in Flores through improved incentives mechanisms that encourage private sector and community investment and participation in conservation; and (ii) reduction in the loss of critical biodiversity through adoption of more sustainable economic and environmental-friendly practices.

Incremental/additional cost reasoning

66. The GEF alternative is predicated on integrated landscape-seascape approaches, bringing stakeholders together to achieve multiple benefits at scale. The business as usual scenario consists of protected areas functioning with limited engagement with communities and production sectors beyond their borders, production sectors working in silos on sector-specific strategies and plans, and local and *Adat* communities disconnected from decision-making processes that affect their livelihoods and well-being. Facilitated by multi-stakeholder coordination platforms, integrated ecosystem management frameworks will be developed that promote broader and more effective conservation outcomes, e.g., establishing corridors to enhance connectivity, mainstreaming biodiversity in key sectors to minimize damage and disruption to biodiversity, safeguarding ecosystem services for long-term provision of livelihoods and resilience for local communities, and expands and diversifies conservation financing.

67. Establishment of OECMs, the first ones in Indonesia, will provide scale-able models for alternative approaches for area-based conservation that more inclusively involve local communities. The OECMs will also contribute towards strengthening Forest Management Units (FMUs) in terms of protecting and managing high biodiversity areas, and help improve protected area buffer zone management, including more effective management of human-wildlife conflicts and stemming unsustainable practices in the landscapes and seascapes. Importantly, the OECM modality provides an opportunity to involve *Adat* communities in conservation and natural resource management decision-making, with equitable representation in governance structures.

68. Without the GEF project, it is likely that there will be loss of biodiversity and deterioration of ecosystem services in the Flores landscapes-seascapes, particularly outside protected areas that provide critical habitats for the Komodo dragon and other globally threatened species.

69. There are a number of finance and government-supported instruments available, e.g., Indonesia's Guaranteed Microfinance Programme (KUR), village-owned enterprise (BUMDes), and low-interest loans available through local banks. The GEF alternative focuses on building capacities of community-based organizations and local business enterprises to manage the available funds and develop viable biodiversity-friendly livelihood and business models. Moreover, the project will facilitate strengthened and new linkages with private sector enterprises, governmental programs, initiatives supported by other donors, etc., as well as provide assistance in developing and introducing innovative conservation finance options.

70. Tourism is a key aspect of the development strategy in Flores. The IN-FLORES project will provide timely support in helping to balance the often competing demands of ensuring conservation of globally significant biodiversity with providing economic opportunities for the local population. The GEF alternative involves engaging with the Labuan Bajo Tourism Authority, the Komodo National Park, and other stakeholders to orient tourism development in a direction that ensures conservation of the Komodo dragon and other globally threatened species, while offering attractive and informative ecotourism experiences and offerings.

71. The incremental costs of the GEF funds will help enhance science-based management decisions in the target landscapes-seascapes. This includes strengthening monitoring capacities and systems, particularly in marine areas – a gap that was also highlighted in the 2021 UNESCO assessment of the KNP. Improving the transfer of knowledge, including from existing scientific institutional partners, is an important aspect of the project strategy. For instance, incorporating information on potential climate change impacts to the habitats of the Komodo dragon and other globally threatened species into the integrated ecosystem management frameworks for the target landscapes-seascapes, will enable more effective wildlife management at scale, rather than focusing on individual protected areas.

Global environmental benefits

72. The project will generate multiple global environmental benefits. Threatened wildlife species, including the iconic Komodo dragon (*Varanus komodoensis*; IUCN Red List: Endangered EN), as well as the Flores Hawk-eagle (*Nisaetus floris*; IUCN Red List: Critically Endangered CR), Yellow-crested Cockatoo (*Cacatua sulphurea*; IUCN Red List: CR), and other endangered marine and terrestrial species will be safeguarded through improving the management effectiveness of 40,068 ha of terrestrial protected areas and 121,829 ha of marine protected areas. The cumulative area of terrestrial protected areas under improved management effectiveness is broken

down across the following five protected areas: Komodo National Park, Wae Wuul Nature Reserve, Riung Nature Reserve, Wolo Tadho Nature Reserve, and the Tujuh Belas Pulau Nature Recreation Area. The cumulative area of marine protected areas under improved management effectiveness is broken down across the following three protected areas: Komodo National Park, Tujuh Belas Pulau Nature Recreation Area, and a 925 ha part of the core zone of the Sawu Sea Marine National Park.

73. The project will facilitate improved management of 275,946 ha of landscapes outside protected areas to benefit biodiversity, through establishment of Other Effective Area-based Conservation Measures (OECMs) in key biodiversity areas (KBAs) through community-managed conservation corridors, improved buffer zone management, and sustainable forest management practices. Moreover, 300 ha of degraded forest and grassland ecosystems will be rehabilitated to further enhance connectivity and improve biodiversity conservation across the two target landscapes-seascapes on Flores Island.

74. Improved management and restoration of degraded habitats in the Flores are to result in a co-benefit of 3.383 million tons of carbon dioxide equivalent of lifetime direct greenhouse gas emissions mitigated, through increased carbon sequestration and emissions avoided over a period of 20 years (estimated using the FAO Ex-Ante Carbon Balance Tool (EX ACT)).

Project landscapes-seascapes

75. With the objective of increasing connectivity of the protected areas with potential high biodiversity value areas, it is necessary to link up as much as possible the distribution areas of Komodo dragon and other globally threatened species with the other natural habitats in the north and west Flores landscape/seascape. The proposed project areas have been defined to include: a) distribution areas of Komodo dragons; b) protected areas that overlap with the distribution area of Komodo dragon; c) KBAs connected with or in proximity to the distribution areas of Komodo dragon and; d) primary forests connected with the distribution area of Komodo dragon or the connected KBAs.

76. As the project will deploy area based conservation measures, including OECMs, a jurisdictional approach will be used, e.g. in selected FMUs and villages. Therefore the landscape/seascape boundaries should consider the village administrative boundaries, the FMU areas, and protected area boundaries. The following criteria were used to define the boundaries of the project areas: a) villages that overlap with the distribution area of Komodo dragons or with the connected terrestrial KBAs; b) villages that overlap with or share significant boundaries (adjacent to) with selected protected areas; c) villages that overlap with FMU areas that connect with the distribution area of Komodo dragon; d) villages that overlap with FMU areas that have significant forest connectivity; e) marine areas within the selected protected areas and f) marine areas between protected areas and KBAs/distribution areas of the Komodo dragon. An estimated 472,030 ha of land and marine areas have been identified to be part of proposed project areas in the north and west Flores landscapes-seascapes. The north Flores landscape-seascape is about 106,840 ha while the west Flores landscape-seascape is about 365,190 ha. These areas have been defined to maximize the potential connectivity of protected areas with promising high biodiversity value areas as well as other natural habitats in between.

77. Within the defined landscapes-seascapes, about 65% of the terrestrial and marine areas are managed by government agencies as conservation areas and state forest areas. These include about 111,274 ha of forest areas classified as protection and production forests being managed by five forest management units. Community lands and open marine areas are about 35%.

78. There are 12 terrestrial and marine KBAs with the landscapes and seascapes. Seven of the KBAs in the west Flores landscape-seascape are habitats of 265 globally threatened species of which 47 are terrestrial species, including the Komodo dragon, Yellow-crested Cockatoo, and Flores Hawk-eagle. Five of the KBAs in the north Flores landscape-seascape are the habitats of 246 globally threatened species of which 28 are terrestrial species, including Komodo dragon, Yellow-crested Cockatoo, and Flores Hawk-eagle.

79. There are five protected areas in the north and west Flores landscapes-seascapes. Based on government decrees of establishment, the total extent of the protected areas in the landscapes-seascapes is 187,445 ha. The protected areas in the west Flores landscape-seascape are: the Komodo National Park, Wae Wuul Nature Reserve, the core zone of Savu Sea Marine National Park; whereas Riung Nature Reserve, Wolo

Tado Nature Reserve, and Tujuh Belas Pulau Nature Recreation Park are in located the north Flores landscape-seascape.

80. Outside of the protected area network, there are about 176,396 ha of potentially High Biodiversity Value Areas (HBVAs). These include the indicative distribution areas of Komodo dragons, Key Biodiversity Areas, and other primary forests in state forest areas as well as in community lands. These are connected with other natural habitats such as secondary forests and savannas both in state forest areas and in community lands totaling about 52,455 ha. Thus the total extent of natural and semi-modified habitats outside of the PA network is estimated to be about 228,851 ha. To a certain extent, these areas are still connected and form the main areas of the landscapes-seascapes.

81. The extent of potential HBVAs in the FMUs is 91,385 ha and in community lands, 84,542 ha. In addition, there is about 469 ha of marine KBAs in west Flores seascape outside of the PAs. Outside of the Komodo dragon distribution areas, the HBVAs on the community lands include a significant extent of other primary forests which is about 35,590 ha. This indicates the importance to work together with the communities managing the land and forest to conserve biodiversity and primary forests.

West Flores Landscape-Seascape

82. The West Flores landscape-seascape covers the western distribution area of the Komodo dragon in Flores, including the famed Komodo National Park as well as critical production and protection forests in this part of Flores Island (see **Figure 4**). The extent of the west Flores landscape-seascape is an estimated 365,190 ha spread across two districts: West Manggarai and Manggarai. The western coast of Flores is part of the West Manggarai District which covers about 97% of the landscape-seascape.

83. The extensive coverage of the Komodo National Park has made protected areas the largest land-use category in the landscape-seascape of west Flores. Unfortunately, the coverage of the protected area network in the western part of mainland Flores is very limited. There is only one nature reserve on the west coast: Wae Wuul which has a small size of only 1,484 ha. There are also significant areas categorized as protection forests. These are mostly situated in the hilly areas, such as Mbeliling. Production forest areas are mostly in the northern part of the landscape in the lowland areas along the coast.

84. There are 7 Key Biodiversity Areas identified in west Flores landscape-seascape covering an area of about 236,760 ha. Almost all of the marine KBAs are within protected areas, while almost half (47%) of the terrestrial KBAs are within the protected area network. The Komodo National Park contributes significantly to the coverage of the KBAs in the protected areas. However, in the western part of Flores Island, the coverage of KBAs in the protected areas is small; only 3%. Most of the KBAs are in protection forest areas (41%) and other land-uses (45%) which indicates the need to promote biodiversity conservation to be delivered outside of the PA network.

85. The KBAs are critical for the survival of 265 globally threatened species of which 47 are terrestrial species, including the Komodo dragon, Yellow-crested Cockatoo, and Flores hawk-eagle.

86. A total of 123,359 ha of forests were identified based on the land cover map for 2019 produced by MoEF. A significant extent of primary forests totaling about 86,773 ha can be found mainly in state protection forest areas, state production forest areas, and community lands. The extent of primary forests in state forest areas and community lands is about 53,676 ha and 32,795 ha, respectively. This indicates the importance of the landscape approach to forest conservation.

87. Using the indicative distribution areas of the Komodo dragon and the KBAs as well as areas covered with primary forests, it is estimated that about 118,303 ha of land and marine areas can be considered to have high biodiversity values. These areas are expected to meet the three criteria set by the DG of KSDAE on the identification and verification of HBVAs outside of protected areas *(Peraturan Dirjen KSDAE No. P8/2020).* More than half of the potential HBVAs in the west Flores landscape-seascape are in forest management units (FMU or KPH) areas. These areas are mostly (54%) in the state forest areas. However, a significant extent of potential HBVAs is also identified on community lands (46%).

88. Komodo National Park together and the western coast of Flores Island have been designated as one of the National Strategic Tourism Areas or KSPN *(Kawasan Strategis Pariwisata Nasional)* by the government. There are five sub-districts in West Manggarai Barat that are part of the KSPN. Further, about 400 ha of production forest area within the FMU West Manggarai Barat in Nggorang Bowosie has been allocated for the development of high-end tourism facilities. The management authority of the area is being handed over to the Tourism Authority Agency of Labuan Bajo or *Badan Otorita Kawasan Pariwisata Labuan Bajo Flores* (BPOLPF). An Integrated Tourism Management Plan (ITMP) for the KSPN Komodo and Labuan Bajo is being prepared under the auspices of Indonesia's Ministry of Public Works.

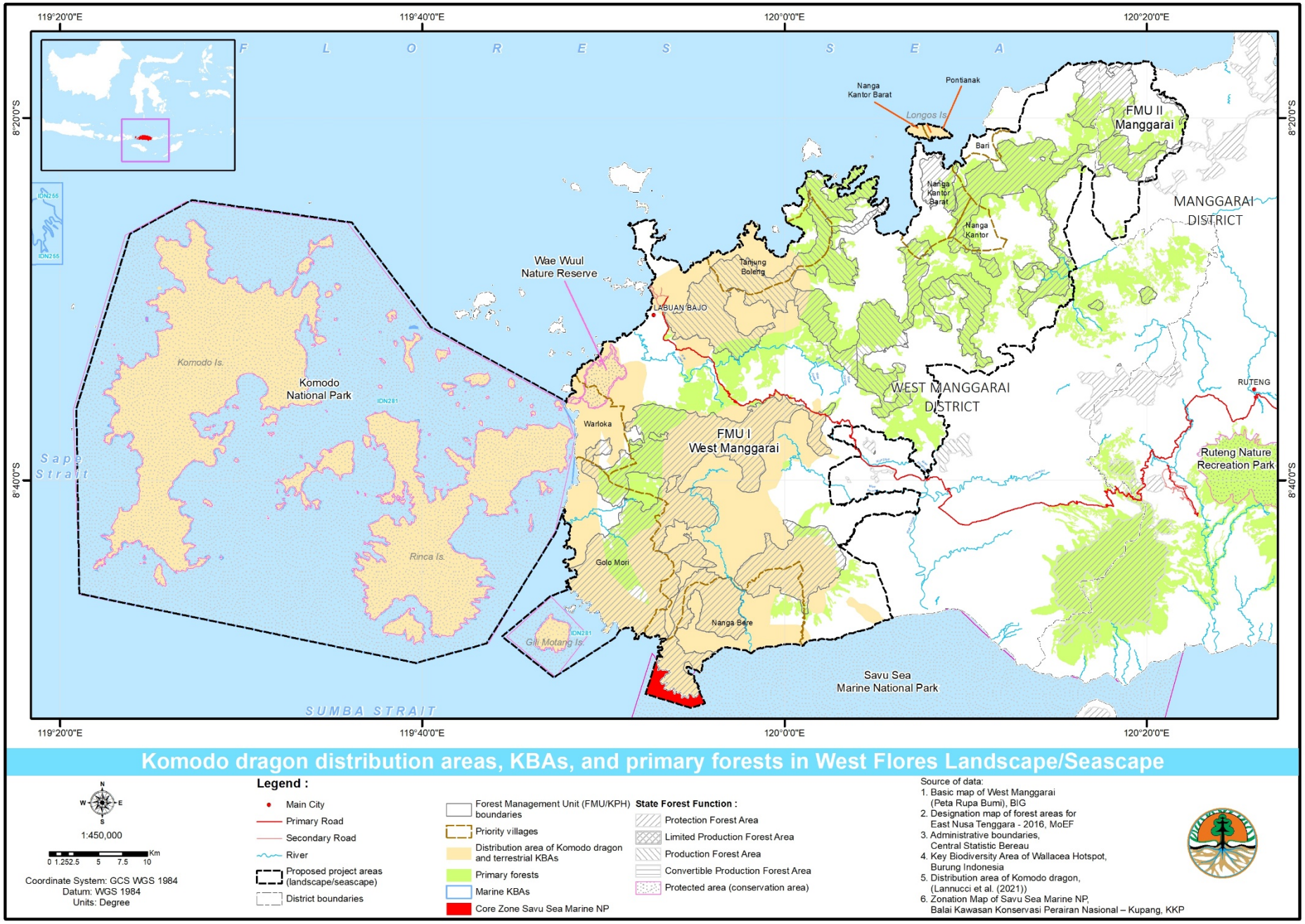


Figure 4: Map of West Flores landscape-seascape

North Flores Landscape-Seascape

89. The North Flores landscape-seascape extends west to east from the East Manggarai District, Ngada District, and Nagekeo District along the northern coast of Flores Island covering an area of about 106,840 ha (see **Figure 5**). Most of the terrestrial and marine areas in the north landscape-seascape are managed and/or utilized by communities. Government agencies manage protected areas, protection forest areas, and production forest areas.

90. Protected areas in the north Flores landscape-seascape are clustered in the northern coast of Flores between East Manggarai District and Ngada District. Similar to the west landscape-seascape, the PA coverage in north Flores landscape-seascape limited, less than 10%.

91. There are five KBAs overlap with the landscape-seascape. Four of the KBAs are fully within the landscape-seascape whereas another one (marine KBA Riung Tujuh Belas Pulau) is partly overlap. Since the Tujuh Belas Pulau Nature Recreation Park is fully cover the part of the marine KBA, about 61% of the KBA sites are covered in the PA network. About 26% of the KBA sites are on the community lands while 13% are in state protection forest areas. It is estimated that based on the KBA sites that are situated within or overlap with the landscape-seascape, there are 231 globally threatened species of which 13 are terrestrial species in the landscape-seascape. Two of the terrestrial KBAs are triggered by the distribution of the Komodo dragon. These are KBA Pota and KBA Pulau Ontoloe.

92. Based on the land cover map of 2019 (MoEF), the dominant land cover in north Flores is forests and savanna. Significant primary forests (35,642 ha) are distributed mostly in state protection forest areas and community lands. Therefore, long-term conservation and management of the primary forests will require collaboration between state agencies managing the forest areas and the communities.

93. About 22,451 ha of the indicative distribution of Komodo dragon and KBA sites are situated in the north Flores landscape-seascape. Added with primary forests both inside and outside of the state forest areas, the total potential HBVAs is 58,093 ha. More than half of the potential HBVAs (about 30,313 ha) are on community lands of which about 16,000 ha are primary forests. This indicates the need for collaboration with communities to deliver biodiversity conservation outside of the PA network. In addition, there is about 27,708 ha of potential HBVAs in protection forest areas being managed by the forest management units in the districts.

94. In the North Flores landscape-seascape, there are *Adat* communities that still exist and manage traditional terrestrial and marine territories. Among them, the well-known is Baar tribe *(Suku Baar)* and the Toring tribe *(Suku Toring)*. The former is concentrated in Sambinasi Village (Ngada District) but they are also distributed in other villages to the west into East Manggarai District. The second tribe is concentrated in Lengko Sambi Village in Ngada District. Other *Adat* communities in the landscape-seascape include *Suku Towak, Suku Cila, Suku Tadho, and Suku Riung*. Their traditional *Adat* land and territories need to be recognized and mapped out while designing other area-based conservation measures (OECMs).

95. Torong Padang Peninsula in Sambinasi Village is an example of traditional *Adat* land belonging to Baar communities. The land is called *Tanah Pirong* which has been set aside and managed from generation to generation for seasonal traditional hunting. This practice is continuing until today. Torong Padang is part of the distribution area of the Komodo dragon. Therefore, any conservation measures on these lands will need to be agreed upon by the communities.

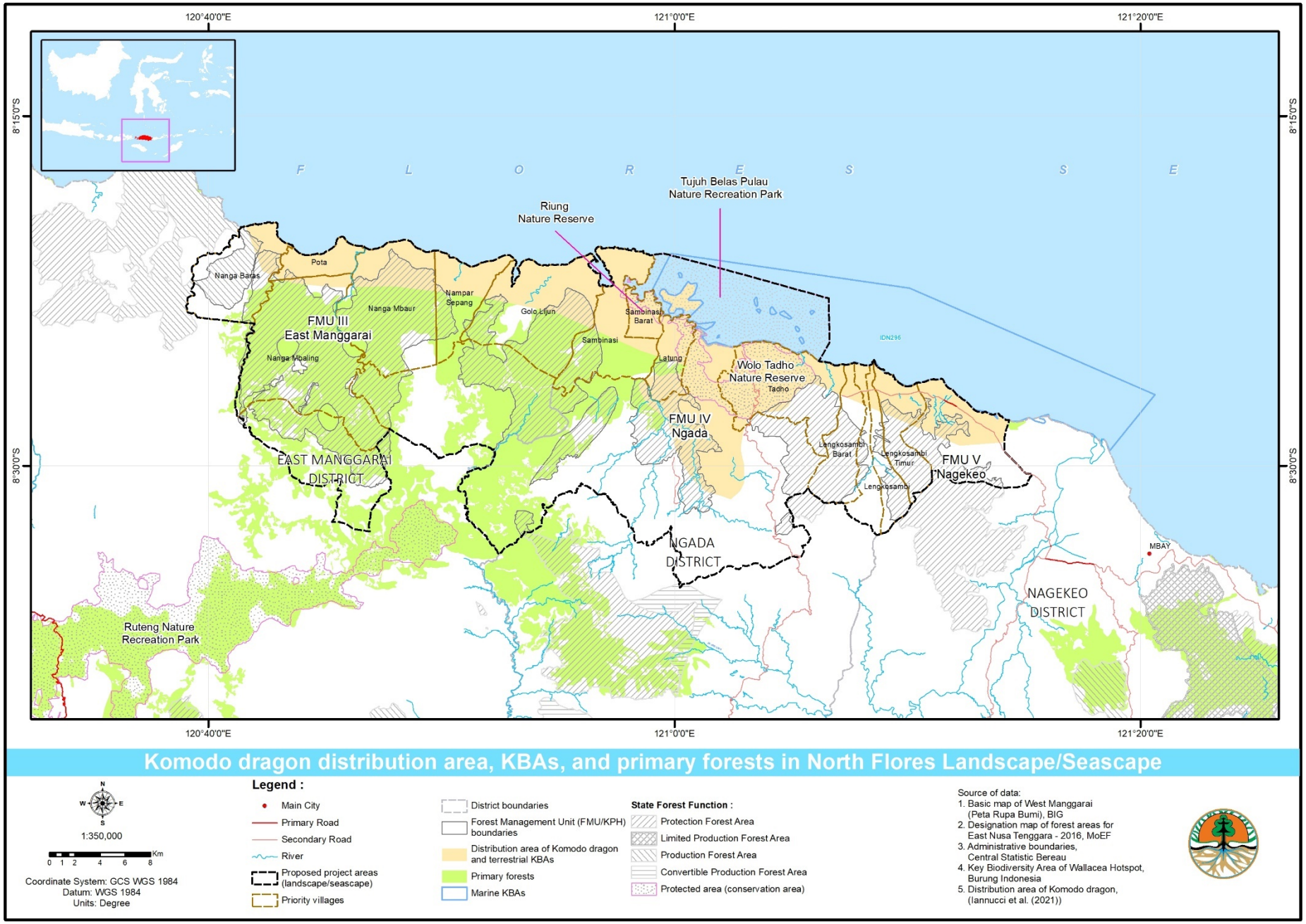


Figure 5: Map of North Flores landscape-seascape

Overview of Target Landscapes-Seascapes and Potential OECMs

96. There are a total of six (6) protected areas in the target landscapes-seascapes, including cumulative 47,062 ha of terrestrial coverage and 140,384 ha of marine coverage (see **Table 2**).

Table 2: Extent of protected areas in the target landscapes-seascapes (hectares)

Protected Area	Terrestrial	Marine	Total
West Flores Landscape-Seascape			
Wae Wuul Nature Reserve	1,485	0	1,485
Komodo National Park	40,728	132,572	173,300
Sawu Sea MPA (core zone within seascape)		925	925
Sub-Total	**42,213**	**133,497**	**175,710**
North Flores Landscape-Seascape			
Riung Nature Reserve	416	0	416
Wolo Tadho Nature Reserve	4,017	0	4,017
Tujuh Belas Pulau Nature Recreation Park	416	6,887	7,303
Sub-Total	**4,849**	**6,887**	**11,736**
Total	**47,062**	**140,384**	**187,446**

Notes:
1. Apart from the Sawu Sea MNP, the total extent of each of the PAs is based on the baseline METT assessments.
2. The extent of the core zone of the Sawu Sea MNP around Tanjung Keritamese is based on the 2014-2034 management plan.

97. The target landscapes-seascapes are a mosaic of multiple land and marine uses. Excluding protected areas there are 275,946 ha and 2,632 ha of terrestrial and marine ecosystems, respectively (see **Table 3**).

Table 3: Breakdown of target landscapes-seascapes, excluding protected aeras (hectares)

Project Site Category	Project Area Category	Terrestrial	Marine	Total
West Flores Landscape-Seascape				
Komodo habitat and KBA's	Potential HBVAs	22,451		22,451
Primary forests in state forest areas	Potential HBVAs	22,847		22,847
Primary forests on community lands	Potential HBVAs	12,795		12,795
Savanna in state forest areas	Savanna outside PAs & HBVAs	1,764		1,764
Savanna on community lands	Savanna outside PAs & HBVAs	9,397		9,397
Secondary forests in state forest areas	Secondary forests outside PAs & HBVAs	10,570		10,570
Secondary forests on community lands	Secondary forests outside PAs & HBVAs	6,338		6,338
	Agriculture & other land-uses	8,749		8,749
	Marine areas outside PAs & HBVAs		0	0
	Sub-Total	**94,910**	**0**	**94,910**
North Flores Landscape-Seascape				
Komodo - KBA areas	Potential HBVAs	65,869	469	66,338
Primary forests in state forest areas	Potential HBVAs	29,241		29,241
Primary forests on community lands	Potential HBVAs	22,724		22,724
Savanna in state forest areas	Savanna outside PAs & HBVAs	192		192
Savanna on community lands	Savanna outside PAs & HBVAs	4,381		4,381
Secondary forests in state forest areas	Secondary forests outside PAs & HBVAs	3,122		3,122
Secondary forests on community lands	Secondary forests outside PAs & HBVAs	16,691		16,691
	Agriculture & other land-uses	38,815		38,815
	Marine areas outside PAs & HBVAs		2,163	2,163
	Sub-Total	181,036	2,632	183,668
	TOTAL	**275,946**	**2,632**	**278,578**

98. Based on stakeholder consultations and preliminary analyses carried out during the project preparation phase, a list of potential OECMs in the target landscapes-seascapes in **Table 4** below. The decisions

on the actual OECMs to be established under the project will be made through participatory processes under Component 1, and confirmed through applying the OECM screening methodology.

99. In developing the OECMs, there will be two principal land managers, FMUs and villages. FMU West Manggarai, FMU East Manggarai and FMU Ngada are potential for piloting candidates of OECMs in state protection and production forest areas. There is an estimated 170,525 ha of potentially high biodiversity value areas in the three FMUs. However, further assessment will be needed to identify the pilot sites for candidate OECMs within the FMUs areas, including considering their long term management plans (RPHJPJ). Areas that are allocated for protection and NTFP utilization would be compatible with long term conservation objectives.

100. The other land manager will be villages. There is an estimated 29,963 ha of potentially high biodiversity value areas in the 21 selected villages in the proposed landscape/seascapes. These include areas identified as indicative distribution of Komodo dragon and important biodiversity areas as well as primary forests both outside of the state forest areas. However, further assessment will be needed to identify the pilot sites for candidate OECMs within the village areas.

101. All of the selected villages overlap with FMU areas which indicate that their participation in piloting OECMs in FMUs will also be required. The design of the pilot candidate OECMs in the FMU areas as well on community lands will need to be integrated to maximize the biodiversity benefits. In addition, the villages of Warloka and Golo Mori in the West Flores Landscape-Seascape border with the Komodo National Park, thus creating an opportunity for collaboration on managing the park boundary area. Similarly, Sambinasi Barat village in the North Flores Landscape-Seascape overlaps with Riung Nature Reserve.

102. The OECMs provide an opportunity to create more interconnected landscapes and seascapes in combination with protected areas or with FMUs. They can facilitate the inclusion of a diverse range of rights-holders and stakeholders contributing to area-based conservation.

103. Once the areas are defined, screening with the criteria suggested by IUCN-WCPA will need to be done to check if the areas are qualified as candidate OECM. Results from the screening will also be useful to suggest if there are shortfalls that need to be addressed for the area to be candidate OECM. The shortfalls may lead to the areas being considered as potential OECM development but not yet a candidate OECM.

104. Through proper technical and policy alignment, the OECM framework will facilitate the reporting of Indonesia's conservation estate nationally and internationally. This will also address potential challenges by facilitating resource use efficiency and mobilization, and mitigate the reporting of non-compliant sites.

Table 4: Potential OECMs in the target landscapes-seascapes

Potential Locations of Pilot Candidate OECMs	Description
West Flores Landscape-Seascape	
Longos Island, village of Pontianak and Nanga Kantor Barat	About 504 ha of indicative area for Komodo dragon distribution.
FMU West Manggarai	About 61,620 ha of potentially HBVAs within mostly protection forest areas (74%) and production forest areas; the areas border the village of Golo Mori, Warloka, and Nanga Bare which are part of the indicative area for Komodo dragon distribution.
Warloka village	About 2,865 ha of potentially HBVAs; borders on to Komodo National Park.
Golo Mori village	About 2,865 ha of potentially HBVAs; borders on to the Komodo National Park.
Nanga Bere	About 4,486 ha of potentially HBVAs; connected with FMU area in Tanjung Keritemese.
North Flores Landscape-Seascape	
FMU East Manggarai	About 21,900 ha of potentially HBVAs in almost totally protection forest areas; borders on the priority villages in East Manggarai District within the indicative area for Komodo dragon distribution in in the North Flores landscape.
FMU Ngada	About 5,482 ha of potentially HBVAs; border on the priority villages in Ngada District within the indicative area for Komodo dragon distribution.

Potential Locations of Pilot Candidate OECMs	Description
Sambinasi Barat village and Sambinasi village	About 3,708 ha of potentially HBVAs on community lands, including the Torong Padang Peninsula; these are part of *Adat* lands that are within of the indicative area for Komodo dragon distribution. The Baar Adat community would be the main land manager. Their *Adat* lands also overlaps with the Riung Nature Reserve.

More information is provided in **Annex 15** (*Landscape-seascape profiles*), the baseline Management Effective Tracking Tool (METT) assessments in **Annex 16**, and in **Annex 17** (M*anagement effectiveness gaps identified in the baseline METT assessments*).

Socioeconomic Benefits:

105. The IN-FLORES project will generate a range of socio-economic benefits as it invests in protecting the environmentally sensitive areas and extending conservation measures beyond the PA system. The multi-stakeholder coordination platforms are designed to bring together groups and institutions that are not accustomed to collaborating on issues related to land use, natural resource management, and biodiversity conservation. As such, the coordination platforms have the potential create opportunities for more organizations and groups to participate. Although communities, governments, NGOs and the private sector may share a common interest in ensuring that Flores' unique biodiversity resources are well managed, it will be necessary to develop the capacity and mechanisms for working together. Across different sectors, the capacity of stakeholders in biodiversity management will also be enhanced through various capacity building workshops organized under the multi-stakeholder coordination platforms in both west and north Flores landscapes-seascapes. The multi-stakeholder coordination platforms will allow for the sharing of knowledge about local ecosystems to support decision making and environmental education campaigns targeted to increase local awareness about the Komodo dragon and the other globally threatened species.

106. **Support community development, particularly those initiatives that contribute towards generating multiple benefits**. At the grass-roots level, local communities including customary communities, will participate and in the planning and implementation of project activities. In addition, they will participate in identifying the areas for OECMs where they can clarify their priorities for conservation planning. The OECMs will contribute to good governance, effective management and long-term biodiversity outcomes, and be inclusive of diverse contributions to conservation within and beyond protected areas.

107. Conservation initiatives outside the protected areas will be supported by the creation of business and investment models for biodiversity conservation. Project beneficiaries will gain access to funding from institutions which in turn will result in improved access to markets; more livelihood opportunities and increased income. There will also be new business ventures to be tested thus improving communities' entrepreneurship capacity and opening the door to more investment.

108. **Introduction and adoption of income generating measures**. At the local level, increased income generating measures and economic incentives will be promoted that give local communities reason to adopt them, and these measures will generate economic benefits to the communities in the short as well as longer term in order to be considered sustainable. The biodiversity-friendly livelihood and business ventures are expected to increase land productivity and enhance food security. The target landscapes-seascapes are situated within a high priority tourism destination identified by the Government of Indonesia. Local tourism operators will benefit from capacity building on best practices, linkages with sustainable certification schemes, and strengthened concession arrangements with protected areas.

109. **Increased inclusion of *Adat* communities in natural resource governance**. *Adat* communities will be engaged in the governance and management of OECMs involving Adat villages, protecting and respecting customary bylaws and traditional knowledge. Engagement of Adat communities will be ensured through obtaining free, prior and informed consent (FPIC).

110. **Capacity development and women empowerment**. Facilitating partnerships through the multi-stakeholder landscape platforms, delivering capacity building on improving financial management skills, and

disseminating information on available financing options for local community organizations will help enhance small-scale entrepreneurship, with a particular emphasis on engaging women-led community-based organizations and local enterprises.

111. **Improved management of human-wildlife conflicts and increased awareness of risks associated with zoonotic diseases**. The project strategy has a strong focus on increasing engagement with local communities in the target landscapes-seascapes. Part of this engagement involves improving how human-wildlife conflicts are managed, e.g., through preemptive measures and capacity building, as well as increasing awareness on the risks associated with zoonotic diseases.

112. **Strengthened resilience to the risks associated with climate change and natural disaster hazards.** Promoting sustainable livelihood and business alternatives will help reduce unsustainable practices in the target landscapes-seascapes, and increase the awareness and coping capacities of local communities.

IV. RESULTS AND PARTNERSHIPS

Expected Results*:*

113. **Project objective**: To strengthen conservation of Komodo dragon and other globally threatened species in Flores through integrated approaches across multiple use landscapes-seascapes.

Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management

Total Cost: USD 17,881,366; GEF project grant requested: USD 2,406,366; Cofinancing: USD 15,475,000

114. This component will enhance species management for the island of Flores through protecting forests and other critical terrestrial and marine habitats to preserve the Komodo dragon and other threatened species within the broader multi-use landscapes-seascapes, including protected areas and areas outside it through engagement of diverse stakeholders that are currently under different management regimes. While the project will support investment to strengthen management effectiveness within existing protected areas, it will concurrently also support the OECM approach for terrestrial and marine habitats outside formal PA system—by addressing the main issues of deforestation and terrestrial and marine degradation throughout Flores. A comprehensive study of the Komodo dragon population will be undertaken to better understand the genetic variability of the Komodo dragon population to identify appropriate management approaches to protect these distinctive populations.

115. The multi-stakeholder participatory processes involving development of integrated ecosystem management frameworks for the target landscapes-seascapes will help facilitate biodiversity mainstreaming across key development sectors and to enhance involvement of local communities and other stakeholders in conservation and natural resource management strategies at scale. The integrated approaches will also complement the ongoing COVID-19 economic recovery efforts, through increasing resilience of local communities, improving management of human-wildlife conflicts, and expanding opportunities for sustainable livelihoods.

Outcome 1: Effective conservation of the Komodo dragon and globally threatened terrestrial and marine species within and outside conservation areas

116. Results expected through achievement of Outcome 1 include:

- **Conservation and sustainable use strengthened outside protected areas through innovative governance arrangements**, as measured by three (3) other area-based conservation measures (OECMs) established (including one governed by *Adat* communities), operationalized and registered on the WDPA site.
- **Wildlife conservation mainstreamed across the target production landscapes-seascapes**, as measured by five (5) instances of utilizing the guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation infrastructure sectors.
- **Status of globally threatened species in target landscapes-landscapes**, as measured by stable (i.e., not decreasing) or increased populations of Komodo dragon (*Varanus komodoensis*) in (a) Komodo National Park, (b) Wae Wuul Nature Reserve, (c) Tujuh Belas Pulau Nature Recreation Park, and yellow-crested cockatoo (*Cacatua sulphurea*) in the Komodo National Park.
- **Reduction in threats to globally threated species through strengthened collaborative monitoring and enforcement**, as measured by (a) 75% reduction in the number of illegal wildlife hunting and poaching incidents in the Komodo National Park, Wae Wuul Nature Reserve, Wolo Tadho Nature Reserve, and Riung Nature Reserve; and (b) 75% reduction in the number of destructive fishing incidents in the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park.

The results expected under Outcome 1 will be achieved through the implementation of the following four outputs.

Output 1.1. Functional governance capacities developed and coordination mechanisms strengthened to support dialogue, information flow and decision-making between key stakeholders (within government and non-government sectors), private enterprise and community groups for facilitating integrated landscape and seascape planning and management

Key deliverables:

- Terms of Reference for the establishment of multi-stakeholder coordination platforms of the West and North Flores landscape-seascapes, supported by sound institutional analysis and developed through consultation with relevant stakeholders.
- Letter of recognition (provincial/district decree) officiating the establishment of multi-stakeholder coordination platforms in both West and North Flores landscape-seascapes.
- FPIC report for the inclusion of customary community as project stakeholder.
- Annual reports of multi-stakeholder coordination platform in both landscapes including minutes and agreements of each meeting and workshop.
- Technical reports on thematic capacity building on biodiversity mainstreaming, multi-stakeholder governance, climate change resilience, gender mainstreaming, etc.
- Annual work plan of project management team, developed through consultation with relevant stakeholders and management entities in West and North landscape-seascapes.

117. Output 1.1 will specifically focus on strengthening the functional governance and coordination mechanism to support dialogue, information flow and decision-making between key stakeholders (within government and non-government sectors), private enterprise and community groups to facilitate integrated landscape and seascape planning and management. The mainstreaming of biodiversity conservation into landscape-seascape management will require careful planning based on the existing institutional framework. An institutional analysis will guide the process of how to mainstream biodiversity conservation into sectoral planning. The terms of reference developed for the coordination platforms will provide procedures and guidelines for equitable representation of local and *Adat* communities, as well as women and other stakeholder groups. Tentatively, the platforms will include representatives from the Directorate General KSDAE of MoEF, BBKSDA-NTT, Ministry of Tourism and Creative Economy, Ministry of Agriculture, Natural Resources Conservation Bureau, Komodo National Park, Provincial Environment and Forestry Departments, local governments, Adat community representatives (e.g., the Adat Peoples' Alliance of the Archipelago - *Aliansi Masyarakat Adat Nusantara* (AMAN), CSOs and the private sector. During initial FPIC consultations conducted during the PPG phase, AMAN representatives agreed to join the multi-stakeholder coordination platforms (**Annex 9**: *Stakeholder consultations during project preparation phase*).

118. The main purpose of the coordination platforms at landscapes and seascapes level is to support effective biodiversity conservation within and outside of the protected area network. Integrated planning and management is a means to deliver benefits from the landscapes and seascapes. Therefore, two multi-stakeholder coordination platforms, one for each landscape-seascape, will facilitate collective action by bringing together a range of stakeholders sectors to support conservation outcomes. With its primary focus on governance of the landscapes and seascapes, the platforms are expected to develop the institutional networks, rules and strategic direction that will shape the day-to-day practical actions of the management units (outside of the PA network) to improve conservation outcomes. The establishment of the platforms will be supported by capacity building which will be critical to building a common vision and share values on the importance of the landscapes for biodiversity conservation. Once there is a common vision, it will be easier to revise, adapt or change the existing sectoral plans.

119. The main tasks of the platforms are, among others: discuss and recommend solutions (policy, strategic actions) on landscape-seascape issues; approve and support the implementation of investment plans for area based conservation measures and; oversee the monitoring and evaluation of the conservation outcomes.

120. Indicative activities under Output 1.1 include:

1.1.1. In collaboration with provincial and district stakeholders, develop terms of reference for two multi-stakeholder coordination platforms for guiding the West and North Flores integrated landscape-seascape approaches.
1.1.2. Conduct FPIC consultations and obtain FPIC for having representation of *Adat* communities included in the multi-stakeholder coordination platforms.
1.1.3. Convene regular multi-stakeholder platform meetings (estimated quarterly), including cross-learning exchanges between the two landscapes-seascapes.
1.1.4. Deliver training to the platform members on UNDP and government social and environmental safeguards and procedures, and the results of the Strategic Environmental and Social Assessment (SESA) completed under Output 1.2.
1.1.5. Provide capacity building on biodiversity mainstreaming, multi-stakeholder governance, participatory conservation and restoration processes, and other relevant topics.
1.1.6. Convene gender mainstreaming working group sessions to facilitate achievement of gender equality and women's empowerment objectives.
1.1.7. Convene annual joint planning sessions with the management entities of the protected areas in the West and North Flores landscapes-seascapes, to allow other key stakeholders to provide feedback in the review of management plans and annual work programming.
1.1.8. Design and deliver a series of workshops on strengthening climate change resilience in development planning, natural resource management, and biodiversity conservation.
1.1.9. Advocate for institutionalizing the platforms at the provincial and/or district level.

Output 1.2. Integrated ecosystem management frameworks developed for the West and North Flores landscapes-seascapes, with supplemental guidelines produced on biodiversity mainstreaming and restoration of degraded habitats in the tourism, livestock management, fisheries, agriculture, transportation infrastructure and other production sectors

Key deliverables:

- **Assessment report** of areas with high biodiversity value in the West and North Flores landscapes-seascapes supported with spatial data and species list for each proposed sites.
- Strategic Environmental and Social Assessment (SESA) report.
- **Technical document** Integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligned with the SRAK and other existing strategies and plans.
- **Activity report** consultation of Integrated ecosystem management frameworks with stakeholders of North and West Flores landscape-seascapes.
- **Technical document** Guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors.
- **Activity report** dissemination and promotion events of Guidelines on biodiversity mainstreaming and restoration to various stakeholders through online and offline workshop and seminars.

121. Output 1.2 focuses on further building up the enabling environment through participatory development of integrated ecosystem management frameworks and guidelines for mainstreaming conservation outcomes in key economic sectors in support of implementation of the project-specific investment plan. Implementation of the integrated ecosystem management frameworks will be initiated and demonstrated in Output 1.3 as well as under the outputs in Component 2. The integration will be based on the institutional analysis and institutional change framework developed in Output 1.1. As the two landscapes-seascapes are multi-functional, there are a mosaic of land and marine uses with different management entities that will need to be taken into consideration. Both production and protection functions will be taken into consideration to enable the achievement of both conservation and economic expected outcomes and thereby ensuring sustainability. As noted above in Output 1.1 one of the landscape functions that will be mainstreamed across stakeholders' perspective is the

conservation of wildlife and ecosystem services. The other land-uses (and land managers) need to recognize the critical role and the urgency of maintaining biodiversity for landscape-wide sustainability. Project resources are allocated for development of guidelines and planning tools for biodiversity and species conservation integration in tourism, livestock management, fisheries, agriculture, transportation infrastructure and other production sectors as well as protocols and silvicultural practices for restoration of degraded Komodo dragon habitat, fire management, reduction of unsustainable natural resources use practices and reduction of human-wildlife conflicts.

122. Indicative activities under Output 1.2 include:

1.2.1. Building upon the baseline studies completed during the PPG phase, support the BKSDA (Conservation Agency) East Nusa Tenggara in carrying out participatory assessments to identify and verify high biodiversity value areas (*Kawasan Bernilai Keanekaraman Hayati Tinggi*) in the West and North Flores landscapes-seascapes.
1.2.2. Conduct a Strategic Environmental and Social Assessment (SESA) to support the development of the integrated management frameworks.
1.2.3. Based on the results of the participatory assessments and the SESA, develop integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligning with the SRAK and other existing strategies and plans, and including priority actions for mainstreaming biodiversity conservation across the key development sectors, including livestock management, fisheries, agriculture, transportation infrastructure, and others.
1.2.4. Socialize the integrated ecosystem management frameworks through convening workshops and meetings hosted by the landscape-seascape multi-stakeholder coordination mechanisms and obtain FPIC from Adat representatives for the management frameworks.
1.2.5. Develop guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors, including livestock management, fisheries, agriculture, transportation infrastructure, and others.
1.2.6. Disseminate and promote the biodiversity mainstreaming and restoration guidelines among governmental entities, civil society organizations, private sector enterprises, and other practitioners through online and offline webinars and seminars.

Output 1.3. Management of the West and North Flores landscapes-seascapes improved through establishment and/or recognition of other effective area-based conservation measures (OECMs)

Key deliverables:

- **Assessment report** of OECMs pilot candidates in the West and North Flores landscapes-seascapes.
- **Activity report** training on establishment of OECMs to management and staff of protected areas, forest management units, local government entities, and community-based organizations.
- **Technical report** community consultations and FPIC with communities in villages where potential OECMs have been identified, indicating consent and FPIC for the establishment and governance of the OECMs.
- **Technical design** establishment of OECMs to be agreed/approved by communities, local government and forest management units.
- **Activity report** on technical assistance and implementation of Komodo habitat restoration.
- **Assessment report** (2 times) of OECMs and its submission to the World Database on Protected Areas (WDPA).

123. The Post-2020 Biodiversity Framework calls on countries to immediately halt the loss of biodiversity and start to reverse this loss so that nations are 'nature positive' by 2030. This will contribute to the 2050 Vision that states, "biodiversity is valued, conserved, restored and wisely used, maintaining ecosystem services, sustaining a healthy planet and delivering benefits essential for all people". To accomplish this, the draft Post-

2020 Framework sets a target of at least 30% coverage for lands and waters by 2030 (CBD 2020)[30]. This will require investing in biodiversity protection on multiple kinds of lands outside legally defined protected areas including key biodiversity areas (Kulberg et al. 2019)[31] and other effective area-based conservation management areas (OECMs). OECMs may include lands that may not have biodiversity as a primary goal but are nevertheless managed to include long-term biodiversity outcomes such as contributions from Indigenous people's lands, privately owned lands and more (Garnett et al. 2018)[32].

124. Based on a gap analysis by the Ministry of Forestry and various institutions conducted in 2010 there are more than 105 million hectares which are categorized as important ecosystems and buffers/connectors that are outside conservation areas. These important ecosystems have high conservation value and function as wildlife corridors and buffer zones. Approximately 80% of protected animals of important value are found outside the conservation area network (*Direktorat Bina Pengelolaan Ekosistem Esensial* (BPEE), 2020)[33]. This includes important ecosystems in Flores where there are globally endangered species that are outside the protected area conservation network.

125. The KSADE's Strategic Plan for 2020-2024 has set a target of identifying and verifying 43 million high biodiversity value areas (HBVAs) with the long term goal of extending conservation measures beyond the nation's protected area network.

126. OECMs are a means to extend conservation measures beyond the protected area network in Flores. OECMs can play a role in supporting local economies that are simultaneously safeguarding biodiversity and ecological assets. OECMs provide an opportunity to create more interconnected landscapes and seascapes in combination with protected areas. They offer an opportunity to strengthen governance structures that can attract conservation finance investment. They facilitate the inclusion of a diverse range of rights-holders and stakeholders contributing to area-based conservation. These include previously marginalized groups, land use types, and sectors.

127. There are two principal land managers of the HBVAs in the landscapes-seascapes are the forest management units (FMUs) and the local or adat communities. Most of these HBVAs areas are managed as protection forests. The legal status as protection forest area will allow for a long term conservation measures to take place as the areas are managed to protect the upstream part of the water catchment. Resource utilizations are limited to, for example non-timber forest products and environmental services. Such a management regime will be compatible with the OECM. On local and *Adat* community lands, the extent of HBVAs covers a significant portion of primary forests that are outside of state forest lands.

128. In state forest areas, pilot candidate OECMs may be developed in three of the FMUs that have significant coverage of HBVAs in the landscapes. These are; FMU West Manggarai, FMU East Manggarai, and FMU Ngada. On community lands, there are 21 villages that have been identified to be potential or have a high opportunity for participating in candidate OECMs.

129. There are at least three types of candidate OECMs that can be piloted in the landscapes-seascapes: 1) State forest areas operated by FMUs have a geographically defined area and is an area of HBV including a distribution area of Komodo dragons; 2) local or *Adat* managed community lands that have a geographically defined area and is an area of HBV including a distribution area of Komodo dragons; 3) a partnership between communities and protected areas, e.g., wildlife corridors, buffer zone management, etc.

130. Establishment and implementation of the OECMs under Output 1.3 is a key part of Component 1, in which the proposed GEF funding would provide important incremental value, through collaborative engagement with local communities, development sectors, and protected areas in the target landscapes-seascapes. Local

[30] IUCN's Key Messages First Draft of the Post-2020 Global Biodiversity Framework https://www.iucn.org/sites/dev/files/iucn_key_messages_and_detailed_views_first_draft_post-2020_gbf_0.pdf

[31] Kulberg P, Di Minin E, Moilanen A 2019 Using key biodiversity areas to guide effective expansion of the global protected area network Global Ecology and Conservation 20:e00768.

[32] S.T. Garnett, N.D. Burgess, J.E. Fa, Á. Fernández-Llamazares, Z. Molnár, et al. A spatial overview of the global importance of Indigenous lands for conservation Nature Sustainability, 1 (2018), pp. 369-374, 10.1038/s41893-018-0100-6

[33] Ministry of Environment and Forestry, Direktorat Bina Pengelolaan Ekosistem Esensial (BPEE), 2020

governance committees will be assembled for each OECM following locally appropriate selection processes, led by local leaders. The project Safeguards Officer and Community Mobilizers will help facilitate the formation of the OECM governance committees, promoting equitable representation of local and *Adat* communities, women, and other vulnerable groups. The committee structures will be designed to provide opportunities for participation and leadership, and deliver friendly and culturally appropriate explanations for technical terms.

131. Under this Output, technical support and investment will be provided to facilitate the implementation of the OECMs, including conservation and habitat restoration, conflict resolution etc. Restoration of degraded habitats will be coordinated with FMU and protected area management entities. Based on the degraded land map (2018) sourced from the MoEF, there are 1,054 ha of heavily degraded land in the target landscapes-seascapes, including on Komodo Island within the Komodo National Park, and also within the East Manggarai FMU in the North Flores Landscape-Seascape. The 300 ha earmarked for restoration under the project will be coordinated with national and local partners, aligned with the degraded lands identified by the MoEF.

132. Indicative activities under Output 1.3 include:

1.3.1. Using the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes as part of the integrated ecosystem management frameworks, to improve connectivity of Komodo habitats and expand stakeholder involvement in achievement of conservation outcomes.
1.3.2. Deliver training on establishment of OECMs to management and staff of protected areas, forest management units, local government entities, and community-based organizations.
1.3.3. Conduct community consultations, including FPIC consultations, with communities in villages where potential OECMs have been identified, and obtain consent and FPIC for the establishment and governance of the OECMs.
1.3.4. Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands.
1.3.5. In collaboration with protected area management entities and local government units in the West and North Flores landscapes-seascapes, design and establish OECMs that complement conservation objectives by increasing connectivity across fragmented habitats, e.g., through wildlife corridors.
1.3.6. Working with West Mangarai, East Mangarai and Ngada forest management units (KPH) in the landscapes-seascapes, design and establish OECMs in protection and production forest areas.
1.3.7. In collaboration with the FMU's and protected area management entities, provide technical assistance in developing and initiating implementation of restoration plans of degraded Komodo dragon habitats.
1.3.8. Design and deliver a series of capacity building workshops on risks and best practice management measures related to zoonotic diseases, human-wildlife conflicts, illegal wildlife trade, and other emerging issues.
1.3.9. Utilizing the OECM Assessment Methodology, conduct assessments of the OECMs at least twice during the project implementation timeframe, and assist in the submission of OECM data to the World Database on Protected Areas (WDPA).

Output 1.1.4. Monitoring and enforcement capacities, systems, coverage, and partnerships strengthened to enhance the knowledge base on population dynamics and variability of Komodo Dragon and other species, enabling more informed management decisions in the West and North Flores landscapes-seascapes

Key deliverables:

- Updated **Monitoring Plans** for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes.
- **Activity report** Training in monitoring approaches and technologies, including monitoring of marine ecosystems and threats.
- **Study report** on population distribution and the ecological carrying capacity of Komodo dragon in the North and West Flores landscapes-seascapes.

- **Donations** of monitoring equipment for protected areas in the North and West Flores landscapes-seascapes
- **Monitoring plan** of OECMs.
- **Study report** baseline and regular surveys on phenotypic variability of Komodo dragon across distribution areas in the North and West Flores landscapes-seascapes.
- **Activity report** training on innovative approaches for monitoring and combatting illegal wildlife trade.

133. Output 1.4 will specifically support improved baseline and monitoring of Komodo dragon distribution, population dynamics and genetic variations, as well as trends in other key terrestrial and marine species populations and habitat so as to improve information for conservation management and reduction of threats. The project will work with the protected areas in the target landscapes-seascapes in updating their monitoring plans. This process will include setting clear protocols for biodiversity surveys, in order to reliably assess trends over time.

134. A comprehensive study of the Komodo dragon population will be undertaken during the first year of project implementation to better understand the genetic variability of the Komodo dragon population to identify appropriate management approaches to protect these distinctive populations.

135. Monitoring will be carried out to examine the genetic and demographic parameters of Komodo, with the aim of understanding the environmental and other factors contributing the genetic variation of the population and reasons for population decline. This information will be used to address the skills and knowledge gaps of field officers and train local community groups to monitor the existence of the Komodo dragon and provide an internet-based reporting system that is easy to apply at village level. Periodic monitoring will support intensive management of Komodo outside the conservation areas, in particular to promote management responses to ensure the survival of the Komodo dragon population in the wild.

136. Indicative activities under Output 1.4 include:

1.4.1. Support the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in updating and strengthening the monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes.
1.4.2. Deliver training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats.
1.4.3. In collaboration with the Komodo NP, the BBKSDA-NTT, NGOs and scientific partners, conduct a study on population distribution and the ecological carrying capacity of Komodo dragon in the North and West Flores landscapes-seascapes.
1.4.4. Provide investment assistance in expanding and implementing monitoring equipment for protected areas in the West and North Flores landscapes-seascapes, supporting the monitoring of Komodo dragon, Flores hawk eagle, Yellow-crested cockatoo, and other globally threatened species, including marine species.
1.4.5. Develop monitoring plan for two of the OECMs established in Output 1.3, provide technical and investment assistance for deploying the monitoring systems, deliver training to local governance units, and support baseline and annual monitoring surveys.
1.4.6. Design and implement baseline and regular surveys on phenotypic variability of Komodo dragon across distribution areas in the North and West Flores landscapes-seascapes.
1.4.7. Deliver training on innovative approaches for monitoring and combatting illegal wildlife trade.

Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape

Total Cost: USD 19,308,168; GEF project grant requested: USD 2,598,168; Cofinancing: USD 16,710,000

137. Building on the findings of BIOFIN analysis[34], there are a number of innovative financial instruments that can be piloted to test their viability in Flores. As part of this process, the GEF project will attempt to mobilize the private sector (particularly in the tourism and other potential economic sectors) as potential sources of financing and the engagement of community groups as agents for environmental change. In this regard, the project will actively try to address the numerous barriers to expand private sector engagement in conservation, in particular to identify appropriate entry points to engage the private sector through facilitating training and capacity building and provision of technical support to recognize the business benefits of good environmental stewardship and identification a suite of potential financial instruments to support small-scale economic activity. This outcome will support the active engagement of the private sector in supporting economic models that encourage species conservation practices, partnering with local communities in support community based ecotourism and related livelihood improvement efforts and engaging in patrolling to reduce poaching. It will also support the promotion of incentive/reward systems to encourage private sector business participation in reducing their ecological footprints and improved private sector financing for conservation actions within the landscapes-seascapes. In addition, this outcome will support the promotion of community biodiversity-friendly livelihood and business enterprises to avoid biodiversity loss and lead to natural resources use sustainability. Livelihood activities will focus on vulnerable populations, including those impacted by the COVID-19 pandemic, to identify specific investments to respond to, and ensure income recovery for these communities as well as improving awareness of risks of zoonotic diseases. Apart from land-based livelihood ventures, the project will also consider sustainable marine and coastal options, including mariculture and seaweed cultivation, e.g., as an alternative to destructive fisheries practices.

Outcome 2: Alternative new economic models and nature-supportive livelihood activities for financial sustainability of conservation efforts and benefit to surrounding communities building and supporting the lessons from BIOFIN

138. Results expected through achievement of Outcome 2 include:

- **Conservation finance mechanism established for ensuring long-term conservation of Komodo dragon**, as measured by a mobilized and distributed fund instrument developed and approved by the Environmental Fund Management Agency (BPDLH).
- **Financial sustainability of the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park strengthened**, as measured by (a) three (3) new sources of revenue established, and (b) 15% increase in annual available funding (excluding staff costs) from the new sources of revenue.
- **Sustainable livelihood opportunities for local communities expanded,** as measured by the 200 households (50:50 gender disaggregation, and including 50 *Adat* households) achieving increased and diversified income from biodiversity-friendly livelihood ventures.
- **Increased access to and availability of conservation finance instruments**, as measured by 20 community-based organizations and small business (including at least 10 led by women) in the target landscapes-seascapes obtaining funding from conservation finance instruments.

139. The results expected under Outcome 2 will be achieved through the implementation of the following four outputs.

[34]Biodiversity Finance Plan (BFP): The Biodiversity Finance Initiative, BIOFIN Indonesia (UNDP, 2019)

Output 2.1. Financial and business development frameworks and other enabling strategies and financing instruments developed for conservation and sustainable management of the North and West Flores landscapes-seascapes

Key deliverables:

- **Technical document** financial and business development frameworks for conservation and sustainable management.
- **Technical document** financial strategies for each of the three districts in the project landscape.
- **Technical report**, including lessons learned on facilitating financial instruments for biodiversity-friendly livelihood and business enterprises.
- **Draft regulation/instrument** of revolving/pooling fund for Komodo dragon conservation and other globally threatened species under the Environmental Fund Management Agency (BPDLH).
- **Activity report** stakeholder workshops to promote fund-raising for conservation and sustainable management in the North and West Flores landscapes-seascapes.

140. Output 2.1 will specifically focus on developing financial and business development frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes, promoting innovative tools, practices, and financing to implement the existing Komodo Dragon Strategic Action Plan (SRAK). The frameworks will be used as reference to develop the financial strategies for each of the three districts in project landscapes in Komodo and other globally threatened species as well as biodiversity-friendly livelihood improvement for the communities. Both area of conservation and livelihood improvement will be supported by financial assistance provided by project, co-financing and private sector support/investment.

141. Indicative activities under Output 2.1 include:

2.1.1. In alignment with the Komodo Dragon Strategic Action Plan (SRAK), develop financial and business development frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes, promoting innovative tools, practices, and financing instruments.
2.1.2. Based on the financial and business development frameworks, develop financial strategies for each of the three districts in the project landscapes, in line with the environmental and socioeconomic development priorities of the districts.
2.1.3. Provide legal and technical assistance to the Environmental Fund Management Agency (BPDLH) for drafting a revolving/pooling fund regulation/instrument specifically oriented towards Komodo dragon conservation and other globally threatened species.
2.1.4. In collaboration with financial institutions, including co-financing partners, strengthen financial instruments available for biodiversity-friendly livelihood and business enterprises.
2.1.5. Convene a series of stakeholder workshops, promoting fund-raising for increased financing for conservation and sustainable management in the North and West Flores landscapes-seascapes.

Output 2.2. Financial sustainability of the protected area system of the North and West Flores landscapes-seascapes strengthened through conducting financial analyses, delivering capacity building, developing business plans, strengthening tourism concession guidelines, and pilot testing new revenue-generating options

Key deliverables:

- **Assessment report** financial sustainability of the protected areas in the North and West Flores landscapes.
- **Activity report** capacity building to protected area managers and staff on sustainable financing.
- Updated or new **business plans** for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park, based on the financial sustainability assessment report.
- **Technical document** concession guidelines to promote tourism and diversified offerings within and outside protected areas.

- **Technical report**, including lessons learned of technical assistance and low-value grant support for initiating trial implementation of one (two total) new or improved revenue-generating options in the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.
- **Technical report**, surveys of visitor spending and visitor feedback and adaptive management measures for achieving sustainable financing of protected area.

142. Under Output 2.2, financial sustainability analysis of the protected area system of the North and West Flores landscapes-seascapes will be conducted with the result to be used to develop or update business plan of Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park. Instead of relying on state budget only, the new business plan will focus on diversifying the financing source of protected areas through alternative yet innovative stream, for example, biodiversity-friendly tourism activity or concession. To support the protected area management in implementing the new business plan, capacity building program for PA staffs on sustainable financing.

More information on sustainable financing is provided in **Annex 19** (*Sustainable financing baseline analysis and opportunity assessment*).

143. Indicative activities under Output 2.2 include:

2.2.1. Building upon the baseline studies carried out as part of the project preparation phase, conduct an analysis of the financial sustainability of the protected area system of the North and West Flores landscapes-seascapes.
2.2.2. Deliver capacity building to protected area managers and staff on sustainable financing.
2.2.3. Based on the results of the financial sustainability analyses, develop updated or new business plans for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.
2.2.4. Develop and/or strengthen tourism concession guidelines to promote tourism and diversified offerings within and outside protected areas.
2.2.5. Provide technical assistance and low-value grant support for initiating trial implementation of one (two total) new or improved revenue-generating options in the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.
2.2.6. Carry out surveys of visitor spending and visitor feedback and analyzing findings to support adaptive management measures for achieving sustainable financing objectives.

Output 2.3. Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes, with particular focus on vulnerable communities includes those affected by the COVID-19 pandemic

Key deliverables:

- **Assessment report** opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in the North and Flores landscapes.
- **Market analyses report** for potentially viable livelihood and business models.
- **Business plans** for feasible livelihood and business models.
- **Technical report** capacity building to community-based organizations and local business enterprises on financial management, marketing, sustainable certification, with specific and tailor-made trainings delivered to women's groups, youth organizations, people with disabilities, and other marginalized groups.
- **Technical report**, including lessons learned, product documentation and profit-loss from technical and low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises included in the business plans.
- **Activity report** partnership workshops, linking community-based organizations and business enterprises with financial institutions, private sector enterprises, NGOs, etc.

- **Activity report** promotional events, such as trade fairs, to promote the products and services of the innovative livelihood and business models developed among the community based OECMs.
- **Activity report** learning exchanges for community-based organizations and business enterprises to other locations in the province and elsewhere in the country.

144. The intent of Output 2.3 is to engage with the private sector to finance sustainable low impact livelihood activities that support species and habitat conservation while addressing economic barriers in the rural economy such as market access to financing and skills. There private sector's participation is particularly important to ensuring the environmental and economic sustainability of the livelihood initiatives. This might include activities such as ecotourism, organic farming, mariculture and seaweed culture, and weaving. The implementation of biodiversity friendly activities will result in, amongst others, improved carbon sequestration and protection of habitats of fauna and flora.

145. Building on the assessment conducted during preparation phase the project will commission two studies to support the development of biodiversity-friendly livelihood and business models in the community-based OECMs in the North and West Flores landscapes, focusing on vulnerable communities and priority sectors, including those affected by the COVID-19 pandemic.

146. The livelihood and business models will be linked with existing initiatives such as village enterprises (BUMDES), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., to address economic opportunities that underpin the village economy. The project will facilitate community access to a number of financial support programs that are available, all of which are aimed at supporting environmentally friendly activities. Reflecting on the low capacity among community business organizations found during the preparation phase, the project will strengthen the management skills of community based businesses. For example, those groups that are focused on tourism will need to develop skills in visitor management, crisis management, destination marketing, human resources and financial management. Strengthened community based organizations will result in improved access to markets improved incomes; potentially better prices for biodiversity friendly; investment opportunities for investors; and reduction in poverty.

147. For livelihood activities to address the drivers of forest degradation or biodiversity loss, they need to provide economic and social incentives for local communities and entrepreneurs. These biodiversity friendly initiatives will be supported by, where necessary, measures to reduce livestock losses from Komodo dragon through innovative measures such as barriers and fencing as well as enhancement of community capacity to prevent the illegal wildlife trade through incentives mechanisms.

148. Based on results from other similar programs, the design of the livelihood and community enterprise activities will be developed to ensure a balance between conservation and livelihood improvement. This would particularly entail that inclusion of the following design features: (i) criteria for determining the eligibility of livelihood and enterprise investments that takes into consideration technical feasibility, social acceptability, environmental sustainability, equitable benefit distribution, gender equity, and institutional and financial feasibility; (ii) there is a clear and transparent linkage between improving conservation (or reducing threat) and/or sustainable resource use and the proposed livelihood and/or enterprise investments; (iii) identification of measurable actions that beneficiaries agree to, that supports conservation (and/or threat reduction) and sustainable use of natural resources; (iv) training and capacity development to support the livelihood and enterprise investments and create awareness of linkages between conservation impact and livelihoods; (v) participatory consultative framework that ensures that the livelihood and/or enterprise activities are selected and owned by local communities; (vi) monitoring framework that supports participatory monitoring of livelihood (and enterprise) impacts, community commitments to conservation (and/or threat reduction) and on-the-ground conservation impacts; and (vii) reciprocal community agreement on maintenance of livelihood and enterprise assets created and agreement to refrain from unsustainable activities.

Baseline information on biodiversity finance instruments and capacities of local CBOs and business enterprises is provided in **Annex 20** (*Baseline report and recommendations on biodiversity-friendly businesses*) and **Annex 21** (*Capacity assessment of local CBOs and businesses*).

149. Indicative activities under Output 2.3 include:

2.3.1. Building upon the baseline analyses prepared during the project preparation phase, carry out an assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in the North and Flores landscapes, focusing on vulnerable communities, including these affected by the COVID-19 pandemic.
2.3.2. Conduct market analyses for potentially viable livelihood and business models (including both land-based and marine and coastal options, such as mariculture and seaweed cultivation), considering economic feasibility, partnership opportunities, potential financing available, etc.
2.3.3. In connection with the financial and business development frameworks developed under Output 2.1, prepare business plans for feasible livelihood and business models, linking with existing initiatives, including village enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., and ensuring ecologically sensitive design of products and services in adherence to social and environmental safeguards.
2.3.4. Deliver capacity building to community-based organizations and local business enterprises on financial management, marketing, sustainable certification, skills training, etc.
2.3.5. Provide targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups.
2.3.6. Provide technical and low-value grant assistance for community-based organizations and business enterprises for testing and piloting the biodiversity-friendly livelihood and business ventures included in the business plans.
2.3.7. Convene partnership workshops, linking community-based organizations and business enterprises with financial institutions, private sector enterprises, NGOs, etc.
2.3.8. Organize promotional events, such as trade fairs, to promote the products and services of the innovative livelihood and business models developed among the community based OECMs.
2.3.9. Organize learning exchanges for community-based organizations and business enterprises to other locations in the province and elsewhere in the country to share experiences and lessons from operating biodiversity-friendly livelihood and business models.

Output 2.4. Ecotourism capacities and offerings strengthened to enhance conservation of Komodo dragon and other globally threatened species and to contribute towards achievement of sustainable development in the North and West Flores landscapes-seascapes

Key deliverables:

- **Technical paper** strengthening Komodo dragon focused ecotourism experiences as an input to the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo.
- **Technical report** capacity building to local tourism operators on sustainability certification and other voluntary standards.
- **Technical document** Flores Ecotourism Code of Practice, developed in collaboration with the local tourism operators.
- **Activity report** promotion of Flores Ecotourism Code of Practice among broader tourism operators in Flores.
- **Activity report** promoting increased conservation financing in tourism sector, collaborating with BPOLBF, KADIN and other likeminded associations.
- **Technical report** provision of technical and low-value grant assistance for pilot testing tourism concession models with local operators.
- **Activity report** domestic and international knowledge exchange transfer trainings (in-person and/or virtual) to share experiences and lessons on ecotourism, HWC management, tourism concessions, etc.

- **Activity report** workshop on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species and contributions towards achievement of sustainable development objectives.

150. The intent of Output 2.4 is to ensure that ecotourism not only makes a positive contribution to Komodo conservation but also to ensure that there is an improvement in the social and economic welfare of participating local communities. This will be done by bringing together key local stakeholders such as the BPOLBF, provincial and district governments, park operators and the private sector to synchronize their roles in ecotourism development, particularly in planning, capacity building, knowledge sharing and promoting public awareness.

151. As the agency entrusted with delivering the integrated tourism plan, coordination with the BPOLBF will be critical. New road infrastructure has the potential to fragment Komodo habitats on Flores if not properly planned. Also, given their mandate they have an important role in coordinating the activities of other government agencies in support of ecotourism. The project will work with the BPOLBF to ensure that the integrated tourism plan supports Komodo conservation on Flores through protection of their habitats, supporting biodiversity friendly community businesses and exploring financing for innovative ecotourism businesses.

152. Ecotourism development planning and decision-making that considers the sustainability of environmental eco-systems, local cultural heritage, and community-economic improvement is relatively new to Flores. The project will work with local tourism operators in developing best practices and standards in ecotourism. This includes developing and promoting a Flores Ecotourism Code of Practice. The ecotourism code of practice is a means to educate operators and tourists alike about the natural, cultural, historical significance of the tourist destination. The code of practice will contribute to ensuring that destination competitiveness is enhanced and other positive benefits are maximized while the negative impacts are minimized.

153. Apart from the KNP, the other conservation areas in the landscapes are not well developed as tourist destinations. In connection with implementation of the business plans developed under Output 2.2 for the Komodo NP and the Tujuh Belas Pulau Nature Recreation Park, technical and low-value grant assistance will be provided for pilot testing tourism concession models with local operators. Particularly for the Tujuh Belas Pulau Nature Recreation Park, these models may include; developing campsites, improving the skills of guides, new trekking routes and developing low cost community accommodation.

154. In order to support on the ground initiatives stakeholder workshops will be held to sensitize stakeholders such as government departments and financial institutions, on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species.

155. Indicative activities under Output 2.4 include:

2.4.1. Supporting the Labuan Bajo Flores Tourism Authority (BPOLBF), develop a plan for strengthening Komodo dragon focused ecotourism experiences into the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo.
2.4.2. Deliver capacity building to local tourism operators on sustainability certification and other voluntary standards, human-wildlife conflict management, best practices in ecotourism experiences, gender mainstreaming, waste management, traditional knowledge and cultural heritage.
2.4.3. Working with the local tourism operators, develop and promote a Flores Ecotourism Code of Practice.
2.4.4. In coordination with the BPOLBF and in collaboration with existing initiatives (e.g., coalition of water supply companies), promote increased conservation financing associated with tourism related development and operations in Flores.
2.4.5. In connection with implementation of the business plans developed under Output 2.2 for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park, provide technical and low-value grant assistance for pilot testing tourism concession models with local operators.

2.4.6. Organize and deliver domestic and international knowledge exchange transfer trainings (in-person and/or virtual) to share experiences and lessons on ecotourism, HWC management, tourism concessions, etc.
2.4.7. Convene stakeholder workshops to sensitize stakeholders including the MoEF, Komodo NP, BBKSDA-NTT, local government units, NGOs, private sector, financial institutions, etc. on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species and contributions towards achievement of sustainable development objectives.

Component 3: Knowledge management, safeguards management, and monitoring and evaluation
Total Cost: USD 7,280,246; GEF project grant requested: USD 980,246; Cofinancing: USD 6,300,000

Outcome 3: Improved awareness and knowledge amongst stakeholders through development and knowledge sharing platform, and integrated research center on Komodo dragons and their habitat

156. Results expected through achievement of Outcome 3 include:

- **Key stakeholder groups' levels of knowledge, attitudes and practices regarding OECMs and threatened species conservation in the project landscapes-seascapes improved**, as measured by results of knowledge, attitude and practices (KAP) surveys (disaggregated by women and *Adat* communities), among the following stakeholder groups: (a) subnational governmental stakeholders (provisional target: 50% improvement), (b) Local communities (provisional target: 50% improvement), (c) Private sector (provisional target: 50% improvement)
- **Dissemination of knowledge on Komodo dragon conservation increased,** as measured Online Komodo dragon portal fully integrated in MoEF's knowledge management system, with 5,000 cumulative visits by the end of the project
- **North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation enhanced**, as measured by five (5) collaborative initiatives are strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes

157. The results expected under Outcome 3 will be achieved through the implementation of the following four outputs.

Output 3.1. Safeguard management plans developed and implemented, and a sustainability plan formulated and implementation initiated

Key deliverables:

- Environmental and Social Impact Assessment Report
- Environmental and Social Management Plan (ESMP), Indigenous Peoples Plan (IPP), and other safeguard management plans determined necessary
- Project Board meeting minutes
- Project work plans, updated annually
- Sustainability Plan

158. Building upon the environmental and social risks assessed during the project preparation phase, an environmental and social impact assessment (ESIA) will be conducted at project inception. The results of the ESIA and the environmental and social management framework (ESMF) developed during the project preparation phase will inform the preparation of an environmental and social management plan (ESMP), an indigenous peoples planning plan (IPP) and other safeguard management plans determined required. Based on M&E feedback from activities completed under Output 3.4, carry out regular reviews and prepare updates of the SESP, ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans as warranted.

159. The Project Board will also oversee the development and implementation of safeguard management plans. The Project Board will be the primary platform for high-level and strategic decisions and the proposed composition provides for efficient and representative feedback (*see Section VIII: Governance and Management Arrangements*). Annual project review stakeholder workshops will be convened, sharing progress and supporting preparation of the annual work plans, which will be presented to the Project Board for approval.

160. This output also includes development of a Sustainability Plan for the project, providing a practical framework for facilitating further progress towards achievement of longer-term outcomes and global environmental benefits, as outlined in the project Theory of Change. Implementation of the Sustainability Plan will be initiated during the project's lifespan, to guide the MoEF and other project stakeholders.

161. Indicative activities under Output 3.1 include:

3.1.1. Conduct an Environmental and Social Impact Assessment (ESIA) for the project, develop an Environmental and Social Management Plan (ESMP) and other safeguard management plans as warranted.
3.1.2. Based on M&E feedback from activities completed under Output 3.4, carry out regular reviews and prepare updates of the SESP, ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans as warranted.
3.1.3. Convene Project Board meetings, including visits to the project sites in the target landscapes-seascapes.
3.1.4. Organize annual project review stakeholder workshops, sharing progress and supporting preparation of annual work plans.
3.1.5. Deliver regular training on gender mainstreaming, social inclusion, and other social and environmental standards.
3.1.6. Develop and initiate the implementation of the project sustainability plan.

Output 3.2. Knowledge management and communications plan developed and implemented, facilitating adaptive management and upscaling of participatory conservation approaches elsewhere in the country

Key deliverables:

- Knowledge, attitudes and practices (KAP) surveys made at project inception (baseline) and at the end of the project
- Knowledge management and communications plan
- Online portal to share project results, best practices, and lessons learned
- Knowledge products (e.g., case studies, best practice guidance documents, short videos, etc.)
- Communication posts, including through social media posts (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc.

162. A knowledge, attitudes, and practices (KAP) surveys will be designed and implemented at project inception to evaluate baseline conditions among subnational level governmental stakeholders, local communities, and private sector stakeholders. and CBO representatives. A framework for the KAP surveys is outlined in **Annex 22** (*KAP Survey Framework*); the design and delivery of the surveys will be made during the implementation phase by a service provider recruited through competitive processes.

163. The provisional end targets of 50% improvement will be assessed after the baseline KAP surveys are completed, and the final versions of the end targets agreed upon. Based upon the findings of the KAP survey, a knowledge management and communications plan will be developed and implemented for the project. Knowledge products, including case studies, best practice guidance documents, short videos, will be developed and disseminated to local, national, regional, and international stakeholders. Resources are allocated under this output to create an online portal, possibly connected with the MoEF's website, to share best practices from the

project, as well as other initiatives involving the conservation of the Komodo dragon and other globally threatened species in Flores.

164. This output also includes organizing awareness and advocacy campaigns, focused on specific themes and aimed at defined target groups, such as women's groups, *Adat* communities, through methods identified in the knowledge management and communications plan, e.g., social media (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc. In partnership with protected area management entities, local government units, academic institutions, and civil society, the project will support delivery of nature education on biodiversity conservation and promoting citizen science in Flores.

165. Indicative activities under Output 3.2 include:

3.2.1. Design, administer and interpret baseline and end-of-project knowledge, attitudes and practices (KAP) surveys, assessing knowledge, attitudes regarding biodiversity conservation in the project landscapes-seascapes.
3.2.2. Based on the results of the baseline KAP survey of this project, develop and oversee the implementation of a knowledge management and communications plan.
3.2.3. Establish and maintain information and knowledge sharing systems for the project, including internet platforms, social media, etc.
3.2.4. In collaboration with the MoEF, create an online portal, possibly connected with the ministry's website, to share best practices from the project, as well as other initiatives involving the conservation of the Komodo dragon and other globally threatened species in Flores.
3.2.5. Organize awareness and advocacy campaigns, focused on specific themes and aimed at defined target groups, such as women's groups, *Adat* communities, through methods identified in the knowledge management and communications plan, e.g., social media (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc.
3.2.6. Collaborate with protected area management entities, local government units, academic institutions, and civil society in delivering nature education on biodiversity conservation and promoting citizen science in Flores.
3.2.7 Advocate the global environmental benefits generated through the project by participating in national, regional and international conferences, workshops, seminars and other events
3.2.8. Develop and disseminate case studies, including lessons learned, on innovative approaches implemented on the project, e.g., integrated landscape-seascape management, establishment of OECMs, community participation, sustainable finance options, species and site conservation, etc.
3.2.9. Produce and promote case studies on women's role in participatory conservation and resource management.
3.2.10. In collaboration with *Adat* communities and upon obtaining FPIC, document traditional knowledge in biodiversity conservation using culturally important methods.

Output 3.3. Increased benefits of innovative conservation measures through scientific partnerships and strengthening of national and international scientific collaboration networks

Key deliverables:

- Two scientific forums to share results of innovative conservation measures associated with the Komodo dragon and other globally threatened species
- Study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes

- Low-value grant support for university graduate level applied analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes

166. This output is focused on increasing benefits of research and development through strengthening scientific partnerships with national, regional and international institutions. Apart from learning exchanges, two scientific forums are planned to share results of innovative conservation measures associated with the Komodo dragon and other globally threatened species. Certain scientific partners, including domestic and international zoos and scientific institutions are carrying out important work regarding the conservation of the Komodo dragon and other globally threatened species. The purpose of the forums is to provide a platform for sharing results of innovative conservation measures in the field, including those funded under the proposed project.

167. The project will support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes, contributing towards the development of the integrated ecosystem management frameworks under Output 1.2.

168. Through a competitive process in partnership with national and international scientific and academic partners, project resources are also allocated for low-value grant support for university graduate level analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes.

169. Indicative activities under Output 3.3 include:

3.3.1. Establish and/or strengthen partnerships with domestic scientific institutions on status, genetic diversity, environmental tolerances (including climate change), ecological habitats, of the Komodo dragon and other globally threatened species in Flores.
3.3.2. Organize two scientific forums to share results of innovative conservation measures associated with the Komodo dragon and other globally threatened species.
3.3.3. Support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes, contributing towards the development of the integrated ecosystem management frameworks under Output 1.2.
3.3.4. Organize knowledge transfer and learning exchanges with international scientific partners.
3.3.5. Through a competitive process in partnership with national and international scientific and academic partners, project resources are also allocated for low-value grant support for university graduate level analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes.

Output 3.4: Project performance and results monitored and evaluated, and progress and M&E reports produced

Key deliverables:

- Project inception workshop and report
- Project progress reports and other M&E deliverables
- Regular reviews and updates of the SESP, ESMP, IPP, Gender Analysis and Gender Action Plan, Stakeholder Engagement Plan, Climate and Disaster Screening Report, COVID-19 Analysis and Action Framework
- Midterm review report
- Terminal evaluation report
- Final project report

170. The activities under this output are designed to put in place enabling procedures and protocols to facilitate effective monitoring and evaluation. The project inception workshop, to be held within three months of signing of the project document, is a critical milestone on the implementation timeline, providing an

opportunity to validate the project document, including the screening of social and environment risks; confirming governance implementation arrangements; assessing changes in relevant circumstances and making adjustments to the project results framework accordingly; verifying stakeholder roles and responsibilities; updating the project risks and agreeing to mitigation measures and responsibilities; and agreeing to the multi-year work plan. An inception workshop report will be prepared and disseminated among the project steering committee members. According to GEF requirements, two independent evaluations will be carried out of the project, a midterm review and terminal evaluation.

171. Under this output, the implementation of the project safeguard management plans will be monitored and evaluated. These include the ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans. Adaptive management measures will be implemented according to feedback from the M&E activities, and the safeguard management plans will be updated accordingly (Output 3.1).

172. A prolonged or recurrent COVID-19 pandemic (or similar crisis) could create challenges for the implementation of the project, i.e., associated with activities involving physical stakeholder workshops, delivering training in the field, convening community meetings, etc. The project will institute adaptive management as needed to reduce the risks of community spread. For example, meetings will be held remotely using virtual platforms as much as possible, health hazard assessments will be required for gatherings of multiple people, and mitigation measures will be implemented, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering trainings on risks and recognition of symptoms, etc. The SESP includes risks associated with COVID-19, and specific mitigation measures are described in the COVID-19 Analysis and Action Framework in **Annex 13**.

173. Indicative activities under Output 3.4 include:

3.4.1. Design and convene the project inception workshop and prepare the inception report.
3.4.2. Carry out regular monitoring and evaluation of the GEF core indicators (including the midterm and terminal METT assessments) and other metrics included in the project results framework.
3.4.3. Prepare the GEF Project Implementation Reports (PIRs) and other progress reports.
3.4.4. Conduct regular monitoring and evaluation of the ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans.
3.4.5. Conduct supervision and learning missions.
3.4.6. Procure and support the independent midterm review (MTR) and terminal evaluation (TE) of the project.
3.4.7. Procure and support the terminal evaluation (TE) of the project.
3.4.8. Prepare the final report for the project, including the PIR for the last year of implementation, the terminal evaluation report, and the management response to the terminal evaluation report.

Partnerships:

174. The intersection of the contributions and complimentary activities of the project co-financing partners with the planned project results are presented below.

Co-financing source	Co-financing type	Co-financing amount	Included in project results?	If yes, list the relevant outputs
Ministry of Environment and Forestry	Public investment (investment mobilized)	USD 34,406,747	No	N/A
	In-kind (recurrent expenditures)	USD 2,514,493	No	N/A
Labuan Bajo Flores Tourism Authority	Public investment (investment mobilized)	USD 541,000	No	N/A

Co-financing source	Co-financing type	Co-financing amount	Included in project results?	If yes, list the relevant outputs
Burung Indonesia	Grant (investment mobilized)	USD 707,865	No	N/A
UNDP	Grant (investment mobilized)	USD 2,119,220	No	N/A
	In-kind (recurrent expenditures)	USD 122,484	No	N/A

175. The project will be closely coordinated with the following GEF financed initiatives and other initiatives in the Wallace region and other areas of Indonesia.

- *Eco-system Approach to Fisheries Management (EAFM) in Eastern Indonesia (Fisheries Management Area (FMA)- 715, 717 & 718)* (GEF Project ID: 9129) WWF-GEF. This project commenced in 2015. The proposed project delivers sustainable environmental, social and economic benefits, demonstrating effective, integrated, sustainable and replicable models of coastal fisheries management that are characterized by good governance and effective incentives, which in many cases would involve dealing with community-based marine protected areas.
- *Strengthening of Social Forestry in Indonesia* (GEF Project ID: 9600). World Bank-GEF. This project aims to improve community management of forests in select priority areas and to conserve biodiversity of global significance. This project is relevant with the IN-FLORES project in the area of inclusive forestry management.
- *Enhancing the Protected Area System in Sulawesi (E-PASS) for Biodiversity Conservation | GEF (thegef.org)* (GEF Project ID 4867). UNDP-GEF. This project commenced in 2012. The project purpose is to strengthen the effectiveness and financial sustainability of the Sulawesi PA system to respond to threats affecting globally significant biodiversity. This project is relevant with the proposed project in relation to strengthening PAs, as there are three PAs as part of the planned project intervention.
- *Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes* (GEF Project ID 4892). UNDP-GEF. This project commenced in 2015. The purpose is to enhance biodiversity conservation in priority landscapes in Sumatera through the adoption of best management practices in PAs and adjacent production landscapes, using tiger recovery as a key indicator of success. This project will use a landscape approach which is highly relevant with the proposed project.
- **Enabling Transboundary Cooperation for Sustainable Management of the Indonesian Sea (ISLME)** (GEF ID 5768) FAO-GEF. There are potential synergies regarding innovative opportunities for alternative livelihoods and blue growth development of coastal communities, e.g., capacity development, building upon interventions initiated under the FAO-GEF project.

176. This Project will also draw from and/or coordinate with the following internationally supported projects/initiatives:

- *Critical Ecosystem Partnership Fund Hotspot Wallacea*. Burung Indonesia/CEPF. This program commenced in 2015. The purpose of the program is to strengthen civil society organizations for conservation action in the Wallacea area (Sulawesi, Lesser Sunda, and Maluku), through grant making, capacity building and mainstreaming. This project addresses focus areas and Key Biodiversity Areas that are relevant to the proposed project.
- *European Union- Forest Law Enforcement Governance and Trade (FLEGT)-Voluntary Partnership Agreement (VPA).* Burung Indonesia/Birdlife Asia. This project commenced in 2016. The purpose of the project is capacity building for nongovernmental stakeholders engaged in forest management. This project has areas that overlap with the proposed project.
- *Landsense; A Citizen Observatory and Innovation Marketplace for Land Use and Land Cover Monitoring.* European Commission/Birdlife International/Burung Indonesia. This project began in 2017. The purpose is capacity building for citizens/villagers for better participation on land use planning, by connecting the domains of citizen science and Earth Observation to address critical issues in the field of Land use and Land Cover (LULC). This project has overlap areas with segments of the proposed project. SGP GEF

- *USAID Lestari Project: The Terrestrial NRM Project (2015-2020):* The project will draw on the following lessons: (i) Adjustments made to theory of change meant that the projects' activities became more focused and integrated, bringing together four technical components to improve the management of conservation areas and forests, and to improve the protection of key species by combating wildlife trafficking and achieve a number of results in regulatory reform: (ii) maintaining good relationship, avoiding regular staff turnover and dedication of substantial time is key to project success; and (iii) ensuring that grant making is superseded by good procedures for grant design, review and award.

Risks:

177. The identified risks that could affect the implementation and results of the project are described in the risk register in **Annex 5**, along with proposed mitigation measures and recommended risk owners who would be responsible to manage the risks during the project implementation phase. The social and environmental risks that were assessed as part of the *Social and Environmental Screening Procedure* (SESP) are also consolidated into the risk register. The SESP (see **Annex 4**) was finalized during the PPG phase, as required by UNDP's Social and Environmental Standards (SES). The SESP identified fifteen (15) risks for this project that could have potential negative impacts in the absence of safeguards, eight rated moderate, six substantial and one rated high. Therefore, the overall SESP risk categorization for the project is High. The safeguard principles triggered by these risks include Principle 1 on Human Rights, 2 Gender equality and women´s empowerment, and 3 Accountability. The Safeguards standards triggered are Standard 1. Biodiversity Conservation and Sustainable Natural Resource Management; Standard 2. Climate Change and Disaster Risks; Standard 3. Community Health, Safety and Security; Standard 4. Cultural Heritage; Standard 5. Displacement and Resettlement; Standard 6. Indigenous Peoples; Standard 7. Labour and Working Conditions; and Standard 8. Pollution Prevention and Resource Efficiency.

178. In accordance with UNDP's SES guidelines, an Environmental and Social Management Framework (ESMF) has been developed for this high risk project during the project preparation phase (see **Annex 10**). The ESMF incorporates the following frameworks: Biodiversity Conservation Action Framework, Livelihood Action Framework; and Indigenous Peoples Planning Framework. This ESMF is supported by:

- Stakeholder Engagement Plan including a description of the project Grievance Redress Mechanism (GRM) to address concerns raised by affected stakeholders from the project (see **Annex 8**);
- Gender Analysis and Gender Action Plan (see **Annex 11**);
- Climate and Disaster Screening Report (see **Annex 12**); and
- Covid-19 Analysis and Action Framework (see **Annex 13**).

179. This ESMF sets out the additional safeguards measures that apply to the project during the inception phase, including but not limited to: (i) the completion of a Strategic Environmental and Social Assessment, in connection with the *Integrated Ecosystem Management Frameworks* developed under Outcome 1.2; (ii) the completion of an Environmental and Social Impact Assessment (ESIA) to further assess potential risks and impacts due to project activities; and (iii) the development of an Environmental and Social Management Plan (ESMP) including identified management measures as required based on the SESA and ESIA.

180. The project will adhere to UNDP SES Guidance Note Standard 6 on Indigenous Peoples. An Indigenous Peoples Planning Framework (IPPF) was developed during the project preparation phase and incorporated into the ESMF, to provide guidance on processes and responsibilities for assessing and managing risks associated with *Adat* communities. Specific project-related risks to *Adat* communities will be further assessed as part of the SESA, ESIA, and the OECMs that are planned to be established under Outcome 1.3. Required management measures, including the development of an Indigenous Peoples Plan (IPP) and Livelihood Action Plan will be developed during project implementation. In accordance with Standard 6, project activities that could adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories shall not be conducted unless agreement has been achieved through the free, prior and informed consent (FPIC). Culturally appropriate consultation will be carried out with the objective of achieving agreement and FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of *Adat* communities. FPIC will occur prior to commencing

activities with potential impacts (positive or not) on Adat communities, including a go/no-go option with respect to the proposed intervention.

181. The development of the SESA, the IPP and ESMP will involve public consultation and public disclosure. The implementation of the ESMP and other safeguards frameworks and management plans will be overseen by the Project Safeguards Officer and monitored throughout the duration of the project.

182. The project activities, including those of the co-financing partners, do not entrail physical displacement of local and *Adat* communities. No project activities that could result in reduced access to land or resources or that could provide livelihoods restoration support for economically displaced communities can commence until the SESA, ESIA, ESMP, IPP, and other safeguards management plans, as deemed required, have been completed and approved and the identified management measures are put in place.

183. Per the ESMF, the project-level Grievance Redress Mechanism (GRM) described in the Stakeholder Engagement Plan will be established during the first year of project implementation and further detailed in the ESMP.

184. Consistent with UNDP Social and Environmental Standards (SES), namely Standard 1 (SES S1) on Biodiversity Conservation and Sustainable Natural Resource Management, project activities in or near environmentally sensitive areas require an abundance of caution. Overall, the project is expected to result in major long term positive impacts for biodiversity conservation and socio-economic benefits to Indonesia through more effective conservation and sustainable management practices, improved engagement of local and *Adat* communities in conservation and improved flows of benefits from sustainable livelihood activities and ecosystem services. Through the implementation of the ESMF and the subsequent ESMP, the project therefore will closely manage, avoid or mitigate the indicated social and environmental risks. The *Integrated Ecosystem Management Frameworks* (Output 1.2)*, Other Effective Area-based Conservation Measures (OECMs)* (Output 1.3), *Restoration Plans of Degraded Komodo dragon Forest Habitats* (Output 1.3), *Financial and Business Development Frameworks* (Output 2.1), *Protected Area Business Plans* (Output 2.2), and *Business Plans for Livelihood and Business Ventures* (Output 2.3) will prepared in line with the requirements of UNDP SES S1 and will be reviewed and cleared by UNDP prior to initiating any field interventions. The IPP will also ensure the *Business Plans for Livelihood and Business Ventures* (Output 2.3) and other activities involving *Adat* communities will also ensure compliance with SES S4, S5, S6 and S7.

185. The rapidly growing tourism sector is described as one of the key threats to biodiversity in Flores, and the project strategy is predicated on mitigating the associated risks of unsustainable development through effective mainstreaming conservation across the key production sectors in Flores, including tourism. Under Output 1.1, the Labuan Bajo Tourism Authority will be an important member of the multi-stakeholder coordination platforms. The integrated ecosystem management frameworks developed in Output 1.2 will include measures on sustainable ecotourism in Flores, and mainstreaming guidelines will be prepared to help direct developers and operators. Ecotourism based livelihood ventures will likely be part of the community-driven OECMs in Output 1.3 and piloted in Output 2.3. Strengthening tourism concessions between protected areas and operators is an important part of the financial sustainability of the PA system in Flores and is incorporated in Outputs 2.1 and 2.4. Under Output 2.4, the project will also be working closely with the Labuan Bajo Tourism Authority in ensuring that biodiversity safeguards are an integral part of tourism development plans. The project will also work with local operators in the development of an Ecotourism Code of Conduct for Flores. And the Knowledge Management and Communications Plan under Output 3.2 will include actions on disseminating best practices and increasing awareness regarding sustainable tourism development.

186. As outlined in the *Climate and Disaster Risk Screening* (see **Annex 12**), the project landscapes are susceptible to a number of climate and disaster hazards, including cyclones, tsunamis, earthquakes, coastal flooding, extreme heat, and volcanic eruptions. The project will implement a series of measures to mitigate the risks associated with climate and disaster hazards on outcome/service delivery, consistent with the requirements and guidelines outlined in UNDP SES Standard 2 on *Climate and Disaster Risks*. Implementation of integrated landscape approaches on the project reduces climate and disaster risks, through increased awareness on the value of safeguarding environmentally sensitive areas. The project will involve high-level policy makers and advocate for mainstreaming conservation and management for generating co-benefits for ecosystems and their services, including strengthening resilience to catastrophic events such as flooding and

landslides, and negative impacts to agriculture, tourism, and forest production systems. As to implementing restoration interventions, the project will ensure that qualified professionals are engaged and provide supervisory and advisory support and coordination. Knowledge generated from the habitat restoration interventions will be disseminated among key stakeholder groups, facilitating mainstreaming and upscaling in other regions in the country.

187. Facilitated by integrated landscape approaches, the project strategy promotes intersectoral and multi-stakeholder collaboration for achieving sustainable management of natural resources. Bringing together intersectoral and multiple stakeholders into participatory processes will help enhance the knowledge of the risks associated with zoonotic diseases like COVID-19 and integrated approaches can help mitigate the risks and build social and ecological resilience of local and *Adat* communities. The project will also promote sustainable close-to-nature livelihoods, which will contribute to increased food and income security of local communities, strengthening their coping capacities in response to the COVID-19 pandemic and other socioeconomic disruptions. Project implementation will also ensure full adherence to government and UNDP directives related to COVID-19. The project will follow a flexible approach to stakeholder consultations including use of social distancing and virtual measures as needed, as outlined in the *COVID-19 Analysis and Action Framework* (see **Annex 13**).

188. Other aspects of the project's risk management measures include:

- Adherence to local and national, as well as UNDP SES Standard 7 (*Labour and Working Conditions*) and Standard 8 (*Pollution Prevention and Resource Efficiency*), including worker safety and safe handling, use, and management of agrochemicals and associated wastes generated.
- Safeguard measures developed by co-financing partners, including governmental entities and civil society organizations, for activities that are directly coordinated with the project will be reviewed by the project management team and UNDP for consistency with UNDP's SES prior to initiating work on the ground. Any gaps will be discussed with the co-financing partners and reviewed regularly, including during the annual project progress review stakeholder workshops.

Stakeholder Engagement and South-South Cooperation:

189. A stakeholder analysis was undertaken during project preparation to identify key stakeholders, consult with them regarding their interests in the project and define their roles and responsibilities during project implementation. Based on these analyses, a *Stakeholder Engagement Plan* (**Annex 8**) has been developed to guide the implementation team.

190. The project strategy is built upon the principle of multi-stakeholder and cross-sectoral collaboration, and promotes genuine participation of local communities. Stakeholder consultation is required throughout, and a transparent project-level grievance redress process is freely available.

191. The *Stakeholder Engagement Plan* also includes a description of the project's grievance redress mechanism (GRM) and information on UNDP's Accountability Mechanism. The *Stakeholder Engagement Plan* is an integral part of the project design, will be communicated to project stakeholders during the inception workshop and referenced in each of the terms of reference developed for implementation of project activities. A list of key project stakeholders and their expected role in the project is presented in **Table 5** below.

Table 5: Project stakeholders

Stakeholders	Expected role in the project
Implementing Partner (Executing Agency)	
Ministry of Environment and Forestry (MoEF)	The MoEF, through the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE), will be the Implementing Partner (Executing Agency) for the project. The Director General of KSDAE will serve as the executive function on the Project Board, chairing the board meetings. The Project Management Unit (PMU) will be established in the Directorate of Biodiversity Conservation (KKH) in KSDAE. The Director of KKH will be the National Project Director, having overall responsibility of the project and facilitating collaboration among other directorates and departments of the ministry. The PMU will include a Project Manager, who

Stakeholders	Expected role in the project
	is also Deputy Director of the KKH, who will be responsible to oversee the day-to-day operations of the project. Representatives of the KKH will participate in the multi-stakeholder coordination platforms for the two target landscapes-seascapes, and be closely involved in the project activities. The MoEF is also one of the project's governmental co-financing partners.
GEF Agency	
UNDP	The UNDP will serve as the GEF Agency for the project, with the Deputy Resident Representative acting as Development Partner function on the Project Board, ensuring global environmental benefits are generated as planned. The UNDP will also deliver project assurance, overseeing the effective and efficient implementation of the project. And the UNDP is one of the project's co-financing partners.
Local and *Adat* Communities	
Local and *Adat* Communities	The local and *Adat* communities in the target landscapes-seascapes are among the primary project beneficiaries. Based on 2021 demographic data, there are 31,872 people living in the 21 villages that have been designated for potential interventions, including establishment of OECMs. The estimated 2,500 direct beneficiaries in the project are mainly from these villages (other direct beneficiaries include management and staff of PA management entities). Local and *Adat* communities will be represented on the multi-stakeholder coordination platforms established for the two target landscapes-seascapes, and will have a leading role in the community-based OECM governance committees/mechanisms under Output 1.3. It is expected that at least one OECM will be established on *Adat* land so they will be leading the management of the OECM. Local and *Adat* communities will have opportunities to be involved in the biodiversity-friendly livelihood activities under Component 2 particularly Outputs 2.3 as well as the nature education and awareness raising events in Component 3.
Other national ministries and entities	
Natural Resources Conservation Agency-East Nusa Tenggara (BBKSDA-NTT)	The BBKSDA-NTT is one of the key stakeholders and beneficiaries of the project. The agency is responsible for the national level protected areas in NTT Province, including the following ones located in the target landscapes-seascapes: Wae Wuul Nature Reserve, Riung Nature Reserve, Wolo Tadho Nature Reserve, and the Tujuh Belas Pulau (17 Islands) Nature Recreation Park. The North Flores Landscape-Seascape Project Implementation Unit (PIU) will be set up at the BBKSDA-NTT office in Riung. They will be heavily involved in all three components of the project. Through governmental co-financing contributions, the BBKSDA-NTT will nominate a Landscape-Seascape Director and Gender-Social Inclusion Focal Point. GEF resources will cover the North Landscape-Seascape Coordinator, Landscape-Seascape Assistant, and Community Mobilizer. Representatives of the BBKSDA-NTT will participate in the multi-stakeholder coordination platforms that are to be setup in Outputs 1.1, be involved in the development of the integrated ecosystem management frameworks in Out 1.2 and help facilitate collaboration with other stakeholders in the target landscapes-seascapes. The PA's under the BBKSDA-NTT be involved in the establishment of OECMs with neighboring communities, e.g., through wildlife corridors, improved buffer zone management, etc. The PA's will be benefit from improved management and monitoring capacities, as well as strengthened financial sustainability under Outputs 2.1 and 2.2.
Komodo National Park (KNP)	The KNP is one of the key stakeholders and beneficiaries of the project. Based on the baseline METT assessment, the KNP has 65 permanent and 56 temporary staff. The West Flores Landscape-Seascape Project Implementation Unit (PIU) will be set up at the KNP Management Office in Labuan Bajo. Through governmental co-financing contributions, the KNP will nominate a Landscape-Seascape Director and Gender-Social Inclusion Focal Point. GEF resources will cover the West Landscape-Seascape Coordinator, Landscape-Seascape Assistant, and Community Mobilizer. Representatives of the KNP will participate in the multi-stakeholder coordination platforms, be involved in the development of the integrated ecosystem management frameworks, and help facilitate collaboration with other stakeholders in the target landscapes-seascapes, including the West Manggarai District Government under Output 1.2. The KNP will also be involved in the establishment of OECMs with neighboring communities, e.g., through wildlife corridors, improved buffer zone management, etc under Output 1.3. The KNP will benefit from improved management and monitoring capacities, as well as strengthened financial sustainability under Output 2.2.
Ministry of Marine Affairs and Fisheries (MMAF)	The MMAF is responsible for the management of the Sawu Sea Marine Protected Area, which partly extends into the West Flores project landscape-seascape. The project will

Stakeholders	Expected role in the project
	engage with the Kupang-based National Marine Conservation Center, an entity of MMAF based in NTT Province that oversees the management of the Sawu Sea MPA. A representative of the Kupang National Marine Conservation Center will be invited to participate on the multi-stakeholder coordination platform for the West Flores landscape-seascape to be set up under Output 1.1. The center will also be engaged in the development of the integrated ecosystem management frameworks, help facilitate collaboration with Marine and Fishery Agency of NTT Province and the fishery agencies in three districts, involved in capacity building activities, and strengthened engagement with local and *Adat* communities.
Other ministries	
Ministry of Village, Development of Disadvantage Regions and Transmigration (Kemendes-PDTT)	Kemendes-PDTT will provide support in terms of capacity building program for village government, village mentoring program. They are responsible for formulating policy and regulations to support the Village Fund that is allocated by the central government. This will be a potential source funding under Output 2.3 to support livelihood and business models. Also, they will support community business development through village business unit (BUMDES) and Village Tourism Program under Outputs 2.3 and 2.4.
Ministry of Cooperative, Micro, Small, Medium Size Enterprises (Koperasi, UMKM)	The Ministry will support community business development especially in accessing business capital. They will provide capacity building for community entrepreneurship development under Outputs 2.3 and 2.4.
Ministry of Public Works and Public Housing (PUPR)	Collaboration with PUPR is important to ensure that they integrate ecological considerations into their infrastructure development program. This is to ensure that planned road construction does not fragment Komodo dragon habitats. The Ministry will collaborate with the project under Outputs 1.2 and 1.4.
Provincial and Local Government Units	
Labuan Bajo Flores Tourism Authority (BPOLBF)	Under Output 2.4, the BPOLBF will collaborate with the project on strengthening ecotourism experiences into the Integrated Tourism Development Plan for the Komodo National Park and Labuan Bajo, as well as developing capacities of local tourism operators, and expanding conservation finance in the region. Representatives of BPOLBF will also be invited to participate in the multi-stakeholder coordination platforms proposed under Output 1.1 of the project. BPOLBF is also one of the project's co-financing partners.
NTT Environmental Forest Agency, and Forest Management Units	The NTT Environmental Forest Agency is responsible for the management and restoration of forest resources in NTT Province. The agency also oversees Forest Management Units (FMUs) in NTT, including the five located in the target landscapes-seascapes: FMU I West Manggarai, FMU II Manggarai, FMU III East Manggarai, FMU IV Ngada, FMU V Nagekeo. As one of the main land managers, the FMUs will have an important role to play in the protection of HBVAs, including Komodo dragons for the long-term. The agency will be a member of the of multi-stakeholder coordination platform in each of the landscapes under Output 1.1. It is expected that OECMs will be established in their area of operations under Output 1.3. To achieve this however, it will be important to strengthen their technical and financial capacity under Outputs 1.1, 1.2, 1.4 and 2.3.
NTT Provincial Government	Provides overall policy support to ensuring the success of the project. Their role will be important for ensuring the long-term sustainability of the two landscape platforms, particularly under Outputs 2.1 and 2.2.
Provincial Development Planning Agency (Bappeda), NTT	The Provincial Bappeda will be a member of the multi-stakeholder coordination platforms under Output 1.1 as they have a key role to play in program coordination among provincial agencies within NTT provincial government. This will allow them to facilitate integration of biodiversity conservation in the NTT province development plan under Output 1.2. Under Output 2.1 Bappeda will support the development of financial strategies for each of the three districts in the project landscapes, in line with the environmental and socioeconomic development priorities of the districts. In collaboration with Finance Agency, allocate budge to support program implementation in related agencies. Also, under Output 2.4 they will work with Labuan Bajo Flores Tourism Authority (BPOLBF) in coordinating programs and fundraising.
District Development Planning Agencies (Bappeda)	The district level Bappedas in the four districts in the target landscapes-seascapes include West Manggarai, East Manggarai, Ngada, and Nagekeo. They will be members of the multi-stakeholder coordination platform under Output 1.1 (West Mangarai in the West Flores landscape-seascape and East Manggarai, Ngada, and Nagekeo in the North Flores landscape-seascape) as they have a key role to play in program coordination among district agencies. Each Bappeda will facilitate the integration of biodiversity conservation into their respective district's development plan under Output 1.2. Under Output 2.1 Bappeda will

Stakeholders	Expected role in the project
	support the development of financial strategies in line with the environmental and socioeconomic development priorities of the districts. Similar to the Provincial Bappeda, the district Bappedas will coordinate with the BPOLBF on programs and fundraising under Output 2.4.
District Tourism Agencies	There are Tourism Agencies in each of the three project districts: West Manggarai, East Manggarai and Ngada. Participation in the multi-stakeholder coordination platforms under Output 1.1 will allow them to coordinate with a range of stakeholders. They will work with tourism business associations to develop tourism concession guidelines under Output 2.2 and under Output 2.4 work with the BPOLBF on tourism plans and an Ecotourism Code of Practice.
The district agency of Village Development and Women Empowerment	They agency will work with village governments and communities to ensure that gender is mainstreamed into project activities. They will work with women's empowerment programs and capacity building under Outputs 1.1. In particular, support the development of sex-disaggregated data and appreciation for gender issues that would make it easier to plan and evaluate for gender-based improvements. Under Output 2.3 they will work with the project to ensure that there is training for women's groups, youth organizations, people with disabilities, and other marginalized groups in topic such as financial management for business development.
Village Governments	The village governments will bring together local leaders (*Adat,* religious, youth, and women) to build support for the project. As some of the OECMs will be on community lands, the village government will take a lead role in identifying the location of the OECMs in the community under Output 1.3. In developing the community based businesses, under Output 2.3, the village governments will facilitate trainings and identification of possible businesses. The villages will play an important role in ensuring sustainability once the project ends by allocating budgets to support the OECMs for the long term. In addition, the village planning process will be an entry point to integrating gender into the village programs which is part of Output 1.1.
Non-governmental organizations (NGOs)	
NGOs	There are several opportunities for national and local NGOs to be involved in the project, e.g., participating in multi-stakeholder coordination platforms under Output 1.1, providing inputs to the intersectoral ecosystem management frameworks, facilitating the screening and establishment of OECMs in Output 1.3, participating in biodiversity monitoring and surveys under Output 1.4 arranging public awareness events, providing capacity building, delivering training to local communities on sustainable livelihood options under Output 2.3. For direct execution of specific project activities, NGOs will be invited through competitive bidding processes. Some of the active NGOs in the target landscapes-seascapes are described below. The Komodo Survival Program (KSP): The foundation was established in 2007 and is specifically dedicated to research and conservation of Komodo dragons in the Komodo National Park and on Flores Island. KSP has 7 staff that conduct research on the Komodo and work with local communities on addressing human-wildlife conflicts. The organization is assisted by 2 advisers with extensive experience in Komodo dragon conservation. Their programming work is supported by a number of overseas organizations such as the Zoological Gardens and Conservation Organizations, including the Association of Zoos and Aquariums, European Association of Zoos and Aquaria, Ocean Park Conservation Foundation Hong Kong, and Chester Zoo. Burung Indonesia: Burung Indonesia has been working in Flores since 1997. The organization's "Sustainable and Integrated Management of Mbeliling Forest" program is strengthening the conservation and sustainable livelihood capacity of Conservation Development Groups members in 27 villages surrounding the forest area with funding from DANIDA. Burung Indonesia has been working in Mbeliling (including Warloka Village, Golo Mori Village, Nangabere Village) since 2007. Burung Indonesia also supports BBKSDA-NTT's to survey bird populations including the Flores hawk-eagle and the Yellow crested cockatoo on Flores island. In addition, there are two local NGOs that are already working in certain villages in the project location: The Komodo Indonesia Lestari Foundation (Yakines) based in Labuan Bajo has worked in Golo Mori and Nangabere villages on sustainable agriculture issues. Finally, Justice, Peace, and Integrity of Creation SVD Ruteng has worked in the Pota area and its surroundings for community economic development and sustainable natural resource management.

Stakeholders	Expected role in the project
Adat Organizations	
AMAN (*Adat* Peoples' Alliance of the Archipelago - *Aliansi Masyarakat Adat Nusantara*)	AMAN will be invited to be a member of the multi-stakeholder coordination platforms under Output 1.1 providing advice to the project on *Adat* communities in Flores and on the FPIC process under Output 1.1. They may contribute to supporting efforts to developing OECMs on *Ada*t lands under Output 1.3. AMAN will work with the project in identifying other *Adat* communities that may be living in the project area.
Scientific Institutes	
Scientific Institutes	There are several scientific institutes that will be engaged in the project. Some examples include the Indonesian Institute of Sciences (LIPI), Nusa Cendana University, Tourism Polytechnic El Commodus, and the World Association of Zoos and Aquariums. These stakeholders will be invited to provide inputs, as well as execute specific activities through competitive bidding process, e.g., for the developing biodiversity guidelines (Output 1.2), delivering training on emerging monitoring and biodiversity survey approaches (Output 1.4), organizing learning exchanges (Output 2.1), participating in scientific forums (Output 3.3), conducting a study on the potential impacts of climate change on globally threatened species in the target landscapes-seascapes (Output 3.3).

192. **Engagement with the Private Sector**. There is increasing interest among private entities, be it banks, corporations or small businesses to join global conservation financing efforts as reflected in their growing participation in a number of emerging partnerships and platforms that focus on biodiversity and natural capital. Financial contributions by the private sector towards the protection of biodiversity has the potential to make a significant contribution to global biodiversity financing. Non-traditional allies like corporations can be very effective partners in biodiversity conservation efforts. The private sector has land, resources and people that can be deployed to achieve meaningful conservation outcomes in the Flores landscapes-seascapes.

193. Some of the key private sector enterprises and associations that will be engaged during project implementation include Indonesian Tourist Guide Association, Association of the Indonesian Tours and Travel Agencies, Indonesia Hotel and Restaurant Association, Torong Padang Community-based Travel Group, Bank BRI, Bank BNI, and Bank NTT. Since the tourism industry is composed of various interdependent companies, for example tour operators, food and drink suppliers transportation companies and hotels, engagement with these associations will provide an entry point for the project to address sustainability in the tourism value chain.

194. Indeed, the associations maybe be a good entry point into addressing sustainability issues since intersectoral linkages between Labuan Bajo's tourism industry and other economic sectors are weak. Most tourism businesses buy produce from local sellers but not from local farmers, because there are weak ties between Labuan Bajo's market places and Flores' agricultural sector. Only a very roughly estimated 30 per cent of agricultural products sold are actually coming from the island. Accordingly, leakage in the food supply chain is high. Fish from the fish market on the other hand is primarily provided by Komodo fishing communities.[35] In addition, as discussed below, under component 2 of the project, there will be activities to support business management and biodiversity friendly businesses. These activities are possible entry points into addressing issues of sustainable food value chains.

195. As a premium tourist destination, Labuan Bajo is also facing periodic water shortages Labuan Bajo is water scarce with clear wet and dry seasons and an average rainfall of 1500 mm/year. The majority of residents primarily buy bottled water for drinking, usually purchasing 20L refillable bottles from local water vendors or larger suppliers.[36] Other residents boil their water before drinking it. Sources of water for purposes other than drinking include piped water from the Municipal Water Supply Company (PDAM). Companies such as AMANDAVA, Danone-Aqua and Air Ruteng supply mineral water to restaurants and hotels in Labuaan Bajo. The project can work with these companies along with PDAM to improve water security in Labuan Bajo for all stakeholders by building more effective collaboration in water supply planning to ensure equal distribution of water supply for communities and for tourism services.

[35] Stefanie Remmer. 2017.Tourism Impacts in Labuan Bajo Swiss Contact, https://www.swisscontact.org

[36] Dr Ni Made Utami Dwipavanti. 2021. How can improving inclusive water, sanitation and hygiene enhance Labuan Bajo as a tourism destination? Practice Note – July 2021 https://www.watercentre.org

196. As discussed elsewhere in the proposal, the Labuan Bajo Tourism Authority (BPOLBF) has the mandate to integrate all infrastructure development in West Mangarai. During the project inception period discussions were held with BPOLBF regarding development plans to ensure that they did not disturb environmentally sensitive areas. Once the project begins the BPOLBF will be the principal entry point to discuss transportation and other infrastructure issues. Other national and international private sector stakeholders will be engaged through the activities described below.

197. The activities planned under Outcome 2 will support the active engagement of the private sector in supporting economic models that encourage species conservation practices and partnering with local communities in support of community based ecotourism and related livelihood improvement efforts. As well, the private sector will be represented in the stakeholder coordination platforms (Output 1.1) along with government, NGOs and communities which will ensure that conservation outcomes are being achieved through good governance, sound design and planning, and effective management schemes.

198. Long-term financing for biodiversity conservation is always a concern given limited government finances. The development of innovative financial models Output 2.1 will be important for the implementation of the on the ground activities in Outputs 2.2, 2.3 and 2.4. For example, there are a number of innovative financial models from the BIOFIN analysis for biodiversity conservation that may be deployed in this project. Another source of funding is from the BPDLH which manages Environmental Funds in Indonesia to support environmental protection, environmentally friendly economic activities and GHG reductions. The project will work with the Agency to explore opportunities for additional funding for the activities under this output and outputs 2.2, 2.3 and 2.4. Along with the Komodo Dragon Strategic Action Plan (SRAK), there is an opportunity to develop business frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes that promote innovative tools, practices, and financing instruments. The Output 2.3 will support the promotion of community biodiversity-friendly livelihood and business enterprises to avoid biodiversity loss and lead to natural resources use sustainability. This Output will also provide technical and low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises included in the business plans.

199. The capacity building under Output 2.3 will contribute to stakeholders' capability to sustain activities and positive social-ecological impacts. To ensure that women have equal access to conservation finance instruments, under Output 2.3 there is targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups on topics such as financial management, marketing, sustainable certification and skills training. Enhancing institutional capacity at the village or site level for managing natural resources or initiating alternative community-based sustainable livelihood strategies will open up new opportunities for leveraging support from the private sector.

200. Given the ever-growing importance of tourism to the socio-economic development of Flores, Output 2.4 is focused on ecotourism development to ensure that it not only makes a positive contribution to Komodo conservation but also to ensure that there is an improvement in the social and economic welfare of participating local communities. As a premium tourist destination there is a need to ensure that local communities have a role in the sector and not be pushed out by larger operators. The project will bring together key local stakeholders such as the BPOLBF, provincial and district governments, park operators and the private sector to synchronize their roles in ecotourism development, particularly in planning, capacity building, knowledge sharing and promoting public awareness.

201. As noted elsewhere, the project is designed to strengthen conservation measures beyond the protected area network. But this does not mean neglecting the importance of the role of the Komodo National Park and the other conservation areas play in the landscape-seascapes. They will be supported with capacity building and some financial resources to strengthen the connectivity in the landscape and increase their contribution to the local economy. In connection with implementation of the business plans developed under Output 2.2 for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park, technical and low-value grant assistance will be provided for pilot testing tourism concession models with local operators. Particularly for the Tujuh Belas Pulau Nature Recreation Park, these models may include; developing campsites, improving the skills of guides, new trekking routes and developing low cost community accommodation.

202. **South-South Cooperation**: The project will connect with similar country projects based on similar approaches to share resources combined and collective knowledge management products, and to facilitate dissemination through global ongoing South-South and global platforms, the UN South-South Galaxy knowledge sharing platform and PANORAMA[37].

203. In addition, to bring the voice of Indonesia to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on wildlife conservation. The project will furthermore provide opportunities for regional cooperation with countries that are implementing initiatives on innovative conservation initiatives in geopolitical, social, and environmental contexts relevant to the proposed project in Indonesia.

Gender Equality and Women's Empowerment:

204. Indonesia has made significant strides towards closing the gender inequality gap and contributing to development. In 2019, Indonesia's Human Development Index (HDI) value was 0.718, with the ranking of 107 out of 189 countries and territories.[38] The 2019 HDI value for Indonesia illustrates a more than 37.3% increase from the 1990 HDI value. The improved HDI is evidence of the progress the country has made towards increasing life expectancy at birth, mean years of schooling, and gross national income (GNI) per capita over that period.

205. The Gender Development Index (GDI) for Indonesia in 2019 was 0.940, an increase from 0.8942 in 2010. The Government of Indonesia has taken numerous steps in the last decade to further gender equality through legislation, resulting in Indonesia receiving a gender inequality index (GII) value of 0.480 and a ranking of 121 out of 162 countries in 2019.

206. There remain considerable gaps in Indonesia with respect to gender quality and women's empowerment. For instance, female participation in the labor market is 53.1%, compared to 81.9% for men.[39] Gender equality in Flores is lagging behind national trends on a number of fronts. For example, there is currently no implementation plan at the district level for gender mainstreaming in the three districts that were consulted. Policies related to gender mainstreaming in the environmental and forestry sectors are not understood by most of the staff and structural employees in the district. In addition, most respondents felt that the Presidential Instruction on gender has not yet been implemented. As a result data disaggregated by sex is inconsistent; there is a lack of policies that specifically accommodate gender mainstreaming; weak gender responsive budgeting and the lack of women's participation in the development planning process.

207. At the community level, the lack of participation by women was apparent in the community consultations held during the project preparation phase. Some of the women indicated that they could not participate because they were not invited to meetings. Others stated that the only women with social positions were given the opportunity to participate. Another issue is the level of understanding of the role of women in decision-making. More often than not village level decision-making is left to men. These differences are important to consider when implementing initiatives and interventions, such as social forestry programs. Without accommodations and safeguards for gender in place, promoting interventions may be susceptible to elite capture and further marginalization of women and other community members. Moreover, having women's participation in governance is critical to achieving both forest sustainability and gender equality.

208. Gender equality and women's empowerment considerations have been integrated into the indicative project activities. Of particular importance for the project is the influences of gender differences and inequalities on the conservation and sustainable use of biodiversity, and the ways in which these differences and inequalities influence how women and men in selected sites are affected by biodiversity policies, planning and programming. The project will ensure equal opportunities for women and men to participate in decision-making. Steps will be taken to ensure that women's needs and interests are taken into account in governance arrangements set up by the communities, including encouraging women to actively participate in community meetings and platforms that discuss project activities. This is particularly important for Outcome 1.3 in the establishment of OECMs. The

[37] https://panorama.solutions/en

[38] Human Development Report 2020, UNDP.

[39] Ibid.

designation of OECMs may affect how the natural resource base is used and may in turn affect how women use the natural resources such as collecting firewood, fodder, food items and other non-timber forest products.

209. Outcome 2 focuses on the development of alternative new economic models and nature-supportive livelihood activities for financial sustainability. To ensure that women have equal access to conservation finance instruments, under Output 2.3 there is targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups on topics such as financial management, marketing, sustainable certification and skills training. The training will be critical to ensuring women or women's groups can access the low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises in Output 2.3. Attention will be given to how the businesses are gender-responsive and factor in impacts on women's time and energy expenditure give their multiple roles in the household and in farming or small business activities.

210. Under Output 3.1 the project will develop gender-sensitive monitoring and evaluation plans, along with gender theory of change and participatory feedback loops. This will help ensure that gender-transformative approaches identified during project design are being implemented. In addition under Outputs 3.1 and 3.2 there will be opportunities to share the lessons learned on gender mainstreaming from the project.

211. More information on gender mainstreaming is included in **Annex 11** (*Gender Analysis and Action Plan*). Specific gender equality and women's empowerment. The Safeguards Officer will oversee the implementation of the gender action plan.

Knowledge management

212. Effective and inclusive knowledge management will be key to the overall goal of creating bridges between the stakeholders from the national level down to the community level by deploying a number of strategies to build support, awareness and communicate project results. Under Output 3.2, a knowledge, attitudes, and practices (KAP) surveys will be designed and implemented at project inception to evaluate baseline conditions among subnational level governmental stakeholders, local communities, private sector stakeholders and NGO representatives. It will contribute to measuring the extent to which the public develops an environmental ethic and an increased awareness and understanding of biodiversity conservation and threats to key threatened species. Based upon the findings of the KAP survey, a knowledge management and communications plan will be developed and implemented for the project. Knowledge products, including case studies, best practice guidance documents, short videos, will be developed and disseminated to local, national, regional, and international stakeholders. The KAP survey will be carried out again in the final year of the project.

213. Output 3.2 will also support the analysis, documentation and dissemination of best practices and lessons learned from the project in: improvements in threatened species and biodiversity conservation; biodiversity financing; biodiversity friendly businesses and; gender mainstreaming. Project staff and partners will participate in national, sub-national workshops, international conferences and field visits to improve learning and exchange of experiences in mainstreaming for example, species conservation, landscape management and community participation in conservation.

214. In collaboration with the MoEF, an online portal will be developed to share best practices from the project and other initiatives involving the conservation of the Komodo dragon and other globally threatened species in Flores (Output 3.2). Where possible, the project will integrate the information generated into existing databases to support the collection and documentation of detailed information on threatened and endangered species, habitats, threats, and conservation actions, ultimately improving the overall provincial capacity and national capacity and the ability to effectively identify and track threats and risks.

215. As part of the project's efforts to strengthening scientific partnerships with national, regional and international institutions there will be two scientific forums (Output 3.3). These for a will also be important for gaining international recognition for the project's efforts in developing an OECM Assessment Methodology as a result of its work under Output 1.3. This will contribute to Indonesia's support of the post-2020 Biodiversity framework.

216. Finally, under Output 3.4 the enabling procedures and protocols will be put into place to facilitate effective monitoring and evaluation. This will include a project inception workshop, to be held within three months of signing of the project document, is a critical milestone on the implementation timeline, providing an opportunity to validate the project document, including the screening of social and environment risks; confirming governance implementation arrangements; assessing changes in relevant circumstances and making adjustments to the project results framework accordingly; verifying stakeholder roles and responsibilities; updating the project risks and agreeing to mitigation measures and responsibilities; and agreeing to the multi-year work plan. According to GEF requirements, two independent evaluations will be carried out of the project, a midterm review and terminal evaluation.

217. An important element of the project design included the ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans. Adaptive management measures will be implemented according to feedback from the M&E activities, and the safeguard management plans will be updated accordingly (Output 3.1). Under Output 3.4, the implementation of the project safeguard management plans will be monitored and evaluated.

Innovativeness, Sustainability and Potential for Scaling Up:

218. **Innovativeness:** Given the multitude of threats to natural systems in the 21st century, such as the ongoing degradation of ecosystems, increased competition for land and marine resources, and negative impacts of climate change, there is growing consensus multifunctional landscapes-seascapes can address the cross-sector linkages between agriculture, nature conservation and economic development is required for sustainable development. The project will strengthen management for globally threatened species and their habitat using a landscape-seascape approach by developing other area conservation measures (OECMs) that are integrated within two landscapes and seascapes. By extending conservations measures beyond the protected area network using OECMs a range of positive conservation outcomes can be generated such as; conserving important ecosystems, habitats and wildlife corridors and maintaining ecosystem functions and securing ecosystem services. Extending conservation measures outside of the protected area network will also contribute to the GOI national and international biodiversity conservation targets.

219. OECMs may include lands that may not have biodiversity as a primary goal but are nevertheless managed to include long-term biodiversity outcomes such as contributions from government lands, village lands, Adat communities' lands and privately owned lands which would allow for the inclusion of groups that are not traditionally involved in biodiversity conservation. OECMs are an opportunity to recognize *de facto* effective long-term conservation that is taking place outside currently designated protected areas, under a range of governance and management regimes, implemented by a diverse set of actors. As such, it provides an opportunity for stakeholders (including traditional authorities, government, business owners and conservation agencies) to collaborate to find mutually beneficial solutions to biodiversity preservation and restoration.

220. Integral to the project is the design of new funding strategies such as tourism generated revenues or private-community partnerships to support biodiversity friendly businesses. The design of the livelihood and community enterprise activities will be developed to ensure a balance between conservation and livelihood improvement

221. **Sustainability**: Sustainability of landscape-seascape planning and management processes will be enhanced through the formation of two multi-stakeholder landscape-seascape platforms, involving local government, national agencies and institutions, NGOs, the private sector and others at the landscape level. NGO networks will be called upon for their support to community projects and landscape planning processes, and technical assistance will be engaged through government, NGOs, universities, academic institutes and other institutions. Creating new networks will establish channels of communication, which stakeholders can draw upon over the long-run. Targeting the protection of Komodo dragons and other globally threatened species allows for the various types of government, private sector and community actions to be catalyzed to advance multiple global environmental and local development goals in the same geographic space.

222. Financial sustainability will be promoted by ensuring that community based organizations and particularly women's groups have developed the "soft skills" during the life of the project to manage and finance

their biodiversity friend businesses once the project ends. In developing the biodiversity community enterprises, one of the selection criteria for project eligibility will also address sustainability. This will ensure that only projects that have taken sustainability into account will be funded. Part of the project itself is to develop innovative approaches to access financing for biodiversity friendly businesses, which they cannot currently do due to a lack of capacity. Successful initiatives will then be replicated or up-scaled and information will be disseminated to policy developers.

223. Investing in organizations and community based enterprises during project implementation, and sharing knowledge on organizational practices, will lead to professionalization of organizations over the longer-term. It is anticipated that one of the effects of the project will be to create greater organizational skills and capacities, which community-based entities can apply once the project ends. This will allow alternative livelihood projects to leverage support from private sector stakeholders, such as: banks, wholesalers, impact investment groups, or tourism agencies.

224. The two landscape-seascape multi-stakeholder coordination platforms and the OECM level governance committees will need funding to continue operations. During the course of the project, funding models will be developed to ensure that financial architecture and infrastructure is in place to avoid the shock of stakeholders suddenly having to take on the full role and responsibilities once a project ends. The most realistic funding model is likely to be a hybrid system that combines government funding for example, from “green budgets” at the district and village levels, ecosystem services, fees from ecotourism activities and donations from private sector operators that have a stake in protecting biodiversity.

225. Social sustainability will be promoted through strengthening of community based institutions, organizations as well as individuals that will manage the OECMs for the long-term. The OECM framework creates an enabling environment for communities with HBVAs, or living next to protected areas to realize the potential socio-economic benefits that may come with preserving ecosystem services. The skills that have been developed through the course of the project such as planning, conflict resolution, monitoring and budgeting will ensure that the OECM level governance forums that have been put into place during the project will have the capacity to continue once the project comes to an end. Continuous monitoring of conservation outcomes will be critical to ensuring community ownership. This will allow communities not only to record their successes but also learn from their failures. Engaging communities to actualize the socioeconomic benefits related to their land will encourage better stewardship of land and the associated biodiversity.

226. **Potential for scaling up:** The IN-FLORES project will be Indonesia’s first initiative in developing OECMs in terrestrial areas. The new evidence-based and on-the-ground conservation measures of the project will work through the institutional structure and national and local program/policies of the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE), which is responsible for biodiversity conservation in Indonesia. This means it has great potential for scaling-up as well as broader adoption across Indonesia, be it by the MoEF, other related ministries and government entities, or additional concerned parties. The development and application of biodiversity-friendly guidelines in forestry, tourism, fisheries, agriculture and other-related economic activities can help promote new models that can be applied in other locations as well. The project will also create several outputs that facilitate scaling-up or replication of the project through dissemination of key findings or lessons-learned workshops. The replication and scaling up strategy to be developed will assess sustainable financial and institutional arrangements for scaling up and develop a best practice manual to help promote uptake of the OECM approach in other parts of the country.

V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): SDG 1, SDG 5, SDG 12, SDG 13, SDG 14, SDG 15, and SDG 17

UNSDCF Indonesia 2021-2025 / CPD 2021-2025:

Outcome 3: Institutions, communities and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive.

Contributing Outputs:

Output 3.2: Strengthened and expanded protection, governance and management of terrestrial and aquatic ecosystems, habitats, and species.

Output 3.4: Conservation and resilience strategies with local priorities (income and food security) contribute to global environment benefits.

Aligned with **UNDP Strategic Plan (2022-2025)** Output Signature Solution #4 (Environment); contributing to UNDP SP Result 4.1: Natural resources protected and managed to enhance sustainable productivity and livelihoods; and Result 4.2: Public and private investment mechanisms mobilized for biodiversity, water, oceans, and climate solutions.

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
Project Objective: To strengthen conservation of Komodo dragon and other globally threatened species in Flores through integrated approaches across multiple use landscapes-seascapes	**Indicator 1 (GEF-7 CI 1; IRRF Indicator 4.1.2): Terrestrial protected areas created or under improved management for conservation and sustainable use** (hectares) (Sub-Indicator 1.2: Terrestrial protected areas under improved management) **SDG 15.1; SDG 15.5**	36,144 ha METT scores: Komodo National Park (40,728 ha x 82%); Wae Wuul Nature Reserve (1,485 ha x 47%): Riung Nature Reserve (416 ha x 31%); Wolo Tadho Nature Reserve (4,017 ha x 42%); Tujuh Belas Pulau Nature Recreation Park (416 ha x 56%);	38,090 ha METT scores: Komodo National Park (40,728 ha x 85%); Wae Wuul Nature Reserve (1,485 ha x 55%); Riung Nature Reserve (416 ha x 40%); Wolo Tadho Nature Reserve (4,017 ha x 55%) Tujuh Belas Pulau Nature Recreation Park (416 ha x 67%);	40,068 ha METT scores: Komodo National Park (40,728 ha x 88%); Wae Wuul Nature Reserve (1,485 ha x 67%); Riung Nature Reserve (416 ha x 55%); Wolo Tadho Nature Reserve (4,017 ha x 67%); Tujuh Belas Pulau Nature Recreation Park (416 ha x 75%);
	Indicator 2 (GEF-7 CI 2; IRRF Indicator 4.1.2): Marine protected areas created or under improved management for conservation and sustainable use (hectares) (Sub-Indicator 2.2: Marine protected areas under improved management) **SDG 14.2; SDG 14.5**	112,566 ha METT scores: Komodo National Park (132,572 ha x 82%); Tujuh Belas Pulau Nature Recreation Park (6,887 ha x 56%); Core Zone – Sawu Sea Marine Protected Area (925 ha x TBD%)	117,300 ha METT scores: Komodo National Park (132,572 ha x 85%); Tujuh Belas Pulau Nature Recreation Park (6,887 ha x 67%); Core Zone – Sawu Sea Marine Protected Area (925 ha x TBD%)	121,829 ha METT scores: Komodo National Park (132,572 ha x 88%); Tujuh Belas Pulau Nature Recreation Park (6,887 ha x 75%); Core Zone – Sawu Sea Marine Protected Area (925 ha x TBD%)
	Indicator 3 (GEF-7 CI 3; IRRF Indicator 4.1.2): Area of land restored (hectares) (Sub-Indicator 3.2: Area of forest and forest land restored; Sub-Indicator 3.3: Area of natural grass and shrublands restored) **SDG 15.1; SDG 15.2**	MoEF has mapped out degraded land throughout the country, including in Flores.	Restoration plans for restoring 300 ha of degraded habitat of Komodo dragon and other globally threatened species approved for implementation by midterm.	300 ha of degraded habitat of Komodo dragon and other globally threatened species undergoing restoration (Sub-Indicator 3.2: 150 ha; Sub-Indicator 3.3: 150 ha)

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
	Indicator 4 (GEF-7 CI 4; IRRF Indicator 4.1.2): Area of landscapes under improved practices (hectares; excluding protected areas) (Sub-Indicator 4.1: Area of landscapes under improved management to benefit biodiversity; qualitative assessment, non-certified; Sub-Indicator 4.3: Area of landscapes under sustainable land management in production systems) **SDG 15.5; SDG 15.9; SDG 15.c; SDG 14.5; SDG 17.17**	Management of Komodo dragon habitats in the West and North Flores landscapes-seascapes partially covered by protected areas, FMUs, and land use plans; however, there is no integrated approach.	Integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, covering 275,946 ha (excluding protected areas) approved by midterm. Business plans for biodiversity-friendly livelihood initiatives involving improved agroecological practices covering 300 ha, developed and implementation initiated.	275,946 ha of landscapes under improved practices (Sub-Indicator 4.1: 275,646 ha; Sub-Indicator 4.3: 300 ha)
	Indicator 5 (GEF-7 CI 6): Greenhouse Gas Emissions Mitigated (metric tons of carbon dioxide equivalent – tCO2e) (Sub-Indicator 6.1: Carbon sequestered or emissions avoided in the AFOLU sector) **SDG 13.1; SDG 13.2; SDG 13.3**	The Government of Indonesia has reconfirmed their unconditional GHG emissions reduction target of 29% by 2030 (updated NDC 2021).	End target of 3,383,002 tCO2e of lifetime direct project GHG emissions mitigated confirmed through approved plans for restoring 300 ha of degraded forest habitat and approved integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes	3,383,002 tCO2e (lifetime direct project GHG emissions mitigated)
	Indicator 6 (GEF-7 CI 11; IRRF Indicators 4.1.1, 4.2.1): Number of direct project beneficiaries disaggregated by gender as a co-benefit of GEF investment (individual people) **SDG 1.4; SDG 1.b; SDG 5.a**	The 21 potential villages for project interventions have a combined population of 31,872 (2020 data). The cumulative number of staff working at the 6 protected areas in the project landscapes-seascapes is 129.	1,000 direct beneficiaries, of whom 500 are women	2,500 direct beneficiaries, of whom 1,250 are women
Project Component 1	**Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management**			
Project Outcome 1: Effective conservation of the Komodo Dragon and globally threatened terrestrial and marine species within and outside conservation areas	**Indicator 7: Conservation and sustainable use strengthened outside protected areas through innovative governance arrangements**, as measured by the number of other area-based conservation measures (OECMs) established, operationalized and registered on the WDPA site. **SDG 14.2; SDG 15.1; SDG 15.9; SDG 17.17**	There are no OECMs registered for Indonesia on the WDPA site (www.protectedplanet.net)	Three (3) OECMs established in the project landscapes-seascapes, including operationalization of multi-stakeholder governance committees having equitable representation of women.	Three (3) OECMs in the project landscapes-seascapes registered on the WDPA site (including one governed by *Adat* communities).
	Indicator 8: Wildlife conservation mainstreamed across the target production landscapes-seascapes, as measured by the number of instances of utilizing the guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation infrastructure sectors. **SDG 15.5; SDG 14.2**	There are limited guidelines for mainstreaming wildlife conservation in the production sectors in the target landscapes-seascapes	Guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation infrastructure sectors in the target production landscapes-seascapes	Five (5) instances of utilizing the guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation infrastructure

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
				sectors in the target production landscapes-seascapes
	Indicator 9: Status of globally threatened species in target landscapes-landscapes, as measured by stable or increased populations of Komodo dragon (*Varanus komodoensis*) in (a) Komodo National Park, (b) Wae Wuul Nature Reserve, (c) Tujuh Belas Pulau Nature Recreation Park, and yellow-crested cockatoo (*Cacatua sulphurea*) in the Komodo National Park **SDG 15.5**	Komodo dragon and its varied phenotypes: (a) Komodo National Park: 2,430-3,163 individuals (joint survey by KNP & KSP 2020), (b) Wae Wuul Nature Reserve: 29 individuals (joint survey by BBKSDA & KSP 2017), (c) Tujuh Belas Pulau Nature Recreation Park: 18 individuals (joint survey by BBKSDA & KSP 2017) Yellow-crested cockatoo: Komodo National Park: 1,113 individuals (survey by Reuleaux et al. in 2017, only covering Komodo Island)	Updated baseline information by midterm.	All stable (i.e., not decreasing) or increasing as compared to updated baseline information.
	Indicator 10: Reduction in threats to globally threated species through strengthened collaborative monitoring and enforcement, as measured by (a) reduced levels illegal wildlife hunting and poaching incidents in the Komodo National Park, Wae Wuul Nature Reserve, Wolo Tadho Nature Reserve, and Riung Nature Reserve; and (b) reduced levels of destructive fishing incidents in the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park. **SDG 15.5; SDG 15.7; SDG 14.1**	Quantitative baseline figures will be compiled at project inception during initiation of activities under Output 1.4.	Capacity building delivered for strengthening monitoring and enforcement capacities, and improved record keeping.	(a) 75% reduction in the number of illegal wildlife hunting and poaching incidents in the Komodo National Park, Wae Wuul Nature Reserve, Wolo Tadho Nature Reserve, and Riung Nature Reserve; and (b) 75% reduction in the number of destructive fishing incidents in the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park
Outputs to achieve Outcome 1	**Output 1.1:** Functional governance capacities developed and coordination mechanisms strengthened to support dialogue, information flow and decision-making between key stakeholders (within government and non-government sectors), private enterprise and community groups for facilitating integrated landscape and seascape planning and management **Output 1.2:** Integrated ecosystem management frameworks developed for the West and North Flores landscapes-seascapes, with supplemental guidelines produced on biodiversity mainstreaming and restoration of degraded habitats in the tourism, livestock management, fisheries, agriculture, transportation infrastructure and other production sectors **Output 1.3:** Management of the West and North Flores landscapes-seascapes improved through establishment and/or recognition of other effective area-based conservation measures (OECMs) **Output 1.4:** Monitoring and enforcement capacities, systems, coverage, and partnerships strengthened to enhance the knowledge base on population dynamics and variability of Komodo Dragon and other species, enabling more informed management decisions in the West and North Flores landscapes-seascapes			
Project Component 2	**Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape**			

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
Outcome 2: Alternative new economic models and nature-supportive livelihood activities for financial sustainability of conservation efforts and benefit to surrounding communities building and supporting the lessons from BIOFIN	**Indicator 11: Conservation finance mechanism established for ensuring long-term conservation of Komodo dragon**, as measured by a mobilized and distributed fund instrument developed and approved by the Environmental Fund Management Agency (BPDLH) **SDG 15.a**	The BPDLH manages several environmental funds, but there are no mechanisms dedicated to conservation of the Komodo dragon.	Mobilized and distributed fund regulation/instrument drafted and reviewed by the BPDLH and other stakeholders.	Mobilized and distributed fund instrument established under the BPDLH, supporting financing of the implementation of the SRAK.
	Indicator 12: Financial sustainability of the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park strengthened, as measured by (a) the number of new sources of revenue established, and (b) percentage increase in annual available funding (excluding staff costs) from the new sources of revenue **SDG 15.a**	The protected areas in the target landscapes-seascapes do not have sustainable financing plans or business plans. Baselines will be established during the preparation of the financial sustainability analyses and business plans.	Plans for new sources of revenue described in the financial sustainability analyses and business plans developed for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.	(a) Three (3) new sources of revenue and (b) 15% increase in available funding (excluding staff costs), contributing to the financial sustainability of the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park.
	Indicator 13 (IRRF Indicators 4.1.1, 4.2.1): Sustainable livelihood opportunities for local communities expanded, as measured by the number of households (disaggregated by gender and *Adat* communities) achieving increased and diversified income from biodiversity-friendly livelihood ventures. **SDG 15.c**	Threats (e.g., wildlife poaching, destructive fishing, grassland fires, etc.) to Komodo dragon and other globally threatened species continue partly because of limited opportunities, lack of capacity, and inaccessible finance for sustainable livelihood ventures.	Market analyses and business plans completed for feasible livelihood ventures.	200 households (50:50 gender disaggregation, and including 50 *Adat* households) achieving increased and diversified income from biodiversity-friendly livelihood ventures.
	Indicator 14 (IRRF Indicators 4.1.1, 4.2.1): Increased access to and availability of conservation finance instruments, as measured by the number of community-based organizations and small business (disaggregated by gender) in the target landscapes-seascapes obtaining funding from conservation finance instruments **SDG 15.a**	Community-based organizations and small businesses lack fund-raising capacities.	Financial and business development frameworks developed for the North and West Flores landscapes-seascapes	20 community-based organizations and small businesses (including at least 10 led by women) obtain funding from strengthened conservation finance instruments
Outputs to achieve Outcome 2:	**Output 2.1:** Financial and business development frameworks and other enabling strategies and financing instruments developed for conservation and sustainable management of the North and West Flores landscapes-seascapes **Output 2.2:** Financial sustainability of the protected areas in the North and West Flores landscapes strengthened through conducting financial analyses, delivering capacity building, developing business plans, strengthening tourism concession guidelines, and pilot testing new revenue-generating options **Output 2.3:** Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes, with particular focus on vulnerable communities includes those affected by the COVID-19 pandemic **Output 2.4:** Ecotourism capacities and offerings strengthened to enhance conservation Komodo dragon and other globally threatened species and to contribute towards achievement of sustainable development in the North and West Flores landscapes-seascapes			
Project Component 3	**Knowledge management, safeguards management, and monitoring & evaluation**			
Outcome 3 Improved awareness and knowledge amongst stakeholders through development and	**Indicator 15: Key stakeholder groups' levels of knowledge, attitudes and practices regarding OECMs and threatened species conservation in the project landscapes-seascapes improved**, as measured by results of knowledge, attitude	Baseline to be established in Year 1	Knowledge Management Plan for the project, formulated on the basis of the baseline KAP survey	Provisional end targets: (a) Increase of at least 50% percentage points from baseline

	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
knowledge sharing platform, and integrated research center on Komodo dragons and their habitat	and practices (KAP) surveys (disaggregated by women and *Adat* communities), among the following stakeholder groups: (a) subnational governmental stakeholders, (b) local communities, (c) private sector **SDG 12.8**		findings and approved by the Project Board.	(b) Increase of at least 50% percentage points from baseline (c) Increase of at least 50% percentage points from baseline
	Indicator 16: Dissemination of knowledge on Komodo dragon conservation increased, as measured by the number of visits to the online portal developed and integrated into the MoEF knowledge management information system. **SDG 17.6**	There is no dedicated Komodo dragon portal in the knowledge management system of the MoEF.	Online portal developed and functional within the MoEF's knowledge management information system, with 500 visits by project midterm.	Online Komodo dragon portal fully integrated in MoEF's knowledge management system, with 5,000 cumulative visits by the end of the project.
	Indicator 17: **North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation enhanced**, as measured by the number of collaborative initiatives strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes. **SDG 17.6**	Several organizations, including but not limited to MoEF, KNP, LIPI, KSP, have been collaborating on Komodo dragon research and monitoring.	Two (2) collaborative initiatives are strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes.	Five (5) collaborative initiatives are strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes.
Outputs to achieve Outcome 3:	**Output 3.1:** Safeguard management plans developed and implemented, and a sustainability plan formulated and implementation initiated **Output 3.2:** Knowledge management and communications plan developed and implemented, facilitating adaptive management and upscaling of participatory conservation approaches elsewhere in the country **Output 3.3:** Increased benefits of research and development of integrated Komodo dragon conservation and other key species innovation through scientific partnerships and development of national and international scientific research and collaboration networks **Output 3.4**: Project performance and results monitored and evaluated, and progress and M&E reports produced			

VI. MONITORING AND EVALUATION (M&E) PLAN

227. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy **The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

228. Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies[40]. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

229. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed – including during the Project Inception Workshop - and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GEF:

230. Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
h. Formally launch the Project.

GEF Project Implementation Report (PIR):

231. The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. UNDP will undertake quality assurance of the PIR before submission to the GEF. The PIR submitted to the GEF will be shared with the Project Board. UNDP will conduct a quality review of the PIR, and this quality review and feedback will be used to inform the preparation of the subsequent annual PIR.

GEF Core Indicators:

232. The GEF Core indicators included as **Annex 25** will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent ground-truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF website.

[40] See https://www.thegef.org/gef/policies_guidelines

Independent Mid-term Review (MTR):

233. The terms of reference, the review process and the final MTR report will follow the standard UNDP templates and UNDP guidance for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC).

234. The evaluation will be 'independent, impartial and rigorous'. The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project under review.

235. The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the evaluation process. Additional quality assurance support is available from the BPPS/NCE-VF Directorate.

236. The final MTR report and MTR TOR will be publicly available in English and will be posted on the UNDP ERC by June 2025. A management response to MTR recommendations will be posted in the ERC within six weeks of the MTR report's completion.

Terminal Evaluation (TE):

237. An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center. The TE should be completed 3 months before the estimated operational closure date, set from the signature of the Project Document and according to the duration of the project. Provisions should be taken to complete the TE in due time to avoid delay in project closure. Therefore, TE must start no later than 6 months to the expected date of completion of the TE (or 9 months prior to the estimated operational closure date.

238. The evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired by UNDP evaluation specialists to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the consultants should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

239. The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/GEF Directorate.

240. The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by May 2028. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

Final Report:

241. The project's terminal GEF PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

242. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information**:** To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the

GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[41] and the GEF policy on public involvement[42].

[41] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

[42] See https://www.thegef.org/gef/policies_guidelines

Monitoring Plan:

243. The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GEF PIR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

Table 6: Monitoring plan

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project objective To strengthen conservation of Komodo dragon and other globally threatened species in Flores through integrated approaches across multiple use landscapes-seascapes	**Indicator 1 (GEF-7 CI 1; IRRF Indicator 4.1.2): Terrestrial protected areas created or under improved management for conservation and sustainable use** (hectares) (Sub-Indicator 1.2: Terrestrial protected areas under improved management) **SDG 15.1; SDG 15.5**	**Midterm:** 38,090 ha METT scores: Komodo National Park (40,728 ha x 85%); Wae Wuul Nature Reserve (1,485 ha x 55%); Riung Nature Reserve (416 ha x 40%); Wolo Tadho Nature Reserve (4,017 ha x 55%) Tujuh Belas Pulau Nature Recreation Park (416 ha x 67%) **End of Project:** 40,068 ha METT scores: Komodo National Park (40,728 ha x 88%); Wae Wuul Nature Reserve (1,485 ha x 67%); Riung Nature Reserve (416 ha x 55%); Wolo Tadho Nature Reserve (4,017 ha x 67%); Tujuh Belas Pulau Nature Recreation Park (416 ha x 75%)	The indicator and end targets are based on the baseline METT assessments of the one national park and three nature reserves	METT assessments, management plans.	Verify at project inception, assess progress annually, and evaluate at midterm review and terminal evaluation	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of midterm and terminal METT assessments, approved management plans	Risks: Improvements in management effectiveness not as successful as envisaged. Assumptions: Sufficient momentum and stakeholders' ownership are in place for improvements in management effectiveness of the 6 PAs
	Indicator 2 (GEF-7 CI 2; IRRF Indicator 4.1.2): Marine protected areas created or under improved management for conservation and sustainable use (hectares) (Sub-Indicator 2.2: Marine protected areas under improved management) **SDG 14.2; SDG 14.5**	**Midterm:** 117,300 ha METT scores: Komodo National Park (132,572 ha x 85%); Tujuh Belas Pulau Nature Recreation Park (6,887 ha x 67%); Core Zone – Sawu Sea Marine Protected Area (925 ha x TBD%) **End of Project:**	The indicator and end targets are based on the baseline METT assessments of the one national park, one nature recreation park and one marine protected area.	METT assessments, management plans	Verify at project inception, assess progress annually, and evaluate at midterm review and	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of midterm and terminal METT assessments, approved management plans	Risks: Park managers are not committed to improve marine management. Also, as the Sawu Sea MNP is under the management of the Ministry of Marine Affairs and Fisheries (KKP), they may not be willing to collaborate in this initiative.

[43] Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
		121,829 ha METT scores: Komodo National Park (132,572 ha x 88%); Tujuh Belas Pulau Nature Recreation Park (6,887 ha x 75%); Core Zone – Sawu Sea Marine Protected Area (925 ha x TBD%)			terminal evaluation			Assumptions: KSDAE will facilitate engagement with the park managers to improve management of the marine areas. KPP is willing to work with the MoEF on this initiative.
	Indicator 3 (GEF-7 CI 3; IRRF Indicator 4.1.2): Area of land restored (hectares) (Sub-Indicator 3.2: Area of forest and forest land restored; Sub-Indicator 3.3: Area of natural grass and shrublands restored) **SDG 15.1; SDG 15.2**	**Midterm:** Restoration plans for restoring 300 ha of degraded habitat of Komodo dragon and other globally threatened species approved for implementation by midterm. **End of Project:** 300 ha of degraded habitat of Komodo dragon and other globally threatened species undergoing restoration	The locations of the degraded lands for restoration will be verified during project implementation by taking GPS points. Restoration approaches will be described in the Restoration Plans, which will include a section on monitoring and evaluation.	Restoration Plans, Conservation and Development Plans, M&E reports, including photographic documentation, GIS maps, and possibly remote sensing	Verify at project inception, assess progress annually, and evaluate at midterm review and terminal evaluation	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of Restoration Plans, Conservation and Development Plans, M&E/field visit reports including photographic documentation, GIS maps, and remote sensing outputs.	Risks: Communities decline to take part in restoration of degraded forest efforts Assumptions: Active participation by local communities; Komodo dragon habitat restored
	Indicator 4 (GEF-7 CI 4; IRRF Indicator 4.1.2): Area of landscapes under improved practices (hectares; excluding protected areas) (Sub-Indicator 4.1: Area of landscapes under improved management to benefit biodiversity; qualitative assessment, non-certified; Sub-Indicator 4.3: Area of landscapes under sustainable land management in production systems) **SDG 15.5; SDG 15.9; SDG 15.c; SDG 14.5; SDG 17.17**	**Midterm:** Integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, covering 275,946 ha (excluding protected areas) approved by midterm. Business plans for biodiversity-friendly livelihood initiatives involving improved agroecological practices covering 300 ha, developed and implementation initiated. **End of Project:** 275,946 ha of landscapes under improved practices (Sub-Indicator 4.1: 275,696 ha; Sub-Indicator 4.3: 300 ha)	The integrated ecosystem management framework will be realized in the west and north Flores landscapes using area based conservation measures such as OECMs. Also, The development of business plans for biodiversity-friendly livelihood initiatives such as ecotourism or agroforestry will contribute to improved landscape management practices	Strategic plan for improving landscape practices, M&E reports, OECM reports	Verify at project inception, assess progress annually, and evaluate at midterm review and terminal evaluation	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of strategic plan for improving management practices, M&E reports	Risks: Insufficient stakeholder engagement outside the protected area network leads to low ownership of the strategic plan. Assumptions: The stakeholder coordination platforms will provide effective mechanisms for facilitating stakeholder engagement, including deliberation and advocacy for implementation of the strategic plan.
	Indicator 5 (GEF-7 CI 6): Greenhouse Gas Emissions Mitigated (metric tons of carbon dioxide equivalent – tCO2e)	**Midterm:** End target of 3,383,002 tCO2e of lifetime direct project GHG emissions mitigated confirmed through approved plans for restoring 300 ha	The estimations of GHG emissions avoided are presented in FAO Ex-Ante Carbon Balance	Estimations using EX-ACT	Verify at project inception, assess progress	Project Manager, Chief Technical Advisor, M&E-Communications Officer,	Review of estimations using EX-ACT	Risks: project ctivities are delayed or reduced in scope and scale; inadequate or insufficient monitoring and

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	(Sub-Indicator 6.1: Carbon sequestered or emissions avoided in the AFOLU sector) **SDG 13.1; SDG 13.2; SDG 13.3**	of degraded forest habitat and approved integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes **End of Project:** 3,383,002 tCO2e (lifetime direct project GHG emissions mitigated)	Tool (EX-ACT) annexed to the Project Document.		annually, and evaluate at midterm review and terminal evaluation	Landscape-Seascape Coordinators		maintenance of restored areas. Assumptions: project targets are achieved as planned. Effective monitoring and maintenance continue after the GEF funding ceases (post-project).
	Indicator 6 (GEF-7 CI 11; IRRF Indicators 4.1.1, 4.2.1): Number of direct project beneficiaries disaggregated by gender as a co-benefit of GEF investment (individual people) **SDG 1.4; SDG 1.b; SDG 5.a**	**Midterm:** 1,000 direct beneficiaries, of whom 500 are women **End of Project:** 2,500 direct beneficiaries, of whom 1,250 are women	Project direct beneficiaries primarily local people in the project landscapes.	Annual review of direct project beneficiaries, through training records, interventions under implementation, their participation in sustainable livelihood initiatives, etc.	Verify at project inception, assess annually, and evaluate at midterm review and terminal evaluation	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Safeguards Officer, Landscape-Seascape Coordinators, Community Mobilizers	Information summarized in project M&E/field visit reports, training records, etc.	Risks: Local communities are reluctant to participate in project sponsored activities; women are not actively engaged in project activities due to cultural norms and tribal limitations. Assumptions: Local communities, including women are actively involved in project activities.
Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management								
Outcome 1 Effective conservation of the Komodo dragon and globally threatened terrestrial and marine species within and outside conservation areas	**Indicator 7: Conservation and sustainable use strengthened outside protected areas through innovative governance arrangements**, as measured by the number of other area-based conservation measures (OECMs) established, operationalized and registered on the WDPA site. **SDG 14.2; SDG 15.1; SDG 15.9; SDG 17.17**	**Midterm:** Three (3) OECMs established in the project landscapes-seascapes, including operationalization of multi-stakeholder governance committees having equitable representation of women. **End of Project:** Three (3) OECMs in the project landscapes-seascapes registered on the WDPA site (including one governed by Adat communities).	Implementation and operationalization of OECMs. The OECMs meet international standards.	Review of plans for each of the OECMs,	Verify at project inception, assess annually, and evaluate at midterm review and terminal evaluation	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of documentary evidence of implementation.	Risks: Changes in government policy could delay progress in establishing the OECMs. Assumptions: KSDAE recognizes the value of OECMs in extending conservation measures beyond the protected area network and are committed to their implementation. The Stakeholder coordination platforms support the initiative.
	Indicator 8: Wildlife conservation mainstreamed across the target production landscapes-seascapes, as measured by the number of instances of utilizing the	**Midterm:** Guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation	Implementation and operationalization of the guidelines. The guidelines become	Review of the guidelines for each of the sectors	Verify at project inception, assess annually, and evaluate at	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-	Review of documentary evidence of implementation.	Risks: Changes in government policy could delay progress in establishing the OECMs.

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation infrastructure sectors. **SDG 15.5; SDG 14.2**	infrastructure sectors in the target production landscapes-seascapes. **End of Project:** Five (5) instances of utilizing the guidelines produced for the tourism, livestock management, fisheries, agriculture, and transportation infrastructure sectors in the target production landscapes-seascapes	references for each of the sectors.		midterm review and terminal evaluation	Seascape Coordinators		Assumptions: KSDAE recognizes the value of OECMs in extending conservation measures beyond the protected area network and are committed to their implementation. The Stakeholder coordination platforms support the initiative.
	Indicator 9: Status of globally threatened species in target landscapes-landscapes, as measured by stable or increased populations of Komodo dragon (*Varanus komodoensis*) in (a) Komodo National Park, (b) Wae Wuul Nature Reserve, (c) Tujuh Belas Pulau Nature Recreation Park, and yellow-crested cockatoo (*Cacatua sulphurea*) in the Komodo National Park **SDG 15.5**	**Midterm:** Updated baseline information by midterm. **End of Project:** All stable, as compared to updated baseline information.	Baseline information is available for wildlife surveys conducted in recent years. The baseline conditions will be updated by the midterm point of the project, following completion of at least two annual wildlife surveys.	Wildlife survey reports	Consistent with the timing of the protected area biodiversity survey.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators, PA Management Entities	Review of wildlife survey reports	Risks: wildlife surveys delayed in KNP due to upgrading of facilities. The other conservation areas do not have the capacity to conduct the surveys. Assumptions: KSDAE understands and supports the urgency of the need for updated wildlife surveys. Capacity building for developing the surveys is carried out as scheduled.
	Indicator 10: Reduction in threats to globally threated species through strengthened collaborative monitoring and enforcement, as measured by (a) reduced levels illegal wildlife hunting and poaching incidents in the Komodo National Park, Wae Wuul Nature Reserve, Wolo Tadho Nature Reserve, and Riung Nature Reserve; and (b) reduced levels of destructive fishing incidents in the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park. **SDG 15.5; SDG 15.7; SDG 14.1**	**Midterm:** Capacity building delivered for strengthening monitoring and enforcement capacities, and improved record keeping. **End of Project:** (a) 75% reduction in the number of illegal wildlife hunting and poaching incidents in the Komodo National Park, Wae Wuul Nature Reserve, Wolo Tadho Nature Reserve, and Riung Nature Reserve; and (b) 75% reduction in the number of destructive fishing incidents in the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park	The baseline conditions are established in the first couple of years of the project and agreed at midterm.	Incident reports, M&E reports	Annually, and evaluated at midterm and end of project.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators, PA Management Entities	Review of Incident reports, M&E/field visit reports	Risks: awareness and capacity building may be insufficient; possibility of increasing trend after enforcement capacities strengthened. Assumptions: increased awareness and capacity building will lead to reduced number incidents; after a possible increase in the number of incidents due to strengthened enforcement capacities, numbers will start to decline.
Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape								

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project Outcome 2 **Alternative new economic models and nature-supportive livelihood activities for financial sustainability of conservation efforts and benefit to surrounding communities building and supporting the lessons from BIOFIN**	**Indicator 11: Conservation finance mechanism established for ensuring long-term conservation of Komodo dragon**, as measured by a mobilized and distributed fund instrument developed and approved by the Environmental Fund Management Agency (BPDLH) **SDG 15.a**	**Midterm:** Mobilized and distributed fund regulation/instrument drafted and reviewed by the BPDLH and other stakeholders. **End of Project:** Mobilized and distributed fund instrument established under the BPDLH, supporting financing of the implementation of the SRAK.	This indicator shows the progress being made in putting into place the systems diversify funding sources for the conservation initiatives	Business plan for long term financing; financial guidelines	Annually, and evaluated at midterm review and terminal evaluation.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of business plan, financial guidelines approved by the BPDLH.	Risks: Implementation is delayed as the BPDLH is not fully functioning. Assumptions: BPDLH has the capacity to support the initiative. Capacity building will help facilitate the development of the financial mechanism.
	Indicator 12: Financial sustainability of the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park strengthened, as measured by (a) the number of new sources of revenue established, and (b) percentage increase in annual available funding (excluding staff costs) from the new sources of revenue **SDG 15.a**	**Midterm**: Plans for new sources of revenue described in the financial sustainability analyses and business plans developed for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park. **End of Project:** (a) Three (3) new sources of revenue and (b) 15% increase in available funding (excluding staff costs), contributing to the financial sustainability of the Komodo National Park and Tujuh Belas Pulau Nature Recreation Park.	This indicator shows the progress being made in putting into place the systems to support the financial sustainability of the KNP and the Tujuh Belas Pulau Nature Recreation Park	Business plans, financial reports Training records, approved standard operating procedures, records of fund raising	Annually, and evaluated at midterm review and terminal evaluation.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of financial reports, training records, SOPs	Risks: Reluctance of park managers to participate; limited fund-raising possibilities; insufficient capacities for maintaining sound management of the conservation areas Assumptions: Strong support for the initiative from the MoEF: Capacity building will help facilitate durable fund-raising and financial management.
	Indicator 13 (IRRF Indicators 4.1.1, 4.2.1): Sustainable livelihood opportunities for local communities expanded, as measured by the number of households (disaggregated by gender and Adat communities) achieving increased and diversified income from	**Midterm:** Market analyses and business plans completed for feasible livelihood ventures. **End of Project:** 200 households (50:50 gender disaggregation, and including 50 Adat households) achieving increased and	This indicator measures the extent to which the benefits of the biodiversity business initiatives reach households in the target landscapes	Business plans, number of biodiversity friendly business achieved, household surveys	Annually, and evaluated at midterm review and terminal evaluation.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Safeguards Officer, Landscape-	Review of household data survey, income survey, funds disbursed.	Risks: Lack of interest from communities; elite capture; insufficient market demand; tourism levels reduced due to prolonged pandemic. Assumptions: multi-stakeholder approaches will help ensure that

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	biodiversity-friendly livelihood ventures. **SDG 15.c**	diversified income from biodiversity-friendly livelihood ventures.				Seascape Coordinator		communities are well informed and have the capacity to access the funds; tourism levels will be promoted and sustained; benefits reach the envisaged number of households
	Indicator 14 (IRRF Indicators 4.1.1, 4.2.1): Increased access to and availability of conservation finance instruments, as measured by the number of community-based organizations and small business (disaggregated by gender) in the target landscapes-seascapes obtaining funding from conservation finance instruments **SDG 15.a**	**Midterm:** Financial and business development frameworks developed for the North and West Flores landscapes-seascapes **End of project:** 20 community-based organizations and small businesses (including at least 10 led by women) obtain funding from strengthened conservation finance instruments	This indicator shows the progress being made on developing financial instruments to support biodiversity businesses in the landscapes	Business plans, number of biodiversity friendly instruments that have been developed, types of business developed, household surveys	Annually, and evaluated at midterm review and terminal evaluation.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of household data survey, funds disbursed.	Risks: Lack of interest from financial institutions to develop new financial instruments results in poor uptake by communities; tourism levels reduced due to prolonged pandemic. Assumptions: Financial institutions are willing to develop the finance instruments as there is strong community demand; communities are well informed and have the capacity to access the funds; tourism levels will be promoted and sustained
Component 3: Knowledge management, safeguards management, and monitoring & evaluation								
Project Outcome 3	**Indicator 15: Key stakeholder groups' levels of knowledge, attitudes and practices regarding OECMs and threatened species conservation in the project landscapes-seascapes improved**, as measured by results of knowledge, attitude and practices (KAP) surveys (disaggregated by women and Adat communities), among the following stakeholder groups: (a) subnational governmental stakeholders, (b) local communities, (c) Private sector **SDG 12.8**	**Midterm:** Knowledge Management Plan for the project, formulated on the basis of the baseline KAP survey findings and approved by the Project Board. **End of Project:** Provisional end targets: (a) Increase of at least 50% percentage points from baseline (b) Increase of at least 50% percentage points from baseline (c) Increase of at least 50% percentage points from baseline	This indicator measures the effectiveness of the project in helping to facilitate measurable improvements in knowledge, attitudes, and practices (KAP) among key stakeholder groups, based on the results of independent baseline and end-of project KAP surveys.	Baseline and end-of-project KAP survey results.	KAP surveys conducted at project inception (baseline) and at the end of the project. Knowledge management reported annually in progress reports.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of baseline and end-of-project KAP survey results.	Risks: inconsistent survey techniques; knowledge management approach does not address the identified gaps. Assumptions: a qualified independent institution or organization will carry out the KAP survey; the project's knowledge management strategy and action plan will be developed based on the findings of the baseline KAP survey.
	Indicator 16: Dissemination of knowledge on Komodo dragon conservation	**Midterm:**	This indicator measures the effectiveness of knowledge sharing,	Statistical functions on social media,	Annually, and evaluated at midterm	Project Manager, Chief Technical Advisor, M&E-	Review of statistics generated on	Risks: delays in setting up the portal on the MoEF's

Results Monitoring	Indicators	Targets	Description of indicators and targets	Data source, Collection Methods[43]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	increased, as measured by the number of visits to the online portal developed and integrated into the MoEF knowledge management information system. **SDG 17.6**	Online portal developed and functional within the MoEF's knowledge management information system, with 500 visits by project midterm. **End of Project:** Online Komodo dragon portal fully integrated in MoEF's knowledge management system, with 5,000 cumulative visits by the end of the project.	through tracking visits and downloads of knowledge products, as well as the number of people reached through dissemination of information and knowledge generated on the project.	project's website, and Internet platforms; distribution lists; attendance lists, etc.	review and terminal evaluation.	Communications Officer, Landscape-Seascape Coordinators	social media, project's website, and Internet platforms; distribution lists; attendance lists, etc.	website; low levels of interest; limited outreach. Assumptions: the knowledge management strategy and action plan will include measures on ensuring effective communication.
	Indicator 17: **North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation enhanced**, as measured by the number of collaborative initiatives strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes. **SDG 17.6**	**Midterm:** Two (2) collaborative initiatives are strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes. **End of Project:** Five (5) collaborative initiatives are strengthened or newly established with existing or new partners to advance the knowledge of Komodo dragon and other globally threatened species in the target landscapes-seascapes.	This indicator measures the effectiveness of the project in knowledge sharing and raising awareness and developing long term partnerships to support the protection of the Komodo dragon and other globally threatened species	Research partnerships underway, conferences held.	Annually, and evaluated at midterm review and terminal evaluation.	Project Manager, Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators	Review of statistics generated on social media, project's website, and Internet platforms; distribution lists; attendance lists, etc.	Risks: delays in setting up the collaborative initiatives due to the pandemic. Assumptions: There is widespread interest and support for establishing collaborative initiatives both nationally and internationally.

Monitoring and Evaluation Budget for project execution:

Table 7: Monitoring and evaluation budget

GEF M&E requirements to be undertaken by Project Management Unit (PMU)	Indicative costs (US$)	Time frame
Inception Workshop and Report	$23,436	Inception Workshop within 2 months of the First Disbursement
M&E required to report on progress made in reaching GEF core indicators and project results included in the project results framework	$24,017	Annually and at mid-point and closure.
Preparation of the annual GEF Project Implementation Report (PIR)	$10,286	Annually typically between June-August
Monitoring of SESP, ESMF/ESMP, Indigenous Peoples Plan, Stakeholder Engagement Plan, Gender Action Plan, Climate and Disaster Risk Screening, COVID-19 Action Framework	$53,547	On-going
Supervision missions	$7,142	Annually
Independent Mid-term Review (MTR): ***costs associated with conducting the independent review/evaluation to be commissioned by UNDP not the Implementing Partner or PMU.***	$35,000	June 2025
Independent Terminal Evaluation (TE): ***costs associated with conducting the independent evaluation to be commissioned by UNDP not the Implementing Partner or the PMU.***	35,000	May 2028
TOTAL indicative COST	$188,428	Equivalent to TBWP Component 3, Output 3.4 (M&E)

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Section 1: General roles and responsibilities in the project's governance mechanism

244. Implementing Partner: The Implementing Partner for this project is the Ministry of Environment and Forestry (MoEF). The overall risk assessment conducted in the Partner Capacity Assessment Tool and the HACT assessment (**Annex 27**) concluded a Low risk for this IP.

245. The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of GEF resources and the delivery of outputs, as set forth in this document.

246. The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Risk management as outlined in this Project Document.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year.
- Signing the financial report or the funding authorization and certificate of expenditures.

247. Project Stakeholders and Target Groups: The project stakeholders and target groups include the Ministry of Environment and Forestry which acts as Implementing Partner/Executing Agency, mainly through the Directorate General of KSDA and the Directorate of KKH. Direct beneficiaries (or target groups) include the local and *Adat* communities in the identified 21 villages in the two target landscapes-seascapes, as well as the management and staff of the Komodo National Park and the BBKSDA-NTT.

248. Other government level stakeholders include the NTT provincial government departments, departments of the district governments of Ngada East Manggarai, West Manggarai, and Nagekeo districts, FMUs in the target landscapes-seascapes, the Labuan Bajo Flores Tourism Authority, and Ministry of Maritime Affairs and Fisheries, the Ministry of Tourism and Creative Economy, the Ministry of Villages, Development of Disadvantaged Regions and Transmigration, the Ministry of Cooperatives and Micro and Small and Medium Sized Enterprises.

249. The project's stakeholder engagement plan also focuses on involvement of the civil society, private sector enterprises, financial institutions, other donors, and academic-scientific partners.

250. UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.** UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

Section 2: Project governance structure

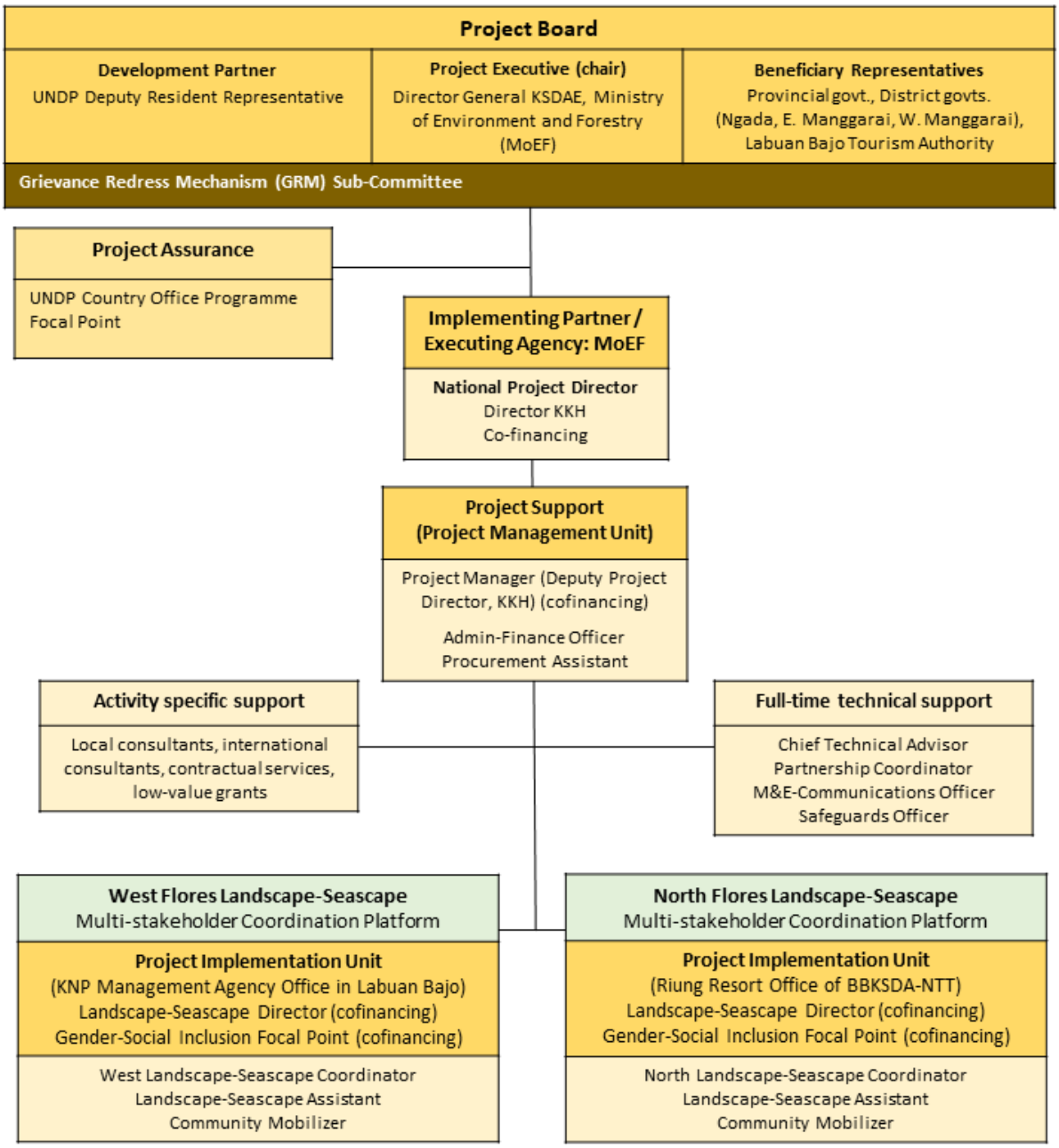


Figure 6: Project Organization Structure

251. **Second line of defense**:

- Regional Bureau oversees RR and Country Office compliance at portfolio level.
- BPPS NCE RTA oversees technical quality assurance and GEF compliance. BPPS NCE PTA oversees RTA function.
- UNDP GEF Executive Coordinator and Regional Bureau Deputy Director can revoke DOA/cancel/suspend project or provided enhanced oversight.

252. The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Section 3: Segregation of duties and firewalls vis-á-vis UNDP representation on the Project Board

253. As noted in the Minimum Fiduciary Standards for GEF Partner Agencies, in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

254. In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

Section 4: Roles and responsibilities of the project organization structure

a) **Project Board:**

255. All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

256. The two main (mandatory) roles of the Project Board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

257. Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

258. Responsibilities of the Project Board:

- ✓ Consensus decision making:
  - The Project Board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.

- Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
- The Project Board is responsible for making management decisions by consensus.
- In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
- In case consensus cannot be reached within the Project Board, the UNDP representative on the Project Board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

✓ Oversee project execution:
- Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
- Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
- Address any high-level project issues as raised by the project manager and project assurance;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
- Track and monitor co-financed activities and realisation of co-financing amounts of this project.
- Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

✓ Risk Management:
- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
- Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
- Address project-level grievances.

✓ Coordination:
- Ensure coordination between various donor and government-funded projects and programmes.
- Ensure coordination with various government agencies and their participation in project activities.

259. **Composition of the Project Board**: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is the Director General of the KSDAE, MoEF.
2. **Beneficiary Representatives**: Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board

is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representatives are:

i. Representative of the NTT Provincial Government
ii. Representatives of the District Governments (Ngada, West Manggarai, East Manggarai)
iii. Representative of the Labuan Bajo Tourism Authority

3. **Development Partners:** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partners are:
   i. Deputy Resident Representative, United Nations Development Programme (UNDP)

b) Project Assurance:

260. Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

261. A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is the Head of the Environment Unit.

c) Project Management – Execution of the project:

262. The Project Manager (PM) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The Project Manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

263. The PMU will provide tracking data on co-financing, which will be quality assured by the UNDP country office, as part of its oversight function and reported during Project Board meetings as part of the annual reporting. All partners will participate in annual planning meetings where co-financers, including from the government and non-government, will confirm their co-financing. The PMU will be responsible for providing detailed figures and monitoring the realization of the co-financing commitment, which will be documented in annual reports. The PIRs, MTR, and TE, will be used by UNDP CO, PMU and IP to verify and report back on co-financing mobilized during implementation. The data will be updated annually in the PIRs.

264. Roles and responsibilities of the PMU members are detailed in the **Annex 6**. A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

265. The primary PMU representative attending board meetings is the Project Manager.

VIII. FINANCIAL PLANNING AND MANAGEMENT

266. The total cost of the project is USD 46,695,827. This is financed through a GEF grant of USD 6,284,018 administered by UNDP, and additional support of USD 40,411,809. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

267. **Co-financing**: The actual realization of project co-financing amounts will be monitored by the UNDP Country Office and the PMU on an annual basis in the GEF PIF and will be reported to the GEF during the mid-term review and terminal evaluation process as follows.

Co-financing source	Co-financing type	Co-financing amount
Ministry of Environment and Forestry	Public investment (investment mobilized)	USD 34,406,747
	In-kind (recurrent expenditures)	USD 2,514,493
Labuan Bajo Flores Tourism Authority	Public investment (investment mobilized)	USD 541,000
Burung Indonesia	Grant (investment mobilized)	USD 707,865
UNDP	Grant (investment mobilized)	USD 2,119,220
	In-kind (recurrent expenditures)	USD 122,484

268. **Budget Revision and Tolerance**: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance should be written in the project document or approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

269. Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the GEF and UNDP policies.
c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

270. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

271. **Project extensions:** The UNDP Resident Representative and the UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's guidance set out in UNDP POPP

272. Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

273. **Project Closure**: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final

project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

274. **Operational completion**: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. **Operational closure must happen at the end date calculated by the approved duration after the Project Document signature or at the revised operational closure date as approved in the project extension. Any expected activity after the operational date requires project extension approval.** The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the project should have completed the transfer or disposal of any equipment that is still the property of UNDP.

275. **Transfer or disposal of assets**: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project (it is strongly encouraged to be done before the operational closure date). In all cases of transfer, a transfer document must be prepared and kept on file[44]. The transfer should be done before Project Management Unit complete their assignments.

276. **Financial completion (closure)**: The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

277. The project will be financially completed **within 6 months of operational closure or after the date of cancellation**. If Operational Closure is delayed for any justified and approved reason, the Country Office should do all efforts to Financially Close the project within 9 months after TE is completed. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the BPPS/NCE-VF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

278. Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE-VF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF Trustee.

[44] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan		
Atlas Award ID:	00141871	Atlas Output Project ID: 00130319
Atlas Proposal or Award Title:	Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
Atlas Business Unit	IDN 10	
Atlas Primary Output Project Title	Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP-GEF PIMS No.	6506	
Implementing Partner	Directorate General, Natural Resources and Ecosystem Conservation-Ministry of Environment and Forestry	

Atlas Activity (GEF Component)	Atlas Implementing Agent	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2022 (USD)	Amount 2023 (USD)	Amount 2024 (USD)	Amount 2025 (USD)	Amount 2026 (USD)	Amount 2027 (USD)	Amount 2028 (USD)	Total (USD)	See Budget Note:
Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management	**MoEF**	**62000**	**GEF**	71200	International Consultants	0	9,000	11,250	11,250	13,500	0	0	**45,000**	1
				71300	Local Consultants	0	73,125	66,375	43,875	34,125	24,000	6,000	**247,500**	2
				71600	Travel	0	22,300	24,550	24,300	24,800	18,300	10,750	**125,000**	3
				71800	Contractual Services - Impl. Partner	10,800	109,638	114,030	119,628	126,774	133,506	79,490	**693,866**	4
				72100	Contractual Services - Companies	0	300,750	186,000	153,000	142,250	64,000	39,000	**885,000**	5
				72200	Equipment and Furniture	0	43,000	71,000	57,000	29,000	0	0	**200,000**	6
				72800	Information Technology Equipment	0	0	32,500	35,000	7,500	0	0	**75,000**	7
				74200	Audio Visual & Print Prod Costs	0	0	15,000	0	0	0	0	**15,000**	8
				75700	Training, Workshops and Confer	0	18,300	25,550	27,050	22,800	14,550	11,750	**120,000**	9
	Sub-total, Component 1 GEF					**10,800**	**576,113**	**546,255**	**471,103**	**400,749**	**254,356**	**146,990**	**2,406,366**	
Total Component 1						**10,800**	**576,113**	**546,255**	**471,103**	**400,749**	**254,356**	**146,990**	**2,406,366**	
Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape	**MoEF**	**62000**	**GEF**	71200	International Consultants	0	9,000	33,000	33,000	0	0	0	**75,000**	10
				71300	Local Consultants	0	76,875	94,125	82,875	64,125	26,250	8,250	**352,500**	11
				71600	Travel	0	21,000	33,000	34,750	31,250	18,750	11,250	**150,000**	12
				71800	Contractual Services - Impl. Partner	12,400	119,184	123,974	130,420	137,848	145,392	86,450	**755,668**	13
				72100	Contractual Services - Companies	0	48,250	138,250	47,000	43,250	50,750	2,500	**330,000**	14
				72200	Equipment and Furniture	0	20,000	0	0	0	0	0	**20,000**	15
				72600	Grants	0	150,000	150,000	150,000	150,000	150,000	0	**750,000**	16
				72800	Information Technology Equipment	0	20,000	0	0	0	0	0	**20,000**	17
				75700	Training, Workshops and Confer	0	12,500	21,250	38,750	40,250	25,750	6,500	**145,000**	18
	Sub-total, Component 2 GEF					**12,400**	**476,809**	**593,599**	**516,795**	**466,723**	**416,892**	**114,950**	**2,598,168**	
Total Component 2						**12,400**	**476,809**	**593,599**	**516,795**	**466,723**	**416,892**	**114,950**	**2,598,168**	

Component 3: Knowledge management, safeguards management	**MoEF**	**62000**	**GEF**	71200	International Consultants	0	9,000	9,000	3,000	3,000	3,000	3,000	**30,000**	19
				71300	Local Consultants	0	30,000	21,000	15,000	3,000	3,000	3,000	**75,000**	20
				71600	Travel	0	6,450	9,000	8,400	6,450	5,850	5,850	**42,000**	21
				71800	Contractual Services - Impl. Partner	4,400	41,106	42,772	45,176	47,594	50,286	29,830	**261,164**	22
				72100	Contractual Services - Companies	0	49,000	28,500	21,000	20,750	19,250	16,500	**155,000**	23
				72600	Grants	0	0	12,500	12,500	12,500	12,500	0	**50,000**	24
				72800	Information Technology Equipment	0	10,000	0	0	0	0	0	**10,000**	25
				72400	Communic & Audio Visual Equip	0	1,800	1,800	1,800	1,800	1,800	1,000	**10,000**	26
				74200	Audio Visual & Print Prod Costs	0	0	31,218	0	31,218	31,218	0	**93,654**	27
				75700	Training, Workshops and Confer	0	8,100	8,600	20,100	9,600	15,100	3,500	**65,000**	28
	Sub-total, Component 3 GEF (minus M&E)					**4,400**	**155,456**	**164,390**	**126,976**	**135,912**	**142,004**	**62,680**	**791,818**	
Monitoring & Evaluation (M&E)	**MoEF/UNDP**	**62000**	**GEF**	71200	International Consultants	0	0	0	21,000	0	0	21,000	**42,000**	29
				71300	Local Consultants	0	3,240	3,240	12,240	3,240	3,240	10,800	**36,000**	30
	MoEF			71600	Travel		7,510	1,760	6,760	1,760	1,760	5,700	**25,250**	31
				71800	Contractual Services - Impl. Partner	1,200	13,032	13,560	14,376	15,096	15,984	9,430	**82,678**	32
				75700	Training, Workshops and Confer	0	1,700	200	200	200	200	0	**2,500**	33
	Sub-total, M&E					**1,200**	**25,482**	**18,760**	**54,576**	**20,296**	**21,184**	**46,930**	**188,428**	
Total Component 3						**5,600**	**180,938**	**183,150**	**181,552**	**156,208**	**163,188**	**109,610**	**980,246**	
Project Management	**MoEF**	**62000**	**GEF**	71600	Travel	900	1,440	1,440	1,440	1,440	1,440	900	**9,000**	34
				71800	Contractual Services - Impl. Partner	10,080	36,720	37,944	39,168	41,616	44,064	27,360	**236,952**	35
				72500	Supplies	300	480	480	480	480	480	300	**3,000**	36
				72800	Information Technology Equipment	2,286	0	0	0	0	0	0	**2,286**	37
				73100	Rental & Maintenance-Premises	1,800	2,880	2,880	2,880	2,880	2,880	1,800	**18,000**	38
	MoEF/UNDP			74100	Professional Services	0	5,000	5,000	5,000	5,000	5,000	5,000	**30,000**	39
	Sub-total, Project Management GEF					**15,366**	**46,520**	**47,744**	**48,968**	**51,416**	**53,864**	**35,360**	**299,238**	
Total Project Management						**15,366**	**46,520**	**47,744**	**48,968**	**51,416**	**53,864**	**35,360**	**299,238**	
					PROJECT TOTAL	**44,166**	**1,280,380**	**1,370,748**	**1,218,418**	**1,075,096**	**888,300**	**406,910**	**6,284,018**	

Summary of Funds:

	Amount, 2022	Amount, 2023	Amount, 2024	Amount, 2025	Amount, 2026	Amount, 2027	Amount, 2028	Total, USD
GEF grant administered by UNDP	$44,166	$1,280,380	$1,370,748	$1,218,418	$1,075,096	$888,300	$406,910	**$6,284,018**
Ministry of Environment and Forestry (grant)	$1,406,747	$5,500,000	$5,500,000	$5,500,000	$5,500,000	$5,500,000	$5,500,000	**$34,406,747**
Ministry of Environment and Forestry (in-kind)	$114,493	$400,000	$400,000	$400,000	$400,000	$400,000	$400,000	**$2,514,493**
Labuan Bajo Tourism Authority	$19,000	$87,000	$87,000	$87,000	$87,000	$87,000	$87,000	**$541,000**
Burung Indonesia	$17,865	$115,000	$115,000	$115,000	$115,000	$115,000	$115,000	**$707,865**
UNDP (grant)	$79,220	$340,000	$340,000	$340,000	$340,000	$340,000	$340,000	**$2,119,220**
UNDP (in-kind)	$2,484	$20,000	$20,000	$20,000	$20,000	$20,000	$20,000	**$122,484**
Total:	**$1,683,975**	**$7,742,380**	**$7,832,748**	**$7,680,418**	**$7,537,096**	**$7,350,300**	**$6,868,910**	**$46,695,827**

Budget note No.	Project Output (Description)
Component 1:	
1	**71200. International consultants.** Output 1.4. **International Wildlife Conservation Consultant**, providing inputs of international best practice approaches for monitoring and analyzing population dynamics of globally threatened species, for 15 weeks at USD 3,000 per week (USD 45,000). **Total: USD 45,000**
2	**71300. Local consultants.** Output 1.1. **Government Liaison Consultant**, for 20 weeks at USD 1,500 per week (USD 30,000), providing advocacy support for ensuring multi-stakeholder involvement and institutionalizing the multi-stakeholder coordination platforms. Output 1.1. **Workshop Facilitator**, for 20 weeks at USD 1,500 per week (USD 30,000), providing training on facilitation techniques and supporting facilitation of the multi-stakeholder coordination platforms. Output 1.1. **Local Safeguards-FPIC Consultant(s),** for 20 weeks at USD 1,500 per week (USD 30,000), Conduct FPIC consultations and obtain FPIC for having representation of *Adat* communities included in the multi-stakeholder coordination platforms, delivering trainings on UNDP and government social and environmental safeguard standards and procedures. Output 1.1. **Local Gender Consultant(s)**, for 15 weeks at USD 1,500 per week (USD 22,500), Convene gender mainstreaming working group sessions to facilitate achievement of gender equality and women's empowerment objective, delivering trainings on UNDP and government gender mainstreaming policies and procedures. Output 1.2. **Wildlife Conservation Consultant**, for 30 weeks at USD 1,500 per week (USD 45,000), assisting participatory assessments to identify and verify high biodiversity value areas (*Kawasan Bernilai Keanekaraman Hayati Tinggi*) in the West and Flores landscapes-seascapes, assisting with the development of guidelines on biodiversity mainstreaming and restoration of degraded habitats. Output 1.4. **Marine Biodiversity Consultant**, for 50 weeks at USD 1,500 per week (USD 75,000), assisting the project team in supporting the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in updating and strengthening the monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes, delivering training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats. Output 1.4. **Interpreter-Translator**, for 10 weeks at USD 1,500 per week (USD 15,000), providing interpretation support to the international consultant and other stakeholders, translating technical documents. **Total: USD 247,500**
3	**71600. Travel.** Output 1.1. Travel expenses associated with running the multi-stakeholder coordination platforms (USD 25,000), for cross-learning exchanges (USD 15,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000). Output 1.2. Travel expenses associated socializing the integrated ecosystem management frameworks (USD 5,000), for disseminating and promoting the produced guidelines (USD 3,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000).

Budget note No.	Project Output (Description)
	Output 1.3. Travel expenses for stakeholder engagement in establishing OECMs (USD 25,000) and for the project implementation units (fuel, maintenance, rental, etc.) (USD 10,000). Output 1.4. Travel expenses for international consultant and interpreter-translator (USD 5,000), for missions by the marine biodiversity consultant (USD 5,000), and for trainings and stakeholder engagement associated with activities under Output 1.4 (USD 20,000). **Total: USD 125,000**
4	**71800. Contractual Services – Implementing Partner.** **Chief Technical Advisor**, for 27 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 125,334), supporting the establishment and operation of the multi-stakeholder coordination platforms, deliver capacity building trainings, help facilitate annual joint planning sessions with protected areas (Output 1.1); oversee the participatory landscape-seascape assessments, development of integrated ecosystem management frameworks, and development of guidelines on biodiversity mainstreaming and restoration (Output 1.2); supporting the assessment and establishment of OECMs, oversee the design and implementation of restoration plans (Output 1.3), and supporting the development of updated monitoring plans for protected areas, delivering trainings on innovative approaches and technologies (Output 1.4). **Partnership Coordinator**, for 23 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 64,906), supporting the Landscape-Seascape Coordinators in establishing and facilitating the multi-stakeholder coordination platforms (Output 1.1); helping to coordinate the dissemination of guidelines on biodiversity mainstreaming and restoration (Output 1.2); overseeing partnership coordination for the establishment of OECMs (Output 1.3); assisting in organizing and promoting stakeholder engagement for Output 1.4 activities. **M&E-Communications Officer**, for 20 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 56,440), supporting M&E and communication activities associated with the multi-stakeholder coordination platforms (Output 1.1.); ensuring M&E provisions are included in the integrated ecosystem management frameworks, and supporting promotion of the frameworks (Output 1.2); providing advisory services for incorporating M&E provisions in the management plans for the OECMs (Output 1.3); and supporting the capacity building efforts and knowledge dissemination under Output 1.4). **Safeguards Officer** for 24 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 67,728), overseeing the recruitment and coordinating the work of local safeguards-FPIC and local gender consultants, delivering training on UNDP and government safeguard policies and procedures (Output 1.1); overseeing the SESA and supporting the development of integrated ecosystem management frameworks (Output 1.2); oversee the community and FPIC consultations associated with the establishment of OECMs (Output 1.3); and supporting the capacity building activities under Output 1.4, facilitating adherence to UNDP and government social and environmental safeguard standards, policies and procedures. **Landscape-Seascape Coordinators (2)**, for 66 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 170,676), coordinating the multi-stakeholder coordination platforms and liaising with provincial and district level stakeholders (Output 1.1); coordinating the development of integrated ecosystem management frameworks, facilitating inputs from multiple stakeholders (Output 1.2); coordinating the establishment and operation of OECMs, liaising with local government units, FMUs, protected areas, and local communities (Output 1.3); coordinating engagement with protected areas and OECMs, facilitating stakeholder involvement in the capacity building activities (Output 1.4). **Landscape-Seascape Assistants (2)**, for 66 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 109,362), assisting the Landscape-Seascape Coordinators in the establishment and operation of the multi-stakeholder coordination platforms (Output 1.1); assisting the coordination of activities under Output 1.2; assisting with engagement of landscape-seascape stakeholders in the establishment and operation of OECMs (Output 1.3); and assisting the coordination of activities under Output 1.4. **Community Mobilizers (2)**, for 60 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 99,420), facilitating community involvement and representation in the multi-stakeholder coordination platforms (Output 1.1); facilitating community engagement in the participatory landscape-seascape assessments and in the development of the integrated ecosystem management frameworks (Output 1.2); liaising with local government units, community-based organizations and other local partners in the establishment and operation of OECMs (Output 1.3); and facilitating involvement of community-level OECMs in the capacity building activities under Output 1.4. **Total: USD 693,866**
5	**72100. Contractual services – Companies.** Output 1.1. Provide capacity building on biodiversity mainstreaming, multi-stakeholder governance, participatory conservation and restoration processes, and other relevant topics (multiple contracts). (USD 80,000) Output 1.1. Design and deliver a series of workshops on strengthening climate change resilience in development planning, natural resource management, and biodiversity conservation. (USD 20,000)

Budget note No.	Project Output (Description)
	Output 1.2. Building upon the baseline studies completed during the PPG phase, support the BKSDA (Conservation Agency) East Nusa Tenggara in carrying out participatory assessments to identify and verify high biodiversity value areas (*Kawasan Bernilai Keanekaraman Hayati Tinggi*) in the West and Flores landscapes-seascapes. (USD 80,000) Output 1.2. Conduct a Strategic Environmental and Social Assessment (SESA) to support the development of the integrated management frameworks. (USD 20,000) Output 1.2. Based on the results of the participatory assessments and the SESA, develop integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligning with the SRAK and other existing strategies and plans. (USD 20,000) Output 1.2. Develop guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors. (USD 20,000) Output 1.3. Using the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes as part of the integrated ecosystem management frameworks, to improve connectivity of Komodo habitats and expand stakeholder involvement in achievement of conservation outcomes. (USD 20,000) Output 1.3. Deliver training on establishment of OECMs to management and staff of protected areas, forest management units, local government entities, and community-based organizations. (USD 20,000) Output 1.3. Conduct community consultations, including FPIC consultations, with communities in villages where potential OECMs have been identified, and obtain consent and FPIC for the establishment and governance of the OECMs. (USD 20,000) Output 1.3. Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands. (USD 50,000) Output 1.3. In collaboration with protected area management entities and local government units in the West and North Flores landscapes-seascapes, design and establish OECMs that complement conservation objectives by increasing connectivity across fragmented habitats, e.g., through wildlife corridors. (USD 50,000) Output 1.3. Working with West Mangarai, East Mangarai and Ngada forest management units (KPH) in the landscapes-seascapes, design and establish OECMs in protection and production forest areas. (USD 50,000) Output 1.3. In collaboration with the FMU-OECMs, provide technical assistance in developing and initiating implementation of restoration plans of degraded Komodo Dragon forest habitats. (USD 150,000) Output 1.3. Design and deliver a series of capacity building workshops on risks and best practice management measures related to zoonotic diseases, human-wildlife conflicts, illegal wildlife trade, and other emerging issues. (USD 15,000) Output 1.3. Utilizing the OECM Assessment Methodology, conduct assessments of the OECMs at least twice during the project implementation timeframe, and assist in the submission of OECM data to the World Database on Protected Areas (WDPA). (USD 10,000) Output 1.4. Support the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in updating and strengthening the monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes. (USD 50,000) Output 1.4. Deliver training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats. (USD 50,000) Output 1.4. In collaboration with the Komodo NP, the BBKSDA-NTT, NGOs and scientific partners, conduct a study on population distribution and the ecological carrying capacity of Komodo dragon in the North and West Flores landscapes-seascapes. (USD 75,000) Output 1.4. Develop monitoring plan for two of the OECMs established in Output 1.3, provide technical assistance for deploying the monitoring systems, deliver training to local governance units, and support baseline and annual monitoring surveys. (USD 10,000) Output 1.4. Design and implement baseline and regular surveys on phenotypic variability of Komodo dragon across distribution areas in the North and West Flores landscapes-seascapes. (USD 60,000) Output 1.4. Deliver training on innovative approaches for monitoring and combatting illegal wildlife trade. (USD 15,000) **Total: USD 885,000**
6	**72200. Equipment and furniture**. Output 1.4. Investment assistance for monitoring equipment and systems for protected areas (USD 140,000) and investment assistance for OECMs in establishing biodiversity monitoring systems (USD 60,000). **Total: USD 200,000**
7	**72800. Information technology equipment**. Output 1.4. IT monitoring equipment and systems for protected areas (USD 50,000), and IT monitoring equipment and systems for OECMs (USD 25,000). **Total: USD 75,000**

Budget note No.	Project Output (Description)
8	**74200. Audio visual & print production costs**. Output 1.2. Audiovisual and print production costs associated with disseminating guidelines developed on biodiversity mainstreaming and restoration of degraded habitats. **Total: USD 15,000**
9	**75700. Training, Workshop, Conference.** Output 1.1. Multi-stakeholder coordination platform meetings (USD 30,000), capacity building workshops (USD 15,000), annual joint planning sessions with protected areas in the target landscapes-seascapes (USD 5,000). Output 1.2. Workshop expenses for socializing the integrated ecosystem management frameworks (USD 5,000), and workshop/conference expenses for disseminating/promoting guidelines, e.g., through webinars and seminars (USD 10,000). Output 1.3. Capacity building workshops under Output 1.3, including learning-by-doing field trainings (USD 25,000). Output 1.4. Capacity building workshops under Output 1.4, including learning-by-doing field trainings (USD 30,000) **Total: USD 120,000**
Component 2:	
10	**71200. International consultants.** Output 2.1. **International Conservation Finance Consultant**, providing international best practice inputs in the development of financial strategies, revolving fund draft regulation, and strengthening of conservation finance instruments, for 15 weeks at USD 3,000 per week (USD 45,000). Output 2.4. **International Ecotourism Consultant**, providing international best practice inputs in the development of ecotourism experiences, formulation of the Flores ecotourism code of practice, for 10 weeks at USD 3,000 per week (USD 30,000). **Total: USD 75,000**
11	**71300. Local consultants.** Output 2.1. **Business Development Consultant**, for 20 weeks at USD 1,500 per week (USD 30,000), supporting the preparation of financial and business development frameworks, and development of financial strategies for the three districts in the project landscapes-seascapes. Output 2.1. **Conservation Finance Consultant**, for 25 weeks at USD 1,500 per week (USD 37,500), supporting the drafting of a revolving fund regulation/instrument, providing inputs in the development of strengthened conservation finance instruments. Output 2.1. **Legal and Policy Consultant**, for 25 weeks at USD 1,500 per week (USD 37,500), supporting the drafting of a revolving fund regulation/instrument, providing inputs in the development of financial and business development frameworks and strengthened conservation finance instruments. Output 2.1. **Workshop Facilitator**, for 5 weeks at USD 1,500 per week (USD 7,500), providing training on facilitation techniques and supporting facilitation of stakeholder workshops promoting fund-raising for increased financing for conservation and sustainable management of the target landscapes-seascapes. Output 2.1. **Interpreter-Translator**, for 10 weeks at USD 1,500 per week (USD 15,000), providing interpretation support to the international consultant and other stakeholders, translating technical documents. Output 2.2. **Business Development Consultant**, for 30 weeks at USD 1,500 per week (USD 45,000), develop updated or new business plans for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park. Output 2.2. **Conservation Finance Consultant**, for 40 weeks at USD 1,500 per week (USD 60,000), conducting analyses of the financial sustainability of the protected areas in the North and West Flores landscapes, delivering capacity building to protected area managers and staff on sustainable financing, Develop and/or strengthen tourism concession guidelines to promote tourism and diversified offerings within and outside protected areas. Output 2.3. **Business Development Consultant**, for 15 weeks at USD 1,500 per week (USD 22,500), supporting the market analyses for potentially viable livelihood and business models, and supporting the business plans for feasible livelihood and business models. Output 2.3. **Local Safeguards-FPIC Consultant(s),** for 15 weeks at USD 1,500 per week (USD 22,500), conduct FPIC consultations and obtain FPIC of *Adat* communities for participation in the livelihood and business models, delivering trainings on UNDP and government social and environmental safeguard standards and procedures. Output 2.3. **Local Gender Consultant(s)**, for 15 weeks at USD 1,500 per week (USD 22,500), deliver trainings on gender mainstreaming, as well as inclusion of youth, people with disabilities and other marginalized groups in the livelihood and business models. Output 2.4. **Wildlife Conservation Consultant**, for 30 weeks at USD 1,500 per week (USD 45,000), supporting capacity building on human-wildlife conflict management, illegal wildlife trade, best practice in wildlife-based tourism experiences.

Budget note No.	Project Output (Description)
	Output 2.4. **Interpreter-Translator**, for 5 weeks at USD 1,500 per week (USD 7,500), providing interpretation support to the international consultant and other stakeholders, translating technical documents. **Total: USD 352,500**
12	**71600. Travel.** Output 2.1. Travel expenses for stakeholder workshops and fund-raising events (USD 15,000), for the international consultant and interpreter (USD 5,000), for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000), and for local consultant missions (USD 10,000). Output 2.2. Travel expenses associated with local consultant missions (USD 5,000), for capacity building workshops and events (USD 10,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000). Output 2.3. Travel expenses for partnership workshops (USD 10,000), for promotional events (USD 10,000), for learning exchanges (USD 10,000), for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000), and for other Output 2.3 activities (USD 20,000). Output 2.4. Travel expenses for international consultant and interpreter-translator (USD 5,000), for capacity building workshops and events (USD 10,000), for learning exchanges (USD 10,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 12,000). **Total: USD 150,000**
13	**71800. Contractual Services – Implementing Partner.** **Chief Technical Advisor**, for 31 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 143,902), supporting the formulation of financial and business development frameworks, financial strategies, and draft revolving fund regulation (Output 2.1); supporting the analyses of financial sustainability of protected areas, capacity building, and providing strategic oversight for the implementation of low-value grants (Output 2.2); supporting the development of business plans for OECMs, providing strategic oversight for the implementation of low-value grants (Output 2.3); and supporting development of Komodo dragon focused ecotourism experiences, delivering capacity building, providing strategic oversight for the implementation of low-value grants (Output 2.4). **Partnership Coordinator**, for 42 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 118,524), coordinating stakeholder engagement and partnership building with financial institutions, government agencies, donors, NGOs (Output 2.1); overseeing engagement with protected area management entities (Output 2.2); overseeing partnership building for biodiversity-friendly livelihood and business models (Output 2.3); overseeing stakeholder engagement and partnership building with ecotourism stakeholders (Output 2.4). **M&E-Communications Officer**, for 25 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 70,550), supporting M&E and communication activities associated with Output 2.1 activities; supporting M&E and communication activities associated with Output 2.2 activities; supporting M&E and communication activities associated with Output 2.3 activities; supporting M&E and communication activities associated with Output 2.4 activities . **Safeguards Officer** for 25 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 70,550), providing advisory safeguards related inputs in the development of sustainable financing strategies and business plans (Output 2.1); providing advisory safeguards related inputs in the development protected area financial strategies and business plans (Output 2.2); providing advisory safeguards related inputs in the development and implementation of business plans for sustainable livelihood models (Output 2.3); and providing advisory safeguards related inputs in the development and implementation of strengthened ecotourism experiences (Output 2.4). **Landscape-Seascape Coordinators (2)**, for 58 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 149,988), coordinating development of financial strategies for the three districts in the target landscapes-seascapes, supporting engagement with local financial institutions and other partners (Output 2.1); coordinating engagement with protected area entities in the target landscapes-seascapes (Output 2.2); coordinating with local government units, FMUs, protected areas, local communities, financial institutions, private sector enterprises, and NGOs in the development and implementation of sustainable livelihood models (Output 2.3); coordinating engagement with the Labuan Bajo Executing Authority, local tourism operators and other stakeholders (Output 2.4). **Landscape-Seascape Assistants (2)**, for 60 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 99,420), assisting the Landscape-Seascape Coordinators in coordinating activities under Outcome 2. **Community Mobilizers (2)**, for 62 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 102,734), facilitating community involvement with respect to conservation finance capacity building and partnership building (Output 2.1); facilitating engagement of local tourism concessioners in partnership with protected areas in the target landscapes-seascapes (Output 2.2); facilitating involvement of community-based organizations, village enterprises and other local partners in the development and implementation of sustainable livelihood and business models (Output 2.3); and facilitating involvement of local communities and local ecotourism operators in activities under Output 2.4.

Budget note No.	Project Output (Description)
	Total: USD 755,668
14	**72100. Contractual services – Companies.** Output 2.2. Carry out surveys of visitor spending and visitor feedback and analyzing findings to support adaptive management measures for achieving sustainable financing objectives. (USD 20,000) Output 2.3. Building upon the baseline analyses prepared during the project preparation phase, carry out an assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in the North and Flores landscapes, focusing on vulnerable communities, including these affected by the COVID-19 pandemic. (USD 25,000) Output 2.3. Conduct market analyses for potentially viable livelihood and business models, considering economic feasibility, partnership opportunities, potential financing available, etc. (USD 50,000) Output 2.3. In connection with the financial and business development frameworks developed under Output 2.1, prepare business plans for feasible livelihood and business models, linking with existing initiatives, including village enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., and ensuring ecologically sensitive design of products and services in adherence to social and environmental safeguards. (USD 30,000) Output 2.3. Deliver capacity building to community-based organizations and local business enterprises on financial management, marketing, sustainable certification, skills training, etc. (multiple contracts envisaged). (USD 100,000) Output 2.3. Provide targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups. (USD 25,000) Output 2.4. Supporting the Labuan Bajo Flores Executing Authority BPOLBF, develop a plan for strengthening Komodo dragon focused ecotourism experiences into the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo. (USD 15,000) Output 2.4. Deliver capacity building to local tourism operators on sustainability certification and other voluntary standards, human-wildlife conflict management, best practices in ecotourism experiences, gender mainstreaming, waste management, traditional knowledge and cultural heritage. (USD 35,000) Output 2.4. Working with local tourism operators, develop and promote a Flores Ecotourism Code of Practice. (USD 5,000) Output 2.4. In coordination with the BPOLBF and in collaboration with existing initiatives (e.g., coalition of water supply companies), promote increased conservation financing associated with tourism related development and operations in Flores. (USD 25,000) **Total: USD 330,000**
15	**72200. Equipment and furniture**. Output 2.3. Motorbikes for the landscape-seascape coordinators and community mobilizers (USD 75,000). **Total: USD 20,000**
16	**72600. Grants.** Output 2.2. Provide technical assistance and low-value grant support for initiating trial implementation of one (two total) new or improved revenue-generating options in the Komodo National Park and the Tujuh Belas Pulau Nature Recreation. (USD 150,000) Output 2.3. Provide technical and low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises included in the business plans. (USD 400,000) Output 2.4. In connection with implementation of the business plans developed under Output 2.2 for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park, provide technical and low-value grant assistance for pilot testing tourism concession models with local operators. (USD 200,000) Use of grant shall follow UNDP Low-Value Grants Policy. **Total: USD 750,000**
17	**72800. Information technology equipment**. Output 2.3. IT equipment for the landscape-seascape coordinators, landscape-seascape assistants, community mobilizers (USD 20,000). **Total: USD 20,000**
18	**75700. Training, Workshop, Conference.** Output 2.1. Convene a series of stakeholder workshops, promoting fund-raising for increased financing for conservation and sustainable management in the North and West Flores landscapes-seascapes. (USD 20,000)

Budget note No.	Project Output (Description)
	Output 2.2. Capacity building workshops on sustainable financing. (USD 20,000) Output 2.3. Convene partnership workshops, linking community-based organizations and business enterprises with financial institutions, private sector enterprises, NGOs, etc. (USD 15,000) Output 2.3. Organize promotional events, such as trade fairs, to promote the products and services of the innovative livelihood and business models developed among the community based OECMs. (USD 25,000) Output 2.3. Organize learning exchanges for community-based organizations and business enterprises to other locations in the province and elsewhere in the country to share experiences and lessons from operating biodiversity-friendly livelihood and business models. (USD 20,000) Output 2.4. Organize and deliver domestic and international knowledge exchange transfer trainings (in-person and/or virtual) to share experiences and lessons on ecotourism, HWC management, tourism concessions, etc. (USD 25,000) Output 2.4. Convene stakeholder workshops to sensitize stakeholders including the MoEF, Komodo NP, BBKSDA-NTT, local government units, NGOs, private sector, financial institutions, etc. on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species and contributions towards achievement of sustainable development objectives. (USD 20,000) **Total: USD 145,000**
Component 3:	
19	**71200. International consultants.** Output 3.1. **International Safeguards Consultant**, providing quality assurance and technical guidance on project safeguards management, for 10 weeks at USD 3,000 per week (USD 30,000). **Total: USD 30,000**
20	**71300. Local consultants.** Output 3.1. **Local Safeguards-FPIC Consultant(s),** for 20 weeks at USD 1,500 per week (USD 30,000), assisting with community consultations, FPIC consultations, development, implementation, and reviews of ESMP and other safeguards frameworks and plans, delivering trainings. Output 3.1. **Local Gender Consultant(s)**, for 20 weeks at USD 1,500 per week (USD 30,000), assisting with community consultations, development, implementation, and reviews of ESMP and other safeguards frameworks and plans, delivering trainings. Output 3.3. **Wildlife Conservation Consultant**, for 10 weeks at USD 1,500 per week (USD 15,000), assisting with development and strengthening of national, regional, and international scientific partnerships. **Total: USD 75,000**
21	**71600. Travel.** Output 3.1. Travel expenses associated with safeguards consultants and other missions (USD 6,000) developing ESMP; travel expenses associated with stakeholder review workshops (USD 6,000). Output 3.2. Travel expenses associated with knowledge management events (USD 15,000). Output 3.3. Travel expenses for engaging with national, regional, and international scientific partners (USD 15,000). **Total: USD 42,000**
22	**71800. Contractual Services – Implementing Partner.** **Chief Technical Advisor**, for 11 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 51,062), supporting the Project Board meetings, safeguard management plans, stakeholder engagement, annual work plans, and sustainability plan (Output 3.1); supporting knowledge management activities (Output 3.2); supporting engagement with scientific partners (Output 3.3) **Partnership Coordinator**, for 7 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 19,754), supporting the Project Board meetings, stakeholder engagement, and sustainability plan (Output 3.1.); helping to facilitate stakeholder involvement in knowledge management activities (Output 3.2); facilitating national, regional and international scientific partnerships (Output 3.3); and supporting project monitoring and evaluation activities (Output 3.4). **M&E-Communications Officer**, for 19months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 53,618), supporting the Project Board meetings, safeguard management plans, stakeholder engagement, and sustainability plan (Output 3.1.); overseeing development and implementation of the project's knowledge management plan (Output 3.2); supporting engagement with scientific partners (Output 3.3); **Safeguards Officer** for 15 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 42,330), overseeing the conduct of the ESIA and development and implementation of the ESMP and other safeguards management plans identified in the ESMP, regular reviews and updates of the SESP, ESMP, Stakeholder Engagement Plan, IPP, Gender Action Plan, other safeguards frameworks and management plans (Output 3.1); supporting the knowledge management activities (Output 3.2); supporting engagement with scientific partners (Output 3.3)

Budget note No.	Project Output (Description)
	Landscape-Seascape Coordinators (2), for 16 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 41,376), coordinating stakeholder engagement and annual performance reviews, implementation of the project sustainability plan (Output 3.1); coordinating knowledge management activities at the landscape-seascape levels (Output 3.2); coordinating with landscape-seascape scientific partners (Output 3.3); **Landscape-Seascape Assistants (2)**, for 16 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 26,512), assisting the Landscape-Seascape Coordinators in stakeholder engagement and annual performance reviews, implementation of the project sustainability plan (Output 3.1); assisting with knowledge management activities (Output 3.2); assisting with engagement with scientific partners (Output 3.3) **Community Mobilizers (2)**, for 16 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 26,512), facilitating community involvement in the development and implementation of safeguard management plans (Output 3.1); facilitating community engagement in knowledge management activities (Output 3.2); supporting activities of scientific partners at the community level (Output 3.3) **Total: USD 261,164**
23	**72100. Contractual services – Companies.** Output 3.1. Conduct an Environmental and Social Impact Assessment (ESIA) for the project, develop an Environmental and Social Management Plan (ESMP) and other safeguard management plans as warranted. (USD 40,000) Output 3.2. Design, administer and interpret baseline and end-of-project knowledge, attitudes and practices (KAP) surveys, assessing knowledge, attitudes regarding biodiversity conservation in the project landscapes-seascapes. (USD 10,000) Output 3.2. Based on the results of the baseline KAP survey of this project, develop and oversee the implementation of a knowledge management plan. (USD 15,000) Output 3.2. Establish and maintain information and knowledge sharing systems for the project, including internet platforms, social media, etc. (USD 5,000) Output 3.2. In collaboration with the MoEF, create an online portal, possibly connected with the ministry's website, to share best practices from the project, as well as other projects and research findings on the conservation of the Komodo dragon and other globally threatened species in Flores. (USD 10,000) Output 3.2. Organize awareness and advocacy campaigns, focused on specific themes and aimed at defined target groups, such as women's groups, Adat communities, through methods identified in the knowledge management and communications strategy, e.g., social media (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc. (USD 20,000) Output 3.2. Collaborate with protected area management entities, local government units, academic institutions, and civil society in delivering nature education on biodiversity conservation and promoting citizen science in Flores. (USD 15,000) Output 3.2. Develop and disseminate case studies, including lessons learned, on innovative approaches implemented on the project, e.g., integrated landscape-seascape management, establishment of OECMs, community participation, sustainable finance options, species and site conservation, etc. (USD 10,000) Output 3.2. Produce and promote case studies on women's role in participatory conservation and resource management. (USD 5,000) Output 3.2. In collaboration with Adat communities and upon obtaining FPIC, document traditional knowledge in biodiversity conservation using culturally important methods. (USD 5,000) Output 3.3. Support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes. (USD 20,000) **Total: USD 155,000**
24	**72600. Grants.** Output 3.3. Through a competitive process in partnership with national and international research and academic partners, provide low-value grant support for university graduate level analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes. Use of grant shall follow UNDP Low-Value Grants Policy. **Total: USD 50,000**
25	**72800. Information technology equipment**. Output 3.2. Information technology equipment for establishing information and knowledge sharing systems. **Total: USD 10,000**
26	**72400. Communication and Audio Visual Equipment**. Output 3.2. Communication and audio visual equipment expenses associated with the implementation of the project's knowledge management plan, including email subscriptions, connectivity charges, connectivity charges, courier expenses, etc., during the 6-year implementation timeframe. **Total: USD 10,000**

Budget note No.	Project Output (Description)
27	**74200. Audio visual & print production costs**. Output 3.2. Audiovisual and print production costs associated with implementation of the project's knowledge management plan. **Total: USD 93,654**
28	**75700. Training, Workshop, Conference.** Output 3.1. Stakeholder review workshops. (USD 10,000) Output 3.1. Community workshops for socializing (outreach) of safeguard management plans. (USD 10,000) Output 3.2. Advocate the global environmental benefits generated through the project by participating in national, regional and international conferences, workshops, seminars and other events. (USD 20,000) Output 3.3. Organize two scientific forums to share results of research and innovative conservation measures associated with the Komodo dragon and other globally threatened species. (USD 20,000. Output 3.3. Organize knowledge transfer and learning exchanges with international scientific partners. (USD 5,000). **Total: USD 65,000**
29	**71200 International consultants** Output 3.4 International Midterm Review Lead Consultant, for 7 weeks at USD 3,000 per week (USD 21,000) Output 3.4 International Terminal Evaluation Consultant, for 7 weeks at USD 3,000 per week (USD 21,000) **Total: USD 42,000**
30	**71300 Local consultants** Output 3.4 National Midterm Review Consultant, for 6 weeks at USD 1,500 per week (USD 9,000), supporting the midterm review Output 3.4 National Terminal Evaluation Consultant, for 6 weeks at USD 1,500 per week (USD 9,000), supporting the terminal evaluation. Output 3.4 Local M&E-Safeguards Consultant(s), for 12 weeks at USD 1,500 per week (USD 18,000), and assisting with monitoring and evaluation of safeguards management frameworks and plans. **Total: USD 36,000**
31	**71600 Travel** Output 3.4. Travel expenses associated with the inception workshop (USD 5,750), M&E missions (USD 7,000), supervision and learning missions (USD 2,500), midterm review (USD 5,000), terminal evaluation (USD 5,000) **Total: USD 25,250**
32	**71800 Contractual Services – Implementing Partner** **Chief Technical Advisor,** for 3 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 13,926), supporting the project inception workshop and report, preparation of PIR's and other progress reports, monitoring & evaluation of results **M&E-Communications Officer**, for 8 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 22,576), supporting project monitoring and evaluation activities **Safeguards Officer,** for 8 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 22,576), overseeing the monitoring and evaluation of the ESMP, Stakeholder Engagement Plan, Gender Action Plan, IPP, and other safeguards frameworks and management plans **Landscape-Seascape Coordinators (2),** for 4 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 10,344), coordinating inputs to the project monitoring and evaluation activities in the project landscapes-seascapes **Landscape-Seascape Assistants (2),** for 2 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 3,314), assisting in project monitoring and evaluation activities in the project landscapes-seascapes

Budget note No.	Project Output (Description)
	Community Mobilizers (2), for 6 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 9,942 supporting community-level monitoring and evaluation activities in the project landscapes-seascapes **Total: USD 82,678**
33	**75700. Training, Workshop, Conference.** Inception workshop (USD 1,500) Other workshop expenses (USD 1,000) **Total: USD 2,500**
Project Management:	
34	**71600. Travel** Local travel expenses associated with the operations of the Project Management Unit during the 6-year implementation timeframe. **Total: USD 9,000**
35	**71800. Contractual services – Implementing Partner.** **Project Manager,** 72 months, funded through governmental co-financing contributions. **Administrative-Finance Officer,** full-time allocated towards project management, for 72 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 117,648). **Procurement Assistant**, full-time allocated towards project management, for 72 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 119,304). **Total: USD 236,952**
36	**72500. Supplies**. Costs of office supplies for the Project Management Unit during the 6-year implementation timeframe. **Total: USD 3,000**
37	**72800. Information technology equipment**. Information technology equipment (e.g., laptops, printers, scanner, projector, etc.) for the Project Management Unit. **Total: USD 2,286**
38	**73100. Rental & Maintenance - Premises** Rental and maintenance expenses associated with the premises where the Project Management Unit will be hosted. **Total: USD 18,000**
39	**74100. Professional services**. Financial audits and spot-checks during the 6-year project implementation timeframe. **Total: USD 30,000**

X. LEGAL CONTEXT

279. The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

280. This project will be implemented by Directorate General, Natural Resources and Ecosystem Conservation-Ministry of Environment and Forestry ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

281. The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XI. RISK MANAGEMENT

282. Consistent with the Supplemental Provisions to the Project Document, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried out.
b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

283. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

284. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

285. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

a. In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

b. Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct

interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

286. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;

iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;

iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

287. b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

288. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

289. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

290. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

291. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

292. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

293. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

294. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

295. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

296. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

297. Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

298. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

299. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

300. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. MANDATORY ANNEXES

Annex 1: GEF Budget template

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Equipment	Information technology equipment (e.g., laptops, printers, scanner, projector, etc.) for the Project Management Unit.Total: USD 2,286				-		2,286.00	2,286.00	MoEF
Equipment	Output 1.4. Investment assistance for monitoring equipment and systems for protected areas (USD 140,000) and investment assistance for OECMs in establishing biodiversity monitoring systems (USD 60,000).Total: USD 200,000	200,000.00			200,000.00			200,000.00	MoEF
Equipment	Output 1.4. IT monitoring equipment and systems for protected areas (USD 50,000), and IT monitoring equipment and systems for OECMs (USD 25,000).Total: USD 75,000	75,000.00			75,000.00			75,000.00	MoEF
Equipment	Output 2.3. IT equipment for the landscape-seascape coordinators, landscape-seascape assistants, community mobilizers (USD 20,000).Total: USD 20,000		20,000.00		20,000.00			20,000.00	MoEF
Equipment - vehicle	Output 2.3. Motorbikes for the landscape-seascape coordinators and community mobilizers (USD 75,000).Total: USD 20,000		20,000.00		20,000.00			20,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Equipment	Output 3.2. Communication and audio visual equipment expenses associated with the implementation of the project's knowledge management plan, including email subscriptions, connectivity charges, connectivity charges, courier expenses, etc., during the 6-year implementation timeframe.Total: USD 10,000			10,000.00	10,000.00			10,000.00	MoEF
Equipment	Output 3.2. Information technology equipment for establishing information and knowledge sharing systems.Total: USD 10,000			10,000.00	10,000.00			10,000.00	MoEF
Grants	Output 2.2. Provide technical assistance and low-value grant support for initiating trial implementation of one (two total) new or improved revenue-generating options in the Komodo National Park and the Tujuh Belas Pulau Nature Recreation. (USD 150,000)Output 2.3. Provide technical and low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises included in the business plans. (USD 400,000)Output 2.4. In connection with implementation of		750,000.00		750,000.00			750,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	the business plans developed under Output 2.2 for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park, provide technical and low-value grant assistance for pilot testing tourism concession models with local operators. (USD 200,000)Use of grant shall follow UNDP Low-Value Grants PolicyTotal: USD 750,000								
Grants	Output 3.3. Through a competitive process in partnership with national and international research and academic partners, provide low-value grant support for university graduate level analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes. Use of grant shall follow UNDP Low-Value Grants Policy.			50,000.00	50,000.00			50,000.00	MoEF
Contractual services-Individual	**71800. Contractual Services – Implementing Partner. Chief Technical Advisor,** for 27 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 125,334), supporting the	125,334.00			125,334.00			125,334.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	establishment and operation of the multi-stakeholder coordination platforms, deliver capacity building trainings, help facilitate annual joint planning sessions with protected areas (Output 1.1); oversee the participatory landscape-seascape assessments, development of integrated ecosystem management frameworks, and development of guidelines on biodiversity mainstreaming and restoration (Output 1.2); supporting the assessment and establishment of OECMs, oversee the design and implementation of restoration plans (Output 1.3), and supporting the development of updated monitoring plans for protected areas, delivering trainings on innovative approaches and technologies (Output 1.4).								
	Partnership Coordinator, for 23 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 64,906), supporting the Landscape-Seascape Coordinators in establishing and facilitating the multi-stakeholder coordination	64,906.00			64,906.00			64,906.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	platforms (Output 1.1); helping to coordinate the dissemination of guidelines on biodiversity mainstreaming and restoration (Output 1.2); overseeing partnership coordination for the establishment of OECMs (Output 1.3); assisting in organizing and promoting stakeholder engagement for Output 1.4 activities.								
	M&E-Communications Officer, for 20 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 56,440), supporting M&E and communication activities associated with the multi-stakeholder coordination platforms (Output 1.1.); ensuring M&E provisions are included in the integrated ecosystem management frameworks, and supporting promotion of the frameworks (Output 1.2); providing advisory services for incorporating M&E provisions in the management plans for the OECMs (Output 1.3); and supporting the capacity building efforts and knowledge dissemination under Output 1.4).	56,440.00			56,440.00			56,440.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	Safeguards Officer for 24 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 67,728), overseeing the recruitment and coordinating the work of local safeguards-FPIC and local gender consultants, delivering training on UNDP and government safeguard policies and procedures (Output 1.1); overseeing the SESA and supporting the development of integrated ecosystem management frameworks (Output 1.2); oversee the community and FPIC consultations associated with the establishment of OECMs (Output 1.3); and supporting the capacity building activities under Output 1.4, facilitating adherence to UNDP and government social and environmental safeguard standards, policies and procedures.	67,728.00			67,728.00			67,728.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	Landscape-Seascape Coordinators (2), for 66 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 170,676), coordinating the multi-stakeholder coordination platforms and liaising with provincial and district level stakeholders (Output 1.1); coordinating the development of integrated ecosystem management frameworks, facilitating inputs from multiple stakeholders (Output 1.2); coordinating the establishment and operation of OECMs, liaising with local government units, FMUs, protected areas, and local communities (Output 1.3); coordinating engagement with protected areas and OECMs, facilitating stakeholder involvement in the capacity building activities (Output 1.4).	170,676.00			170,676.00			170,676.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	Landscape-Seascape Assistants (2), for 66 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 109,362), assisting the Landscape-Seascape Coordinators in the establishment and operation of the multi-stakeholder coordination platforms (Output 1.1); assisting the coordination of activities under Output 1.2; assisting with engagement of landscape-seascape stakeholders in the establishment and operation of OECMs (Output 1.3); and assisting the coordination of activities under Output 1.4.	109,362.00			109,362.00			109,362.00	MoEF
	Community Mobilizers (2), for 60 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 99,420), facilitating community involvement and representation in the multi-stakeholder coordination platforms (Output 1.1); facilitating community engagement in the participatory landscape-seascape assessments and in the	99,420.00			99,420.00			99,420.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	development of the integrated ecosystem management frameworks (Output 1.2); liaising with local government units, community-based organizations and other local partners in the establishment and operation of OECMs (Output 1.3); and facilitating involvement of community-level OECMs in the capacity building activities under Output 1.4.								
Contractual services-Individual	**71800. Contractual Services – Implementing Partner.** **Chief Technical Advisor,** for 31 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 143,902), supporting the formulation of financial and business development frameworks, financial strategies, and draft revolving fund regulation (Output 2.1); supporting the analyses of financial sustainability of protected areas, capacity building, and providing strategic oversight for the implementation of low-value grants (Output 2.2); supporting the development of business plans for OECMs, providing strategic		143,902.00		143,902.00			143,902.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	oversight for the implementation of low-value grants (Output 2.3); and supporting development of Komodo dragon focused ecotourism experiences, delivering capacity building, providing strategic oversight for the implementation of low-value grants (Output 2.4).								
	Partnership Coordinator, for 42 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 118,524), coordinating stakeholder engagement and partnership building with financial institutions, government agencies, donors, NGOs (Output 2.1); overseeing engagement with protected area management entities (Output 2.2); overseeing partnership building for biodiversity-friendly livelihood and business models (Output 2.3); overseeing stakeholder engagement and partnership building with ecotourism stakeholders (Output 2.4).		118,524.00		118,524.00			118,524.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	M&E-Communications Officer, for 25 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 70,550), supporting M&E and communication activities associated with Output 2.1 activities; supporting M&E and communication activities associated with Output 2.2 activities; supporting M&E and communication activities associated with Output 2.3 activities; supporting M&E and communication activities associated with Output 2.4 activities .		70,550.00		70,550.00			70,550.00	MoEF
	Safeguards Officer for 25 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 70,550), providing advisory safeguards related inputs in the development of sustainable financing strategies and business plans (Output 2.1); providing advisory safeguards related inputs in the development protected area financial strategies and business		70,550.00		70,550.00			70,550.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	plans (Output 2.2); providing advisory safeguards related inputs in the development and implementation of business plans for sustainable livelihood models (Output 2.3); and providing advisory safeguards related inputs in the development and implementation of strengthened ecotourism experiences (Output 2.4).								
	Landscape-Seascape Coordinators (2), for 58 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 149,988), coordinating development of financial strategies for the three districts in the target landscapes-seascapes, supporting engagement with local financial institutions and other partners (Output 2.1); coordinating engagement with protected area entities in the target landscapes-seascapes (Output 2.2); coordinating with local government units, FMUs, protected areas, local communities, financial institutions, private sector enterprises, and NGOs in the development and implementation of sustainable		149,988.00		149,988.00			149,988.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	livelihood models (Output 2.3); coordinating engagement with the Labuan Bajo Executing Authority, local tourism operators and other stakeholders (Output 2.4).								
	Landscape-Seascape Assistants (2), for 60 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 99,420), assisting the Landscape-Seascape Coordinators in coordinating activities under Outcome 2.		99,420.00		99,420.00			99,420.00	MoEF
	Community Mobilizers (2), for 62 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 102,734), facilitating community involvement with respect to conservation finance capacity building and partnership building (Output 2.1); facilitating engagement of local tourism concessioners in partnership with protected areas in the target		102,734.00		102,734.00			102,734.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	landscapes-seascapes (Output 2.2); facilitating involvement of community-based organizations, village enterprises and other local partners in the development and implementation of sustainable livelihood and business models (Output 2.3); and facilitating involvement of local communities and local ecotourism operators in activities under Output 2.4.								
Contractual services-Individual	**71800. Contractual Services – Implementing Partner.** **Chief Technical Advisor**, for 11 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 51,062), supporting the Project Board meetings, safeguard management plans, stakeholder engagement, annual work plans, and sustainability plan (Output 3.1); supporting knowledge management activities (Output 3.2); supporting engagement with scientific partners (Output 3.3)			51,062.00	51,062.00			51,062.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	Partnership Coordinator, for 7 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 19,754), supporting the Project Board meetings, stakeholder engagement, and sustainability plan (Output 3.1.); helping to facilitate stakeholder involvement in knowledge management activities (Output 3.2); facilitating national, regional and international scientific partnerships (Output 3.3); and supporting project monitoring and evaluation activities (Output 3.4).			19,754.00	19,754.00			19,754.00	MoEF
	M&E-Communications Officer, for 19 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 53,618), supporting the Project Board meetings, safeguard management plans, stakeholder engagement, and sustainability plan (Output 3.1.); overseeing development and implementation of the project's knowledge management plan (Output 3.2);			53,618.00	53,618.00			53,618.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	supporting engagement with scientific partners (Output 3.3)								
	Safeguards Officer for 15 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 42,330), overseeing the conduct of the ESIA and development and implementation of the ESMP and other safeguards management plans identified in the ESMP, regular reviews and updates of the SESP, ESMP, Stakeholder Engagement Plan, IPP, Gender Action Plan, other safeguards frameworks and management plans (Output 3.1); supporting the knowledge management activities (Output 3.2); supporting engagement with scientific partners (Output 3.3),			42,330.00	42,330.00			42,330.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	Landscape-Seascape Coordinators (2), for 16 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 41,376), coordinating stakeholder engagement and annual performance reviews, implementation of the project sustainability plan (Output 3.1); coordinating knowledge management activities at the landscape-seascape levels (Output 3.2); coordinating with landscape-seascape scientific partners (Output 3.3)			41,376.00	41,376.00			41,376.00	MoEF
	Landscape-Seascape Assistants (2), for 16 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 26,512), assisting the Landscape-Seascape Coordinators in stakeholder engagement and annual performance reviews, implementation of the project sustainability plan (Output 3.1); assisting with knowledge			26,512.00	26,512.00			26,512.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	management activities (Output 3.2); assisting with engagement with scientific partners (Output 3.3)								
	Community Mobilizers (2), for 16 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 26,512), facilitating community involvement in the development and implementation of safeguard management plans (Output 3.1); facilitating community engagement in knowledge management activities (Output 3.2); supporting activities of scientific partners at the community level (Output 3.3)			26,512.00	26,512.00			26,512.00	MoEF
Contractual services-Individual	**71800 Contractual Services – Implementing Partner** **Chief Technical Advisor**, for 3 months out a total of 72 months at a gross salary of USD 4,000 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 13,926), supporting the				-	13,926		13,926.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	project inception workshop and report, preparation of PIR's and other progress reports, monitoring & evaluation of results								
	M&E-Communications Officer, for 8 months out a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 22,576) supporting project monitoring and evaluation activities					22,576.00		22,576.00	MoEF
	Safeguards Officer, for 8 months out of a total of 72 months at a gross salary of USD 2,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 22,576), overseeing the monitoring and evaluation of the ESMP, Stakeholder Engagement Plan, Gender Action Plan, IPP, and other safeguards frameworks and management plans					22,576.00		22,576.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	Landscape-Seascape Coordinators (2), for 4 months out a total of 144 months at a gross salary of USD 2,200 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 10,344) coordinating inputs to the project monitoring and evaluation activities in the project landscapes-seascapes					10,344.00		10,344.00	MoEF
	Landscape-Seascape Assistants (2), for 2 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 3,314) assisting in project monitoring and evaluation activities in the project landscapes-seascapes					3,314.00		3,314.00	MoEF
	Community Mobilizers (2), for 6 months out a total of 144 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 9,942) supporting community-level monitoring and evaluation activities in the project landscapes-seascapes					9,942.00		9,942.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Contractual services-Individual	**71800. Contractual services – Implementing Partner.** Administrative-Finance Officer, full-time allocated towards project management, for 72 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 117,648). Remark: Project Manager, 72 months, will be funded through governmental co-financing contributions.				-		117,648.00	117,648.00	MoEF
	Procurement Assistant, full-time allocated towards project management, for 72 months at a gross salary of USD 1,400 per month, with a 5% cost of living adjustment starting from year 2 and extending through year 6 (sub-total: USD 119,304).						119,304.00	119,304.00	MoEF

Contractual services-Company	Output 1.1. Provide capacity building on biodiversity mainstreaming, multi-stakeholder governance, participatory conservation and restoration processes, and other relevant topics (multiple contracts) (USD 80,000) Output 1.1. Design and deliver a series of workshops on strengthening climate change resilience in development planning, natural resource management, and biodiversity conservation. (USD 20,000) Output 1.2. Building upon the baseline studies completed during the PPG phase, support the BKSDA (Conservation Agency) East Nusa Tenggara in carrying out participatory assessments to identify and verify high biodiversity value areas (Kawasan Bernilai Keanekaraman Hayati Tinggi) in the West and Flores landscapes-seascapes. (USD 80,000) Output 1.2. Conduct a Strategic Environmental and Social Assessment (SESA) to support the development of the integrated management frameworks. (USD 20,000)Output 1.2. Based on the results of the participatory assessments and the SESA, develop integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligning with the SRAK and other existing strategies and plans. (USD 20,000) Output 1.2. Develop guidelines on biodiversity mainstreaming and	885,000.00			885,000.00			885,000.00	MoEF

	restoration of degraded habitats in key production sectors. (USD 20,000) Output 1.3. Using the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes as part of the integrated ecosystem management frameworks, to improve connectivity of Komodo habitats and expand stakeholder involvement in achievement of conservation outcomes. (USD 20,000) Output 1.3. Deliver training on establishment of OECMs to management and staff of protected areas, forest management units, local government entities, and community-based organizations. (USD 20,000) Output 1.3. Conduct community consultations, including FPIC consultations, with communities in villages where potential OECMs have been identified, and obtain consent and FPIC for the establishment and governance of the OECMs. (USD 20,000) Output 1.3. Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands. (USD 50,000) Output 1.3. In collaboration with protected area management entities and local government units in the West and North Flores landscapes-seascapes, design and								

	establish OECMs that complement conservation objectives by increasing connectivity across fragmented habitats, e.g., through wildlife corridors. (USD 50,000)Output 1.3. Working with West Mangarai, East Mangarai and Ngada forest management units (KPH) in the landscapes-seascapes, design and establish OECMs in protection and production forest areas. (USD 50,000) Output 1.3. In collaboration with the FMU-OECMs, provide technical assistance in developing and initiating implementation of restoration plans of degraded Komodo Dragon forest habitats. (USD 150,000) Output 1.3. Design and deliver a series of capacity building workshops on risks and best practice management measures related to zoonotic diseases, human-wildlife conflicts, illegal wildlife trade, and other emerging issues. (USD 15,000) Output 1.3. Utilizing the OECM Assessment Methodology, conduct assessments of the OECMs at least twice during the project implementation timeframe, and assist in the submission of OECM data to the World Database on Protected Areas (WDPA). (USD 10,000) Output 1.4. Support the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in updating and strengthening the								

	monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes. (USD 50,000) Output 1.4. Deliver training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats. (USD 50,000) Output 1.4. In collaboration with the Komodo NP, the BBKSDA-NTT, NGOs and scientific partners, conduct a study on population distribution and the ecological carrying capacity of Komodo dragon in the North and West Flores landscapes-seascapes. (USD 75,000) Output 1.4. Develop monitoring plan for two of the OECMs established in Output 1.3, provide technical assistance for deploying the monitoring systems, deliver training to local governance units, and support baseline and annual monitoring surveys. (USD 10,000) Output 1.4. Design and implement baseline and regular surveys on phenotypic variability of Komodo dragon across distribution areas in the North and West Flores landscapes-seascapes. (USD 60,000) Output 1.4. Deliver training on innovative approaches for monitoring and combatting illegal wildlife trade. (USD 15,000)Total: USD 885,000								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Contractual services-Company	Output 2.2. Carry out surveys of visitor spending and visitor feedback and analyzing findings to support adaptive management measures for achieving sustainable financing objectives. (USD 20,000)Output 2.3. Building upon the baseline analyses prepared during the project preparation phase, carry out an assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in the North and Flores landscapes, focusing on vulnerable communities, including these affected by the COVID-19 pandemic. (USD 25,000)Output 2.3. Conduct market analyses for potentially viable livelihood and business models, considering economic feasibility, partnership opportunities, potential financing available, etc. (USD 50,000)Output 2.3. In connection with the financial and business development frameworks developed under Output 2.1, prepare business plans for feasible livelihood and business models, linking with existing initiatives, including village		330,000.00		330,000.00			330,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., and ensuring ecologically sensitive design of products and services in adherence to social and environmental safeguards. (USD 30,000)Output 2.3. Deliver capacity building to community-based organizations and local business enterprises on financial management, marketing, sustainable certification, skills training, etc. (multiple contracts envisaged). (USD 100,000)Output 2.3. Provide targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups. (USD 25,000)Output 2.4. Supporting the Labuan Bajo Flores Executing Authority BPOLBF, develop a plan for strengthening Komodo dragon focused ecotourism experiences into the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo. (USD 15,000)Output 2.4. Deliver capacity building to local tourism operators on sustainability certification and other voluntary standards, human-wildlife								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	conflict management, best practices in ecotourism experiences, gender mainstreaming, waste management, traditional knowledge and cultural heritage. (USD 35,000)Output 2.4. Working with local tourism operators, develop and promote a Flores Ecotourism Code of Practice. (USD 5,000)Output 2.4. In coordination with the BPOLBF and in collaboration with existing initiatives (e.g., coalition of water supply companies), promote increased conservation financing associated with tourism related development and operations in Flores. (USD 25,000)Total: USD 330,000								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Contractual services-Company	72100. Contractual services – Companies. Output 3.1. Conduct an Environmental and Social Impact Assessment (ESIA) for the project, develop an Environmental and Social Management Plan (ESMP) and other safeguard management plans as warranted. (USD 40,000) Output 3.2. Design, administer and interpret baseline and end-of-project knowledge, attitudes and practices (KAP) surveys, assessing knowledge, attitudes regarding biodiversity conservation in the project landscapes-seascapes. (USD 10,000) Output 3.2. Based on the results of the baseline KAP survey of this project, develop and oversee the implementation of a knowledge management plan. (USD 15,000) Output 3.2. Establish and maintain information and knowledge sharing systems for the project, including internet platforms, social media, etc. (USD 5,000) Output 3.2. In collaboration with the MoEF, create an online portal, possibly connected with the ministry's website, to share best practices from the project, as well			155,000.00	155,000.00			155,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	as other projects and research findings on the conservation of the Komodo dragon and other globally threatened species in Flores. (USD 10,000) Output 3.2. Organize awareness and advocacy campaigns, focused on specific themes and aimed at defined target groups, such as women's groups, Adat communities, through methods identified in the knowledge management and communications strategy, e.g., social media (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc. (USD 20,000) Output 3.2. Collaborate with protected area management entities, local government units, academic institutions, and civil society in delivering nature education on biodiversity conservation and promoting citizen science in Flores. (USD 15,000) Output 3.2. Develop and disseminate case studies, including lessons learned, on innovative approaches implemented on the								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	project, e.g., integrated landscape-seascape management, establishment of OECMs, community participation, sustainable finance options, species and site conservation, etc. (USD 10,000) Output 3.2. Produce and promote case studies on women's role in participatory conservation and resource management. (USD 5,000) Output 3.2. In collaboration with Adat communities and upon obtaining FPIC, document traditional knowledge in biodiversity conservation using culturally important methods. (USD 5,000) Output 3.3. Support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes. (USD 20,000) Total: USD 155,000								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
International Consultants	Output 1.4. International Wildlife Conservation Consultant, providing inputs of international best practice approaches for monitoring and analyzing population dynamics of globally threatened species, for 15 weeks at USD 3,000 per week (USD 45,000).	45,000.00			45,000.00			45,000.00	MoEF
International Consultants	Output 2.1. International Conservation Finance Consultant, providing international best practice inputs in the development of financial strategies, revolving fund draft regulation, and strengthening of conservation finance instruments, for 15 weeks at USD 3,000 per week (USD 45,000).Output 2.4. International Ecotourism Consultant, providing international best practice inputs in the development of ecotourism experiences, formulation of the Flores ecotourism code of practice, for 10 weeks at USD 3,000 per week (USD 30,000).Total: USD 75,000		75,000.00		75,000.00			75,000.00	MoEF
International Consultants	Output 3.1. International Safeguards Consultant, providing quality assurance and technical guidance on project safeguards management, for 10 weeks at USD 3,000 per week (USD 30,000).			30,000.00	30,000.00			30,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
International Consultants	71200 International consultants Output 3.4 International Midterm Review Lead Consultant, for 7 weeks at USD 3,000 per week (USD 21,000) Output 3.4 International Terminal Evaluation Consultant, for 7 weeks at USD 3,000 per week (USD 21,000) Total: USD 42,000				-	42,000.00		42,000.00	MoEF/UNDP
Local Consultants	Output 1.1. Government Liaison Consultant, for 20 weeks at USD 1,500 per week (USD 30,000), providing advocacy support for ensuring multi-stakeholder involvement and institutionalizing the multi-stakeholder coordination platforms.Output 1.1. Workshop Facilitator, for 20 weeks at USD 1,500 per week (USD 30,000), providing training on facilitation techniques and supporting facilitation of the multi-stakeholder coordination platforms.Output 1.1. Local Safeguards-FPIC Consultant(s), for 20 weeks at USD 1,500 per week (USD 30,000), Conduct FPIC consultations and obtain FPIC for having representation of Adat communities included in the multi-stakeholder coordination platforms, delivering trainings on UNDP and	247,500.00			247,500.00			247,500.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	government social and environmental safeguard standards and procedures.Output 1.1. Local Gender Consultant(s), for 15 weeks at USD 1,500 per week (USD 22,500), Convene gender mainstreaming working group sessions to facilitate achievement of gender equality and women's empowerment objective, delivering trainings on UNDP and government gender mainstreaming policies and procedures.Output 1.2. Wildlife Conservation Consultant, for 30 weeks at USD 1,500 per week (USD 45,000), assisting participatory assessments to identify and verify high biodiversity value areas (Kawasan Bernilai Keanekaraman Hayati Tinggi) in the West and Flores landscapes-seascapes, assisting with the development of guidelines on biodiversity mainstreaming and restoration of degraded habitats.Output 1.4. Marine Biodiversity Consultant, for 50 weeks at USD 1,500 per week (USD 75,000), assisting the project team in supporting the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	updating and strengthening the monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes, delivering training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats.Output 1.4. Interpreter-Translator, for 10 weeks at USD 1,500 per week (USD 15,000), providing interpretation support to the international consultant and other stakeholders, translating technical documents.Total: USD 247,500								
Local Consultants	Output 2.1. Business Development Consultant, for 20 weeks at USD 1,500 per week (USD 30,000), supporting the preparation of financial and business development frameworks, and development of financial strategies for the three districts in the project landscapes-seascapes.Output 2.1. Conservation Finance Consultant, for 25 weeks at USD 1,500 per week (USD 37,500), supporting the drafting of a revolving fund regulation/instrument, providing		352,500.00		352,500.00			352,500.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	inputs in the development of strengthened conservation finance instruments.Output 2.1. Legal and Policy Consultant, for 25 weeks at USD 1,500 per week (USD 37,500), supporting the drafting of a revolving fund regulation/instrument, providing inputs in the development of financial and business development frameworks and strengthened conservation finance instruments.Output 2.1. Workshop Facilitator, for 5 weeks at USD 1,500 per week (USD 7,500), providing training on facilitation techniques and supporting facilitation of stakeholder workshops promoting fund-raising for increased financing for conservation and sustainable management of the target landscapes-seascapes.Output 2.1. Interpreter-Translator, for 10 weeks at USD 1,500 per week (USD 15,000), providing interpretation support to the international consultant and other stakeholders, translating technical documents.Output 2.2. Business Development Consultant, for 30 weeks at USD 1,500 per week (USD 45,000), develop updated or new								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	business plans for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.Output 2.2. Conservation Finance Consultant, for 40 weeks at USD 1,500 per week (USD 60,000), conducting analyses of the financial sustainability of the protected areas in the North and West Flores landscapes, delivering capacity building to protected area managers and staff on sustainable financing, Develop and/or strengthen tourism concession guidelines to promote tourism and diversified offerings within and outside protected areas.Output 2.3. Business Development Consultant, for 15 weeks at USD 1,500 per week (USD 22,500), supporting the market analyses for potentially viable livelihood and business models, and supporting the business plans for feasible livelihood and business models.Output 2.3. Local Safeguards-FPIC Consultant(s), for 15 weeks at USD 1,500 per week (USD 22,500), conduct FPIC consultations and obtain FPIC of Adat communities for participation in the livelihood and business								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	models, delivering trainings on UNDP and government social and environmental safeguard standards and procedures.Output 2.3. Local Gender Consultant(s), for 15 weeks at USD 1,500 per week (USD 22,500), deliver trainings on gender mainstreaming, as well as inclusion of youth, people with disabilities and other marginalized groups in the livelihood and business models.Output 2.4. Wildlife Conservation Consultant, for 30 weeks at USD 1,500 per week (USD 45,000), supporting capacity building on human-wildlife conflict management, illegal wildlife trade, best practice in wildlife-based tourism experiences.Output 2.4. Interpreter-Translator, for 5 weeks at USD 1,500 per week (USD 7,500), providing interpretation support to the international consultant and other stakeholders, translating technical documents.Total: USD 352,500								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Local Consultants	71300. Local consultants. Output 3.1. Local Safeguards-FPIC Consultant(s), for 20 weeks at USD 1,500 per week (USD 30,000), assisting with community consultations, FPIC consultations, development, implementation, and reviews of ESMP and other safeguards frameworks and plans, delivering trainings. Output 3.1. Local Gender Consultant(s), for 20 weeks at USD 1,500 per week (USD 30,000), assisting with community consultations, development, implementation, and reviews of ESMP and other safeguards frameworks and plans, delivering trainings. Output 3.3. Wildlife Conservation Consultant, for 10 weeks at USD 1,500 per week (USD 15,000), assisting with development and strengthening of national, regional, and international scientific partnerships.			75,000.00	75,000.00			75,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Local Consultants	71300 Local consultants Output 3.4 National Midterm Review Consultant, for 6 weeks at USD 1,500 per week (USD 9,000), supporting the midterm review Output 3.4 National Terminal Evaluation Consultant, for 6 weeks at USD 1,500 per week (USD 9,000), supporting the terminal evaluation. Output 3.4 Local M&E-Safeguards Consultant(s), for 12 weeks at USD 1,500 per week (USD 18,000), and assisting with monitoring and evaluation of safeguards management frameworks and plans. Total: USD 36,000				-	36,000.00		36,000.00	MoEF/UNDP
Training, Workshops, Meetings	Output 1.1. Multi-stakeholder coordination platform meetings (USD 30,000), capacity building workshops (USD 15,000), annual joint planning sessions with protected areas in the target landscapes-seascapes (USD 5,000).Output 1.2. Workshop expenses for socializing the integrated ecosystem management frameworks (USD 5,000), and workshop/conference expenses for disseminating/promoting guidelines, e.g., through webinars and seminars (USD 10,000).Output	120,000.00			120,000.00			120,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	1.3. Capacity building workshops under Output 1.3, including learning-by-doing field trainings (USD 25,000).Output 1.4. Capacity building workshops under Output 1.4, including learning-by-doing field trainings (USD 30,000)Total: USD 120,000								
Training, Workshops, Meetings	Output 2.1. Convene a series of stakeholder workshops, promoting fund-raising for increased financing for conservation and sustainable management in the North and West Flores landscapes-seascapes. (USD 20,000)Output 2.2. Capacity building workshops on sustainable financing. (USD 20,000)Output 2.3. Convene partnership workshops, linking community-based organizations and business enterprises with financial institutions, private sector enterprises, NGOs, etc. (USD 15,000)Output 2.3. Organize promotional events, such as trade fairs, to promote the products and services of the innovative livelihood and business models developed among the community based OECMs. (USD 25,000)Output 2.3. Organize learning exchanges for community-based organizations and		145,000.00		145,000.00			145,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	business enterprises to other locations in the province and elsewhere in the country to share experiences and lessons from operating biodiversity-friendly livelihood and business models. (USD 20,000)Output 2.4. Organize and deliver domestic and international knowledge exchange transfer trainings (in-person and/or virtual) to share experiences and lessons on ecotourism, HWC management, tourism concessions, etc. (USD 25,000)Output 2.4. Convene stakeholder workshops to sensitize stakeholders including the MoEF, Komodo NP, BBKSDA-NTT, local government units, NGOs, private sector, financial institutions, etc. on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species and contributions towards achievement of sustainable development objectives. (USD 20,000)Total: USD 145,000								

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
Training, Workshops, Meetings	75700. Training, Workshop, Conference. Output 3.1. Stakeholder review workshops. (USD 10,000) Output 3.1. Community workshops for socializing (outreach) of safeguard management plans. (USD 10,000) Output 3.2. Advocate the global environmental benefits generated through the project by participating in national, regional and international conferences, workshops, seminars and other events. (USD 20,000) Output 3.3. Organize two scientific forums to share results of research and innovative conservation measures associated with the Komodo dragon and other globally threatened species. (USD 20,000. Output 3.3. Organize knowledge transfer and learning exchanges with international scientific partners. (USD 5,000). Total: USD 65,000			65,000.00	65,000.00			65,000.00	MoEF
Training, Workshops, Meetings	75700. Training, Workshop, Conference. Inception workshop (USD 1,500) Other workshop expenses (USD				-	2,500.00		2,500.00	MoEF

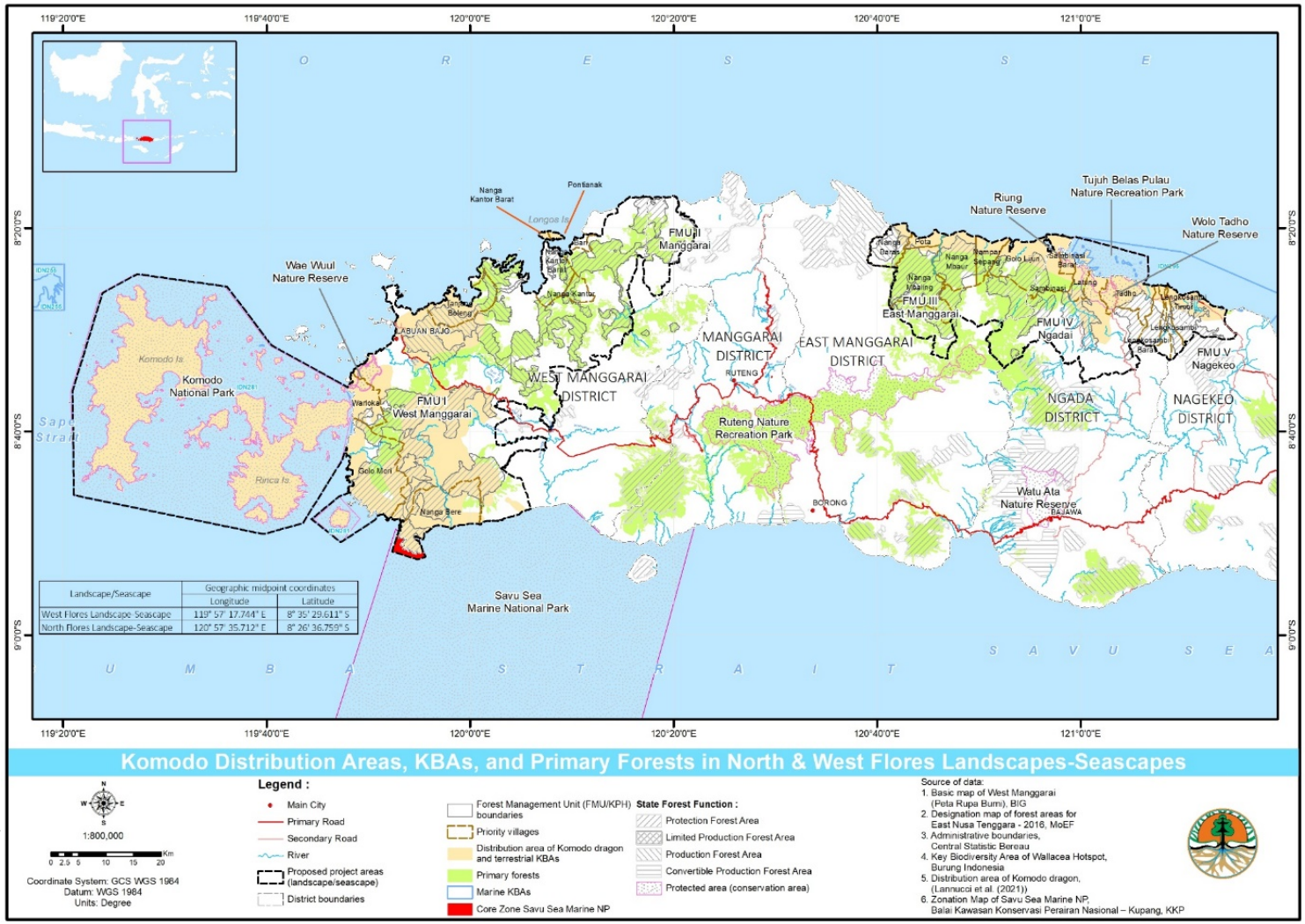
Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	1,000) Total: USD 2,500								
Travel	Local travel expenses associated with the operations of the Project Management Unit during the 6-year implementation timeframe.Total: USD 9,000				-		9,000.00	9,000.00	MoEF
Travel	Output 1.1. Travel expenses associated with running the multi-stakeholder coordination platforms (USD 25,000), for cross-learning exchanges (USD 15,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000).Output 1.2. Travel expenses associated socializing the integrated ecosystem management frameworks (USD 5,000), for disseminating and promoting the produced guidelines (USD 3,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000).Output 1.3. Travel expenses for stakeholder engagement in establishing OECMs (USD 25,000) and for the project implementation units (fuel, maintenance, rental, etc.) (USD 10,000).Output 1.4. Travel expenses for international consultant and interpreter-translator (USD 5,000),	125,000.00			125,000.00			125,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	for missions by the marine biodiversity consultant (USD 5,000), and for trainings and stakeholder engagement associated with activities under Output 1.4 (USD 20,000).Total: USD 125,000								
Travel	Output 2.1. Travel expenses for stakeholder workshops and fund-raising events (USD 15,000), for the international consultant and interpreter (USD 5,000), for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000), and for local consultant missions (USD 10,000).Output 2.2. Travel expenses associated with local consultant missions (USD 5,000), for capacity building workshops and events (USD 10,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000).Output 2.3. Travel expenses for partnership workshops (USD 10,000), for promotional events (USD 10,000), for learning exchanges (USD 10,000), for the project implementation units (fuel, maintenance, rental, etc.) (USD 6,000), and for other Output 2.3		150,000.00		150,000.00			150,000.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	activities (USD 20,000).Output 2.4. Travel expenses for international consultant and interpreter-translator (USD 5,000), for capacity building workshops and events (USD 10,000), for learning exchanges (USD 10,000), and for the project implementation units (fuel, maintenance, rental, etc.) (USD 12,000).Total: USD 150,000								
Travel	71600. Travel. Output 3.1. Travel expenses associated with safeguards consultants and other missions (USD 6,000) developing ESMP; travel expenses associated with stakeholder review workshops (USD 6,000). Output 3.2. Travel expenses associated with knowledge management events (USD 15,000). Output 3.3. Travel expenses for engaging with national, regional, and international scientific partners (USD 15,000). Total: USD 42,000			42,000.00	42,000.00			42,000.00	MoEF
Travel	71600 Travel Output 3.4. Travel expenses associated with the inception workshop (USD 5,750), M&E missions (USD 7,000), supervision and learning missions (USD 2,500),				-	25,250.00		25,250.00	MoEF

Expenditure Category	Detailed Description	Component (USDeq.)						Total (USDeq.)	Responsible Entity (Executing Entity receiving funds from the GEF Agency)[1]
		Component 1	*Component 2*	*Component 3*	*Sub-Total*	*M&E*	*PMC*		
	midterm review (USD 5,000), terminal evaluation (USD 5,000) Total: USD 25,250								
Office Supplies	Costs of office supplies for the Project Management Unit during the 6-year implementation timeframe.Total: USD 3,000				-		3,000.00	3,000.00	MoEF
Other Operating Costs	Financial audits and spot-checks during the 6-year project implementation timeframe. Total: USD 30,000				-		30,000.00	30,000.00	MoEF/UNDP
Other Operating Costs	Output 1.2. Audiovisual and print production costs associated with disseminating guidelines developed on biodiversity mainstreaming and restoration of degraded habitats.Total: USD 15,000	15,000.00			15,000.00			15,000.00	MoEF
Other Operating Costs	Output 3.2. Audio visual and print production costs associated with implementation of the project's knowledge management plan.Total: USD 93,654			93,654.00	93,654.00			93,654.00	MoEF
Other Operating Costs	Rental and maintenance expenses associated with the premises where the Project Management Unit will be hosted.Total: USD 18,000				-		18,000.00	18,000.00	MoEF
Project Cost		**2,406,366.00**	**2,598,168.00**	**791,818.00**	**5,796,352.00**	**188,428.00**	**299,238.00**	**6,284,018.00**	

Annex 2: Project map and geospatial coordinates of the project landscapes-seascapes



Landscape/Seascape	Geographic midpoint coordinates	
	Longitude	Latitude
West Flores Landscape-Seascape	119° 57' 17.744" E	8° 35' 29.611" S
North Flores Landscape-Seascape	120° 57' 35.712" E	8° 26' 36.759" S

Annex 3: Multiyear Workplan

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management																												
Outcome 1: Effective conservation of the Komodo Dragon and globally threatened terrestrial and marine species within and outside conservation areas																												
Output 1.1: Functional governance capacities developed and coordination mechanisms strengthened to support dialogue, information flow and decision-making between key stakeholders (within government and non-government sectors), private enterprise and community groups for facilitating integrated landscape and seascape planning and management																												
1.1.1. In collaboration with provincial and district stakeholders, develop terms of reference for two multi-stakeholder coordination platforms for guiding the West and North Flores integrated landscape-seascape approaches.					x	x	x																					
1.1.2. Conduct FPIC consultations and obtain FPIC for having representation of *Adat* communities included in the multi-stakeholder coordination platforms.						x	x	x																				
1.1.3. Convene regular multi-stakeholder platform meetings (estimated quarterly), including cross-learning exchanges between the two landscapes-seascapes.						x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
1.1.4. Deliver training to the platform members on UNDP and government social and environmental safeguards and procedures, and the results of the Strategic Environmental and Social Assessment (SESA) completed under Output 1.2.						x	x	x																				
1.1.5. Provide capacity building on biodiversity mainstreaming, multi-stakeholder governance, participatory conservation and restoration processes, and other relevant topics.								x				x				x				x				x				
1.1.6. Convene gender mainstreaming working group sessions to facilitate achievement of gender equality and women's empowerment objectives.							x				x				x				x									
1.1.7. Convene annual joint planning sessions with the management entities of the protected areas in the West and North Flores landscapes-seascapes, to allow other key stakeholders to provide feedback in the review of management plans and annual work programming.								x				x				x				x				x				
1.1.8. Design and deliver a series of workshops on strengthening climate change resilience in							x				x				x				x				x					

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
development planning, natural resource management, and biodiversity conservation.																												
1.1.9. Advocate for institutionalizing the platforms at the provincial and/or district level.								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
Output 1.2: Integrated ecosystem management frameworks developed for the West and North Flores landscapes-seascapes, with supplemental guidelines produced on biodiversity mainstreaming and restoration of degraded habitats in the tourism, livestock management, fisheries, agriculture, transportation infrastructure and other production sectors																												
1.2.1. Building upon the baseline studies completed during the PPG phase, support the BKSDA (Conservation Agency) East Nusa Tenggara in carrying out participatory assessments to identify and verify high biodiversity value areas (*Kawasan Bernilai Keanekaraman Hayati Tinggi*) in the West and North Flores landscapes-seascapes.						x	x	x																				
1.2.2. Conduct a Strategic Environmental and Social Assessment (SESA) to support the development of the integrated management frameworks.							x	x																				
1.2.3. Based on the results of the participatory assessments and the SESA, develop integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligning with the SRAK and other existing strategies and plans and including priority actions for mainstreaming biodiversity conservation across the key development sectors, including livestock management, fisheries, agriculture, transportation infrastructure, and others.								x	x	x	x																	
1.2.4. Socialize the integrated ecosystem management frameworks through convening workshops and meetings hosted by the landscape-seascape multi-stakeholder coordination mechanisms, and obtain FPIC from Adat representatives for the management frameworks.												x	x	x	x	x												
1.2.5. Develop guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors including livestock management, fisheries, agriculture, transportation infrastructure, and others.								x	x	x	x																	
1.2.6. Disseminate and promote the biodiversity mainstreaming and restoration guidelines												x				x				x				x				

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
among governmental entities, civil society organizations, private sector enterprises, and other practitioners through online and offline webinars and seminars.																												
Output 1.3: Management of the West and North Flores landscapes-seascapes improved through establishment and/or recognition of other effective area-based conservation measures (OECMs)																												
1.3.1. Using the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes as part of the integrated ecosystem management frameworks, to improve connectivity of Komodo habitats and expand stakeholder involvement in achievement of conservation outcomes. .						x	x	x																				
1.3.2. Deliver training on establishment of OECMs to management and staff of protected areas, forest management units, local government entities, and community-based organizations.							x	x	x	x																		
1.3.3. Conduct community consultations, including FPIC consultations, with communities in villages where potential OECMs have been identified, and obtain consent and FPIC for the establishment and governance of the OECMs.								x	x	x	x																	
1.3.4. Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands.								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
1.3.5. In collaboration with protected area management entities and local government units in the West and North Flores landscapes-seascapes, design and establish OECMs that complement conservation objectives by increasing connectivity across fragmented habitats, e.g., through wildlife corridors.								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
1.3.6. Working with West Mangarai, East Mangarai and Ngada forest management units (KPH) in the landscapes-seascapes, design and establish OECMs in protection and production forest areas.								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
1.3.7. In collaboration with the FMU's and protected area management entities, provide technical assistance in developing and initiating								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
implementation of restoration plans of degraded Komodo dragon habitats.																												
1.3.8. Design and deliver a series of capacity building workshops on risks and best practice management measures related to zoonotic diseases, human-wildlife conflicts, illegal wildlife trade, and other emerging issues.											x				x				x				x				
1.3.9. Utilizing the OECM Assessment Methodology, conduct assessments of the OECMs at least twice during the project implementation timeframe, and assist in the submission of OECM data to the World Database on Protected Areas (WDPA).																		x							x			
Output 1.4: Monitoring and enforcement capacities, systems, coverage, and partnerships strengthened to enhance the knowledge base on population dynamics and variability of Komodo Dragon and other species, enabling more informed management decisions in the West and North Flores landscapes-seascapes																												
1.4.1. Support the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in updating and strengthening the monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes.								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
1.4.2. Deliver training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats.									x				x				x				x				x			
1.4.3. In collaboration with the Komodo NP, the BBKSDA-NTT, NGOs and scientific partners, conduct a study on population distribution and the ecological carrying capacity of Komodo dragon in the North and West Flores landscapes-seascapes.								x	x	x	x	x	x	x														
1.4.4. Provide investment assistance in expanding and implementing monitoring equipment for protected areas in the West and North Flores landscapes-seascapes, supporting the monitoring of Komodo dragon, Flores hawk eagle, Yellow-crested cockatoo, and other globally threatened species, including marine species.								x	x	x	x	x	x	x	x	x	x											
1.4.5. Develop monitoring plan for two of the OECMs established in Output 1.3, provide technical and investment assistance for										x	x	x																

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
deploying the monitoring systems, deliver training to local governance units, and support baseline and annual monitoring surveys.																												
1.4.6. Design and implement baseline and regular surveys on phenotypic variability of Komodo dragon across distribution areas in the North and West Flores landscapes-seascapes.								x							x									x				
1.4.7. Deliver training on innovative approaches for monitoring and combatting illegal wildlife trade.																x	x											
Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape																												
Outcome 2: Alternative new economic models and nature-supportive livelihood activities for financial sustainability of conservation efforts and benefit to surrounding communities building and supporting the lessons from BIOFIN																												
Output 2.1: Financial and business development frameworks and other enabling strategies and financing instruments developed for conservation and sustainable management of the North and West Flores landscapes-seascapes																												
2.1.1. In alignment with the Komodo Dragon Strategic Action Plan (SRAK), develop financial and business development frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes, promoting innovative tools, practices, and financing instruments.							x	x	x	x	x	x																
2.1.2. Based on the financial and business development frameworks, develop financial strategies for each of the three districts in the project landscapes, in line with the environmental and socioeconomic development priorities of the districts.											x	x	x															
2.1.3. Provide legal and technical assistance to the Environmental Fund Management Agency (BPDLH) for drafting a revolving/pooling fund regulation/instrument specifically oriented towards Komodo dragon conservation and other globally threatened species.								x	x	x	x	x	x	x	x	x	x	x										
2.1.4. In collaboration with financial institutions, including co-financing partners, strengthen financial instruments available for biodiversity-friendly livelihood and business enterprises.								x	x	x	x	x	x	x	x	x	x	x	x									
2.1.5. Convene a series of stakeholder workshops, promoting fund-raising for increased financing for conservation and sustainable management in the North and West Flores landscapes-seascapes.							x					x				x				x				x				
Output 2.2: Financial sustainability of the protected area system of the North and West Flores landscapes-seascapes strengthened through conducting financial analyses, delivering capacity building, developing business plans, strengthening tourism concession guidelines, and pilot testing new revenue-generating options																												

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
2.2.1. Building upon the baseline studies carried out as part of the project preparation phase, conduct an analysis of the financial sustainability of the protected area system of the North and West Flores landscapes-seascapes.							x	x	x	x																		
2.2.2. Deliver capacity building to protected area managers and staff on sustainable financing.										x				x				x				x						
2.2.3. Based on the results of the financial sustainability analyses, develop updated or new business plans for the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.											x	x	x	x														
2.2.4. Develop and/or strengthen tourism concession guidelines to promote tourism and diversified offerings within and outside protected areas.												x	x	x														
2.2.5. Provide technical assistance and low-value grant support for initiating trial implementation of one (two total) new or improved revenue-generating options in the Komodo National Park and the Tujuh Belas Pulau Nature Recreation Park.											x	x	x	x	x	x	x	x	x	x	x	x	x	x				
2.2.6. Carry out surveys of visitor spending and visitor feedback and analyzing findings to support adaptive management measures for achieving sustainable financing objectives.											x	x											x	x				
Output 2.3: Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes, with particular focus on vulnerable communities includes those affected by the COVID-19 pandemic																												
2.3.1. Building upon the baseline analyses prepared during the project preparation phase, carry out an assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in t the North and Flores landscapes, focusing on vulnerable communities, including these affected by the COVID-19 pandemic.							x	x	x	x																		
2.3.2. Conduct market analyses for potentially viable livelihood and business models (including both land-based and marine and coastal options, such as mariculture and seaweed cultivation), considering economic feasibility, partnership opportunities, potential financing available, etc.									x	x	x																	

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
2.3.3. In connection with the financial and business development frameworks developed under Output 2.1, prepare business plans for feasible livelihood and business models, linking with existing initiatives, including village enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., and ensuring ecologically sensitive design of products and services in adherence to social and environmental safeguards.								x	x	x	x																	
2.3.4. Deliver capacity building to community-based organizations and local business enterprises on financial management, marketing, sustainable certification, skills training, etc.												x				x				x				x				
2.3.5. Provide targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups												x				x				x				x				
2.3.6. Provide technical and low-value grant assistance for community-based organizations and business enterprises for testing and piloting the biodiversity-friendly livelihood and business ventures included in the business plans.									x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
2.3.7. Convene partnership workshops, linking community-based organizations and business enterprises with financial institutions, private sector enterprises, NGOs, etc.									x				x				x				x							
2.3.8. Organize promotional events, such as trade fairs, to promote the products and services of the innovative livelihood and business models developed among the community based OECMs.															x				x				x					
2.3.9. Organize learning exchanges for community-based organizations and business enterprises to other locations in the province and elsewhere in the country to share experiences and lessons from operating biodiversity-friendly livelihood and business models.															x			x										
Output 2.4: Ecotourism capacities and offerings strengthened to enhance conservation Komodo dragon and other globally threatened species and to contribute towards achievement of sustainable development in the North and West Flores landscapes-seascapes																												
2.4.1. Supporting the Labuan Bajo Flores Executing Authority BPOLBF, develop a plan for							x	x	x	x	x	x	x	x	x	x	x											

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
strengthening Komodo dragon focused ecotourism experiences into the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo.																												
2.4.2. Deliver capacity building to local tourism operators on sustainability certification and other voluntary standards, human-wildlife conflict management, best practices in ecotourism experiences, gender mainstreaming, waste management, traditional knowledge and cultural heritage.							x					x				x				x				x				
2.4.3. Working with the local tourism operators, develop and promote a Flores Ecotourism Code of Practice.																												
2.4.4. In coordination with the BPOLBF and in collaboration with existing initiatives (e.g., coalition of water supply companies), promote increased conservation financing associated with tourism related development and operations in Flores											x	x																
2.4.5. In connection with implementation of the business plans developed under Output 2.2 for the Komodo NP and the Tujuh Belas Pulau Nature Recreation Park, provide technical and low-value grant assistance for pilot testing tourism concession models with local operators.								x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
2.4.6. Organize and deliver domestic and international knowledge exchange transfer trainings (in-person and/or virtual) to share experiences and lessons on ecotourism, HWC management, tourism concessions, etc.											x				x				x				x					
2.4.7. Convene stakeholder workshops to sensitize stakeholders including the MoEF, Komodo NP, BBKSDA-NTT, local government units, NGOs, private sector, financial institutions, etc. on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species and contributions towards achievement of sustainable development objectives.							x				x				x				x				x					
Component 3: Knowledge management, safeguards management, coordination, and project monitoring & evaluation																												
Outcome 3: Improved awareness and knowledge amongst stakeholders through development and knowledge sharing platform, and integrated research center on Komodo dragons and their habitat																												
Output 3.1: Safeguard management plans developed and implemented, and a sustainability plan formulated and implementation initiated																												

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
3.1.1. Conduct an Environmental and Social Impact Assessment (ESIA) for the project, develop an Environmental and Social Management Plan (ESMP) and other safeguard management plans as warranted.					x	x	x	x																				
3.1.2. Based on M&E feedback from activities completed under Output 3.4, carry out regular reviews and prepare updates of the SESP, ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans as warranted.									x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
3.1.3. Convene Project Board meetings, including visits to the project sites in the target landscapes-seascapes.					x				x				x				x				x				x		x	
3.1.4. Organize annual project review stakeholder workshops, sharing progress and supporting preparation of annual work plans.					x				x				x				x				x				x			
3.1.5. Deliver regular training on gender mainstreaming, social inclusion, and other social and environmental standards.						x				x				x				x				x						
3.1.6. Develop and initiate the implementation of the project sustainability plan.													x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
Output 3.2: Knowledge management and communications plan developed and implemented, facilitating adaptive management and upscaling of participatory conservation approaches elsewhere in the country																												
3.2.1. Design, administer and interpret baseline and end-of-project knowledge, attitudes and practices (KAP) surveys, assessing knowledge, attitudes regarding biodiversity conservation in the project landscapes-seascapes.				x	x																					x	x	
3.2.2. Based on the results of the baseline KAP survey of this project, develop and oversee the implementation of a knowledge management and communications plan.						x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
3.2.3. Establish and maintain information and knowledge sharing systems for the project, including internet platforms, social media, etc.						x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
3.2.4. In collaboration with the MoEF, create an online portal, possibly connected with the ministry's website, to share best practices from the project, as well as other initiatives involving the conservation of the Komodo dragon and other globally threatened species in Flores.										x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
3.2.5. Organize awareness and advocacy campaigns, focused on specific themes and aimed at defined target groups, such as women's groups, *Adat* communities, through methods identified in the knowledge management and communications plan, e.g., social media (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc.										x	x			x	x			x	x			x	x			x	x	
3.2.6. Collaborate with protected area management entities, local government units, academic institutions, and civil society in delivering nature education on biodiversity conservation and promoting citizen science in Flores.										x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
3.2.7 Advocate the global environmental benefits generated through the project by participating in national, regional and international conferences, workshops, seminars and other events								x				x				x				x				x				
3.2.8. Develop and disseminate case studies, including lessons learned, on innovative approaches implemented on the project, e.g., integrated landscape-seascape management, establishment of OECMs, community participation, sustainable finance options, species and site conservation, etc.													x				x				x				x			
3.2.9. Produce and promote case studies on women's role in participatory conservation and resource management.																					x	x						
3.2.10. In collaboration with *Adat* communities and upon obtaining FPIC, document traditional knowledge in biodiversity conservation using culturally important methods.																	x	x	x									
Output 3.3: Increased benefits of innovative conservation measures through scientific partnerships and strengthening of national and international scientific collaboration networks																												
3.3.1. Establish and/or strengthen partnerships with domestic scientific institutions on status, genetic diversity, environmental tolerances (including climate change), ecological habitats, of the Komodo dragon and other globally threatened species in Flores.				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
3.3.2. Organize two scientific forums to share results of innovative conservation measures associated with the Komodo dragon and other globally threatened species.															x								x					
3.3.3. Support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes, contributing towards the development of the integrated ecosystem management frameworks under Output 1.2.												x	x	x	x													
3.3.4. Organize knowledge transfer and learning exchanges with international scientific partners.										x			x				x				x				x			
3.3.5. Through a competitive process in partnership with national and international scientific and academic partners, project resources are also allocated for low-value grant support for university graduate level analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes.									x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Output 3.4: Project performance and results monitored and evaluated, and progress and M&E reports produced																												
3.4.1. Design and convene the project inception workshop and prepare the inception report.				x	x																							
3.4.2. Carry out regular monitoring and evaluation of the GEF core indicators (including the midterm and terminal METT assessments) and other metrics included in the project results framework.							x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
3.4.3. Prepare the GEF Project Implementation Reports (PIRs) and other progress reports.						x				x				x				x				x				x		
3.4.4. Conduct regular monitoring and evaluation of the ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans.							x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
3.4.5. Conduct supervision and learning missions.							x				x				x				x				x					
3.4.6. Procure and support the independent midterm review (MTR) and terminal evaluation (TE) of the project.														x														

Activities	2022				2023				2024				2025				2026				2027				2028			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
3.4.7. Procure and support the terminal evaluation (TE) of the project.																										x		
3.4.8. Prepare the final report for the project, including the PIR for the last year of implementation, the terminal evaluation report, and the management response to the terminal evaluation report.																											x	
Recruitment of project team, establishing project management unit, etc.																												
Recruitment, establish PMU, project account				x																								

Annex 4. Social and Environmental Screening Template (2021 SESP Template, Version 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	Investing in the Komodo Dragon and other globally threatened species in Flores
2. Project Number (i.e. Atlas project ID, PIMS+)	6506
3. Location (Global/Region/Country)	Indonesia
4. Project stage (Design or Implementation)	Design
5. Date	July 2022

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
At the international level there are a number of declarations on the importance of human rights. To strengthen the importance of human rights in conservation, the Convention on Biodiversity now includes a reference to the U.N. Declaration on Human Rights. Furthermore, human rights advocates, Indigenous peoples (*Adat* communities in Indonesia), climate activists and social justice campaigners are urging the UN Human Rights Council to make the right to a healthy natural environment to be codified as a human right. The proposed project is designed to conserve globally important species, including the Komodo dragon and other threatened species and their habitats in Flores. To achieve this objective, the project aims to integrate biodiversity conservation in land and seascapes, in particular, in those areas outside protected areas. To achieve these conservation objectives the rights of the local and *Adat* communities in the landscapes-seascapes must be secured to pursue their livelihoods, enjoy healthy and productive environments and live with dignity. The project will uphold human rights principles of the most affected groups (rural and *Adat* community women and men, and other disadvantaged groups) by ensuring that the two groups of human rights stakeholders (i.e. primary duty bearers[45], and rights holders[46]) commit to uphold a set of human rights principles and understand their importance for project implementation.

[45] **Duty-bearers** are those actors who have a particular obligation or responsibility to respect, promote and realize human rights and to abstain from human rights violations. The term is most commonly used to refer to State actors, but non-State actors can also be considered duty-bearers.

[46] **Rights-holders** are individuals or social groups that have particular entitlements in relation to specific duty-bearers. In general terms, all human beings are rights-holders under the

During the PPG phase, a number of practical approaches were employed to ensure that human rights are embedded into the project design: consultations with a range of stakeholders in the two landscapes-seascapes to identify the development priorities and plans of local and *Adat* communities; reviewed the potential social impacts of the proposed conservation activities; identified key stakeholders who would be involved in promoting and facilitating policy changes that support a human rights-based approach to conservation; ensured that in cases where rights-holders and other parties raised concerns about project design these were documented. Initial Free, Prior and Informed Consent (FPIC) consultations were conducted during the PPG phase, for the Baar Adat community in Sambinasi and West Sambinasi villages in Ngada district in the north Flores landscape-seascape – one of the potential areas identified to establish Other Effective Area-based Conservation Measures (OECMs) under the project. The *adat* communities, in Lengkosambi and Tadho villages in Ngada district were also consulted in late June 2022. Along with the Toring adat community, there were representatives from other adat communities that attended the consultations in Lengkosambi: Cila, Mboang, Maki, Deru, Sopi, and Watu. In Tadho village, the participants were from the Tadho adat community. Initial FPIC consultations were also conducted with the regional office of the national Adat association "AMAN" represented in Flores: *Adat* Peoples' Alliance of the Archipelago (*Aliansi Masyarakat Adat Nusantara*).

The landscapes-seascapes serve multiple purposes such as conservation, agriculture, tourism and small scale fisheries and thus bring together many types of rights bearers with duty bearers. Components 1 and 2 are designed to build support for conservation measures through the participation of rural farmers and fishers, women, *Adat* communities, other resource dependent groups, NGOs/CSOs and the private sector. This will be done through capacity building strategies that address themes such as biodiversity conservation, human rights, gender equality, and *Adat* community's rights to and access and control over natural resources. Opportunities will be developed for enhanced sustainable development through conservation (e.g., various local and landscape-level natural resource-based community development activities). Community based biodiversity friendly livelihoods and business enterprise ventures will be piloted and strengthened to avoid biodiversity loss and promote sustainable use of natural resources.

Through these approaches the economic and social rights of the local and *Adat* communities will be improved while ensuring the cultural values of the local people. These initiatives will be supported by technical or financial support to key actors for specific activities such as information dissemination, training/capacity-building and establishment of Other Effective Area-based Conservation Measures (OECMs) in the context of conservation and sustainable use initiatives. OECMs are inherently rights-based conservation approaches, employing community governance as a means for generating multiple benefits, including enhanced biodiversity conservation, improved socioeconomic conditions, and increased resilience of environmental sensitive areas and local communities to the expected impacts of climate change as well as disruptions caused by natural disasters and public health incidents, such as the COVID-19 pandemic. The project will monitor environmental and social safeguards to ensure that conservation approaches are equitable, just and inclusive.

A mosaic of governance arrangements will be necessary to accommodate the range of rights holders and other actors who manage or use areas. The OECM approach is a means to recognize and expand conservation efforts under a range of governance and management regimes. In the West Flores landscape-seascape for example, as the largest land manager, establishing an OECM in partnership with the FMU and local communities might be the most effective approach for enhancing conservation of environmental sensitive areas within the FMU managed area. Or in the village of Golo Mori the community may be the main land manager of the OECM. In each instance, the governance approach accommodates the way people use the landscape-seascape. This opens the door to the participation of a myriad of actors who thus far have been overlooked, but who sustain nature. Conservation is not necessarily their main objective in their daily lives, but they maintain nature for harvesting or cultural factors. In the process of identifying and developing the governance mechanisms for OECMs, rights-holders and duty-bearers will be supported by strengthening their understanding of and commitment to participatory processes for environmental decision-making.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

In accordance with UNDP and GEF policies and procedures, a gender analysis was conducted during the PPG phase to identify the differences, needs, roles and priorities of women and men. A Gender Action Plan has been developed to ensure that project interventions are gender responsive, improve gender equality and promote women's empowerment. The results of the gender analysis conducted during the PPG phase have been integrated into the project design to ensure that gender-based differences are built into project activities as appropriate, and the project results framework includes gender-disaggregated indicators and targets. The project will integrate gender equality and a social inclusion perspective project planning and implementation. This is to ensure equitable participation of women and men and people from different economic and social backgrounds in project planning and decision making, in order to make certain that neither of the groups is disadvantaged by the project activities and will derive equal benefits from the project activities.

Universal Declaration of Human Rights.

The equitable participation of women and men has been taken into account in the project design at the national, provincial and local government agencies and local communities. Project design pertaining to institutional strengthening and capacity building will also ensure that participants will include both sexes and institutional development will mainstream gender in decision making mechanisms. Under Component 2 (Output 2.1), the project will develop financial and business development frameworks for conservation and sustainable management of the North and West Flores landscapes-seascapes. These frameworks will provide strategic guidance in the development of business plans for feasible livelihood and business models in Output 2.3, linking with existing initiatives including village enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Program (KUR), etc. Gender mainstreaming objectives will be incorporated into the financial and business development frameworks, as well as the business plans. And targeted capacity building will be provided for women's groups.

Gender mainstreaming will be a primary focus in the capacity building activities on the project. Some of the capacity building activities to be carried out are as follows;

1) Capacity building for local government staff (FMU, Planning and Development Agency (Bappeda), Industry Service, Village Government Service, Forestry and Environment Service, and other related agencies) to mainstreaming gender-based development.
2) Carry out capacity building for local government staff to apply and develop disaggregated data for men and women as material for monitoring and evaluating the equal involvement of women and men in every aspect of development
3) Increasing the capacity of government staff in terms of preparing gender-sensitive-based development budgeting.
4) Increase the capacity of Forest Management Units (FMUs) in drafting activities for gender mainstreaming activities in forestry.
5) Implement gender-based awareness-raising at the village level to provide a good understanding to all stakeholders at the village level and village communities regarding the importance of providing equal and fair space and opportunities to women and men in terms of formulating village development plans, implementing activities at the village level.
6) Increase the capacity of institutions at the district and village levels to assist the efforts of women and women's groups such as community farmers, planters, breeders, fishermen, seaweed farmers, weaving businesses, to be able to manage and utilize business results as part of improving the economy and part of the investment for the community
7) Improving the ability of women in terms of managing agricultural production, plantations, seaweed, capture fishery products as part of improving the household economy.
8) Improve the ability of women to develop household-based investment plans and channel them into planning at the village level to obtain sustainable funding.

The full-time project Safeguards Officer on the project will oversee implementation of the Gender Action Plan, and the Community Mobilizers and local Safeguards Specialists will work directly with local and *Adat* communities in facilitating achievement of the gender mainstreaming objectives.

Briefly describe in the space below how the project mainstreams sustainability and resilience

This project mainstreams sustainability and resilience by establishing and operationalizing a comprehensive planning and management approach that harmonizes socio-economic development, sustainable management of natural resources and conservation of biodiversity in the West and North landscapes-seascapes. In collaboration with governmental partners, financial institutions, civil society organizations, and private sector enterprises, the project will also strengthen and introduce new tools for long term green financing instruments for community based businesses and conservation initiatives.

Facilitating the integrated approaches embedded in the project design, multi-stakeholder coordination platforms will be created under Output 1.1 in the West and North Flores landscapes-seascapes, to provide a mechanism for strengthening intersectoral collaboration, mainstreaming biodiversity across production landscapes-seascapes, and supporting establishment of OECMs.

Moreover, each of the OECMs established in the project landscapes-seascapes will have multi-stakeholder governance forums. The forums will support efforts by participating communities at the OECM level, for example, to mainstream biodiversity conservation issues into village plans and budgets to ensure funded programs contribute supporting sustainability and resilience objectives. Using the planning processes at the village level will allow for longer term perspective, improved resource management mechanisms and adoption of alternative economic opportunities which will assist people to better adapt to climate change and cope more effectively with natural disasters. Improved access to funding will be supported by enhancing institutional capacity at the village or site level for managing village forests and natural resources, conflict resolution and monitoring conservation outcomes.

The sustainability of project initiatives and achievements is heavily linked with the sustainability and resilience of the communities and or other stakeholders that are expected to continue project results. As elsewhere in developing countries, the profile of poverty in NTT Province is mainly distributed in the rural areas (70-75%). Most of the rural poor are engaged in farming, fishing and other close-to-nature livelihoods.[47] A holistic approach that integrates conservation into local livelihood strategies have proven to be more acceptable for the local and *Adat* communities. As such, the ability to embed conservation safeguards into business or entrepreneurship initiatives will help ensure sustainability of the initiatives.

The multi-stakeholder coordination platforms will also oversee the exploration of increasing long-term financing to support the protection of the Komodo dragon and other globally threatened species. For example, the Regional Incentive Fund (DID) has an ecological component as one of its requirements. It is one of the possible ways to compensate the biodiversity restoration activities such as conservation, which is more efficient and less costly than establishing a complex regulatory framework. Other alternatives to be explored during project implementation are blended finance facilities and public-private partnerships (PPP) for mobilizing finance for under-resourced initiatives to drive sustainable conservation outcomes.

Integral to strengthening the conservation outcomes, the project will demonstrate the benefits of conservation friendly private sector business models that recognize the full range of environmental ecosystem services provided by OECM managed landscapes-seascapes. Indeed, the private sector will have an important role to play in diversifying funding sources and expanding the scope of biodiversity friendly businesses. For example in the sub-district of Riung, especially in the villages of Nangamese Latung, East Sambinasi, Sambinasi, and West Sambinasi there are various tourism experiences that can be developed, such as local food processing (*rebok*), traditional games (*gasing*), events and traditional dances. (*Tede* dance and *Mbou* are in process of development), trekking, traditional hunting, rowing, fishing, inter-island swimming competition and trekking in banana and coconut plantations. In the village of Pota area and its surroundings, there are five villages (Pota, Baras, Nangabaling, Nampar Sepang, and Golo Lijung) with potential development in tourism, agriculture, weaving and fisheries sectors. The project will facilitate community access to a number of financial support programs that are available, all of which are aimed at supporting environmentally biodiversity-friendly activities. During PPG-phase community consultations conducted, it was found that individuals can obtain funds for community economic empowerment, especially those sourced from KUR (Indonesia's Guaranteed Microfinance Program). Resilience will be built into these businesses by strengthening capacities and resources of farmers, *Adat* groups, women and youth to effectively engage along the entire value chain from production to consumption. Businesses will be provided with the necessary tools, technologies and advisory services that can strengthen their engagement with the private sector. Finally, in the course of developing these initiatives, inequalities will be addressed, such as structural, social, gender, in access and utilization of resources, knowledge, assets, technology, markets and value chains.

During the PPG phase climate and disaster risks were screened and mitigation measures identified to help minimize the consequences and costs of climate impacts so they do not hinder progress toward achieving the project's goals. Preliminary steps were taken in the project design to build resilience to climate change and disaster impacts in project activities such as developing diversified livelihoods, identifying biodiversity friendly businesses or natural asset building.

As the climate changes, however, climate stressors are expected to exacerbate many of the non-climate stressors that are already affecting terrestrial and coastal areas, such as rapid population growth, development, pollution, poor governance, and poor management of natural resources. Climate and disaster risks will be further evaluated during the project implementation to better understand negative effects on people and economies so that they can be reduced or managed.

Briefly describe in the space below how the project strengthens accountability to stakeholders

During the PPG phase, consultations were conducted at the village, district, provincial and national levels. These took the form of focus group discussions, one-on-one meetings and field visits. The findings of these consultations supported the development of the project *Stakeholder Engagement Plan*, which describes roles and responsibilities of project stakeholders and outlines methods for ensuring proactive and inclusive engagement during the implementation phase.

Stakeholder engagement activities during project preparation was conducted from August until December 2021 and June 2022, ranging from stakeholder at national level in Jakarta to stakeholder at community level in the targeted landscape of Flores. In total there are at least 339 (246 male, 93 female) people being engaged and consulted during IN-FLORES project preparation, representing nine Ministries, thirty regional government offices at province and districts, fourteen villages, eleven Adat communities, five private sector institutions (including

[47] Lee et al. 2009. Rural Poverty and Natural Resources: Improving Access and Sustainable Management. ESA Working Paper No. 09-03, March 2009. The Food and Agriculture Organization of the United Nations.

three banks), four CSOs and one UN agency, two universities and, the Indonesian Zoo Association. Community consultations were conducted in the villages that overlap with key habitats of Komodo dragon and other globally threatened species.

At district level, staff members of Planning and Development Agency (Bappeda), Agrarian Affairs and Public Works office, Agriculture, Forestry and Environment, as well as Disaster Management, Women Empowerment offices and FMUs were involved in the consultations. At the village level, the PPG team interviewed community members representing elderly people, village government, youth and women on their perception towards the Komodo dragon and the other globally threatened species, conservation activities and development objectives in general.

During the PPG-phase community consultations, the Baar *Adat* community in the villages of Sambinasi and West Sambinasi responded positively to the project but indicated that there are boundary issues where community lands overlap with a protected area and hence they had little trust in dealing with the Provincial Natural Resource Management Agency (BBKSDA NTT). This will be followed up with more comprehensive consultations and obtaining FPIC prior to commencing activities on the ground during the implementation phase, per the ESMF. Further pre-FPIC consultations were held in Lengkosambi village, Riung Sub-district, Ngada District) where a number of Adat communities live: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu in June 2022. Finally, a pre-FPIC consultation were also held in June 2022 with the Tadho, Adat community in Tadho village (Riung Sub-district, Ngada District).

An Indigenous Peoples Planning Framework (IPPF) was developed that also includes FPIC procedures. The IPPF is an integral part of the Environmental and Social Management Framework (ESMF) for the project. A grievance redress mechanism (GRM) was also developed and included in the *Stakeholder Engagement Plan*. The GRM is multi-tiered and includes an explanation of the UNDP's Accountability Mechanism. The GRM will be further developed as part of the process of preparing the Environmental and Social Management Plan (ESMP) during the first year of project implementation.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 6.*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High.**
Risk Description (broken down by event, cause, impact)	***Impact and Likelihood (1-5)***	***Significance (Low, Moderate Substantial, High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***
Risk 1: The project may exacerbate tensions between the *Adat* communities and local authorities regarding unresolved boundary issues in the North Flores landscape-seascape. Principal: Human Rights, q. P.1, P.2, P.3, P.4, P.5, P.6, P.7 Principal: Accountability, q. P.15	I = 5 L = 4	High	Interviews during the PPG phase found that there are unresolved boundary and access and control over natural resources issues that are resulting in conservation priorities conflicting with the livelihood priorities of the local and *Adat* communities. In the North Flores landscape-seascape there are several protected	<u>Assessment</u> During the PPG phase the following safeguard measures of high-risk projects have been prepared: a) Stakeholder Engagement Plan, including a GRM for the project; b) IPPF, containing FPIC procedures; c) Gender Action Plan and d) ESMF. <u>Management</u> Landscape specific and activity specific ESIAs will be prepared and all thematic safeguards management plans (e.g., Indigenous Peoples Plan (IPP), etc.) will be prepared as part of the ESMP during project

Standard 5: Displacement and Resettlement, q. 5.2 Standard 6 : Indigenous Peoples, q. 6.1, 6.2, 6.3, 6.4, 6.5, 6.7, 6.8 Related to / stemming from Outputs 1.1, 1.2, 1.3			areas that have been declared by national government and are currently under the management of Provincial Natural Resource Management Agency (BBKSDA NTT) where traditionally claimed private lands have been included into the protected areas without proper consultation on the location of the boundaries with the local and Adat communities. In situations such as these, there are indications that proper consultations were not carried out when the protected areas were established such as free, prior and informed consent (FPIC) or agreements on management of private traditionally claimed lands.	implementation, per the ESMF. A preliminary FPIC process has been conducted for the Baar Adat community in Sambinasi and West Sambinasi villages in Ngada district in the north Flores landscape-seascape in November 2021. Also pre-FPIC consultations were held in Lengkosambi village, Riung Sub-district, Ngada District) where a number of Adat communities live: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu in June 2022. Finally, a pre-FPIC consultation were also held in June 2022 with the Tadho, Adat community in Tadho village (Riung Sub-district, Ngada District). The IPP developed (including FPIC procedures) will be implemented to ensure that community concerns are addressed and to safeguard the interests of *Adat* and other vulnerable communities. The PMU will recruit one or more FPIC specialists to facilitate the FPIC consultations through collaboration with the project's full-time Safeguards Officer, ensuring that *Adat* community concerns are adequately addressed and monitored, as well as providing training to staff and key stakeholders, providing advice in the development of key regulatory frameworks and work programs on conservation and sustainable land use. The multi-stakeholder coordination platform established under Output 1.1 for the North Flores landscapes-seascape will have representation of *Adat* communities. The platform will oversee the development of the integrated ecosystem management framework in Output 1.2. The ecosystem management framework is an "upstream" activity and will be developed in line with the SESA. FPIC will be obtained under Output 1.1 (*Adat* representation on the coordination platform), Output 1.2 (approval/consent of the integrated ecosystem management framework), and as part of establishing OECMs involving *Adat* communities in Output 1.3, and *Adat* communities will be represented on the OECM governance mechanisms. The multi-stakeholder coordination platform and OECM governance forums will also provide additional opportunities for improved dialogue regarding boundary issues to ensure that the boundaries are clear between park land and adat land. Moreover, under Output 1.1, the project will facilitate joint planning sessions between the management entities of protected areas in the target landscape-seascape and other stakeholders, including *Adat* community representatives, thus facilitating improved communication and dialogue on topical issues.
Risk 2: The project may exacerbate tensions between the *Adat* communities and local	I = 4 L = 4	Substantial	In the West Flores landscape-seascape two communities	<u>Assessment:</u>

authorities in the West Flores landscape-seascape. Principal: Human Rights, q. P.1, P.2, P.3, P.4, P.5, P.6, P.7 Principal: Accountability, q. P.15 Standard 5: Displacement and Resettlement, q. 5.2 Standard 6 : Indigenous Peoples, q. 6.1, 6.2, 6.3, 6.4, 6.5, 6.7, 6.8 Related to / stemming from Outputs 1.1, 1.2, 1.3			interviewed also voiced their concern about restrictions they might face if their island home is targeted as a Komodo dragon conservation project site. The locals, who are mostly fisher folk recounted fishing restrictions around the waters of Komodo National Park, specifically on Rinca Island that would lead to their exclusion to accommodate expanding tourism. There are still different views among stakeholders about what conservation is and how it should be carried out. This alone could jeopardize the expected collaboration to take place under a project that seeks to extend conservation measures beyond protected areas.	During the PPG phase the following safeguard measures have been prepared: a) Stakeholder Engagement Plan, including a GRM for the project; b) IPPF, containing FPIC procedures; c) Gender Action Plan and d) ESMF. <u>Management:</u> Landscape specific and activity specific ESIAs will be prepared and all thematic safeguards management plans (e.g., Indigenous Peoples Plan (IPP), etc.) will be prepared as part of the ESMP during project implementation, per the ESMF. The IPP developed during the PPG phase (including FPIC procedures) will be implemented to ensure that community concerns are addressed and to safeguard the interests of *Adat* and other vulnerable communities. The PMU will recruit one or more FPIC specialists to facilitate the FPIC consultations through collaboration with the project's full-time Safeguards Officer, ensuring that *Adat* community concerns are adequately addressed and monitored, as well as providing training to staff and key stakeholders, providing advice in the development of key regulatory frameworks and work programs on conservation and sustainable land use. The full FPIC will be carried out prior to the project implementation phase. The multi-stakeholder coordination platform established under Output 1.1 for the West Flores landscapes-seascape will have representation of *Adat* communities. The platform will oversee the development of the integrated ecosystem management framework in Output 1.2. The ecosystem management framework is an "upstream" activity and will be developed in line with the SESA. FPIC will be obtained under Output 1.1 (*Adat* representation on the coordination platform), Output 1.2 (approval/consent of the integrated ecosystem management framework), and as part of establishing OECMs involving *Adat* communities in Output 1.3, and *Adat* communities will be represented on the OECM governance mechanisms. The multi-stakeholder coordination platform and OECM governance forums will also provide additional opportunities for improved dialogue regarding boundary issues. Moreover, under Output 1.1, the project will facilitate joint planning sessions between the management entities of protected areas in the target landscape-seascape and other stakeholders, including *Adat* community representatives, thus facilitating improved communication and dialogue on topical issues.
Risk 3: Local communities' access rights to resources could be restricted which may lead	I = 4 L = 3	Substantial	Three types of OECMs are proposed in the project	<u>Assessment</u>

to economic displacement and marginalization. Principle: Human Rights, q. P.5, P.6 Standard 3: Community Health, Safety and Security, q. 3.8 Standard 5: Displacement and Resettlement, q. 5.1, 5.2, 5.3, 5.4 Standard 6: Indigenous Peoples, q.6.1, 6.2, 6.3, 6.4, 6.5, 6.6 Outputs: 1.1, 1.2, 1.3, 1.4, 2.1, 2.3			landscapes-seascapes: (1) agreements between protected areas and local communities to enhance conservation near the borders of the protected areas, e.g., establishment of wildlife corridors; (2) agreements between forest management units and local communities for enhanced protection of environmentally sensitive areas; and (3) community governance arrangements for protection of environmentally sensitive areas within local communities. The first two types of OECMs may result in some level of economic displacement (particularly for Adat communities and other marginalized groups), e.g., through possible restrictions on access or use of natural resources. Any sort of access restrictions will be negotiated with the customary communities. With respect to the third type of OECM, the communities themselves will decide on possible restrictions to access or use of natural resources. The planned project interventions do not entail involuntary resettlement or forced evictions. If safeguards are not in place and implemented, then this risk cannot be excluded. Project activities will be designed to	ESIAs and FPICs will be undertaken for the identified project area wherein risks and impacts related to economic displacement due to restrictions to access and or use of natural resources will be assessed.. The assessment will also include appropriate consultation with affected communities, (including FPIC with *Adat* communities if present in the area) to consult on potential impacts and management measures and ensure community participation in planning, implementation and monitoring. The ESMF annexed to the Project Document contains the elements of Process Frameworks, which will be further developed as part of the ESMPs prior to the project implementation phase to facilitate community endorsement, consensus and to validate the risk of displacement. <u>Management</u> The creation of OECMs may restrict access to resources, affect customary land rights, and create some level of economic displacement (particularly for marginalized people and *Adat* communities) which will be assessed during the FPICs and ESIAs stage. Eight potential OECMs have been identified during the PPG. These sites will be reviewed when the project begins. For these activities the project will be required to develop Process Framework (as reported in the ESMF document) in order to facilitate community endorsement, consensus and to validate the risk of displacement. The assessment will include appropriate consultation (including FPICs) with affected communities, (including *Adat* Communities if present in the area) to consult on potential impacts and management measures and ensure community participation in planning, implementation and monitoring phases of the project. The multi-stakeholder coordination platforms established in each of the two target landscapes-seascapes will help facilitate information exchange and dialogue between affected communities and governmental entities, including co-financing partners.

			reduce impacts to local communities.	
Risk 4: Women (*Adat* community and rural women in particular) and other marginalized groups may not be fully involved in planning, implementation and monitoring of project interventions (decision making processes) related to improving management effectiveness of protected areas and establishment of OECMs to enhance conservation outcomes and sustainable livelihoods. As a consequence, women might not benefit from such initiatives, rather, influential leaders and/or groups at the local level may have more control on local level decision-making. Principle: Gender Equality and Women's Empowerment, q. P.9, P.10, P.11, P.12 Principle: Accountability, q. P.13, P.14 Outputs: 1.1, 1.2, 1.3, 2.2, 2.3, 2.4, 3.4	I = 3 L = 3	Moderate	There are gender disparities in the local economic sectors that need to be taken into account in project design. There is a risk that the PPG phase consultations may not have fully captured or reflected views of women and girls and other marginalized groups.	<u>Assessment</u> To ensure active participation of women in the planning of the project, a number of consultations were held during the PPG phase to assess key gender issues in the project landscapes-seascapes, in order to design measures to ensure the project contributes towards advancement of gender equality and women's empowerment objectives. <u>Management</u> The "Gender Analysis and Gender Action Plan" (annexed to the Project Document) describes how perspectives, rights, and interests of men and women are addressed and applied to ensure that the project contributes to gender equality and women's empowerment and creates equitable opportunities for women and men at all levels of engagement. Gender mainstreaming is further reflected in the Stakeholder Engagement Plan (annexed to the Project Document), which was also developed during the PPG phase. Gender mainstreaming activities will be overseen by the project's Safeguards Officer and supported by local specialists who will be recruited for the implementation phase to support the project team, contracted service providers, and technical staff members at the MoEF and Provincial BBKSDA level to ensure implementation of the gender action plan. Gender-responsive indicators and targets are integrated into the project results framework. The project complies with UNDP Gender Marker 2 criteria. These will be monitored and reported by the project team and further evaluated during the midterm review and terminal evaluation.
Risk 5: Project interventions in terms of community livelihoods and community-based enterprises (e.g., ecotourism and natural resources based value addition, etc.) may have adverse impacts on species and habitats if not well implemented. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.1, 1.2, 1.3, 1.4	I = 4 L = 4	Substantial	Project interventions for ecotourism, income generation and economic activities may damage environmentally sensitive areas, including critical habitats over-exploitation of natural resources and poorly managed ecotourism operations and waste disposal. This includes the introduction of non-indigenous species that may	<u>Assessment</u> Elements related to biodiversity conservation are an integral part of the Project Document considering the nature of the project itself. One significant component of the project is the creation of an integrated ecosystem management framework (output 1.2). <u>Management</u> Appropriate environmental and social indicators for conservation of biological diversity, protection of natural habitats, and protection of wildlife will be developed as part of the development of other effective area-based conservation measures (OECMs), and regular monitoring and

Outputs: 1.2, 1.3, 1.4, 2.2, 2.3, 2.4, 3.2			pose a risk to the local biodiversity.	evaluation will take place for the activities implemented within environmentally sensitive areas.
Risk 6: Natural disasters and climate change may affect the implementation and results of project initiatives Standard 2: Climate change and disaster risks, q. 2.1, 2.2, 2.3, 2.4 Outputs: 1.1, 1.3, 1.4, 2.3, 2.4, 3.2, 3.3, 3.4	I = 3 L = 3	Moderate	Climate change is forecasted to result in increased temperatures, increased rainfall, increased frequency of storms and droughts, and sea level rise, resulting in increased incidence of fires during El Niño induced droughts, saltwater intrusion in low-lying coastal areas, and disruptions to the range of certain flora and fauna. As elsewhere in Indonesia, Flores is vulnerable to natural disasters, including cyclones, tsunamis, earthquakes, coastal flooding, extreme heat, and volcanic eruptions.	<u>Assessment</u> A Climate and Disaster Screening was carried out during the PPG phase and the report on the screening is annexed to the Project Document. <u>Management</u> During the PPG phase, Preliminary steps were taken to evaluate measures that can build resilience to climate change and disaster impacts in project activities such as identifying diversified livelihoods, identifying biodiversity friendly businesses or natural asset building. Risks associated with climate and natural disaster hazards will be further assessed in the SESA and ESIAs and management measures described in the ESMP(s). Climate and disaster risk mitigation will also be incorporated in the integrated ecosystem management frameworks developed under Output 1.1, and specific management measures will be integrated into the management plans for the OECMs established in the West and North Flores landscapes-seascapes under Output 1.3. Enhanced OECM management and conservation practices are expected to improve protection and management of critical ecosystems services as well as wildlife habitat, which should help to increase the overall resilience of the natural systems to climate risks in the areas compared to business as usual. Capacity building activities in Output 1.4 on strengthening biodiversity monitoring knowledge and skills will also reflect emerging considerations regarding the impact of climate change on the behavior and habitat of the Komodo Dragon and other globally threated species. Furthermore, under Output 3.3, the project will support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the project landscapes-seascapes. Management measures will be developed as part of the ESMPs to be implemented in the project implementation stage to mitigate the risks of natural disasters that might directly impact the project staff.
Risk 7: Restoration interventions and agroecological livelihood activities may involve the use of agrochemicals (e.g., chemical fertilizers or pesticides), posing a health risk to workers and farmers handling	I = 3 L = 3	Moderate	In some cases, non-chemical options may not be feasible, e.g., herbicides might be proposed for use in some of the restoration interventions. There	<u>Assessment</u> The integrated ecosystem management frameworks under Output 1.1 will promote reduction and minimization of the use of agrochemicals. Non-chemical methods will be prioritized in the development of the restoration plans in Output 1.3 and in the low-value grant proposals in Output 2.3 for

the agrochemicals and an environmental risk through potential inadvertent release of pollutants. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.2 Standard 7: Labor and Working Conditions, q. 7.6 Standard 8: Pollution Prevention and Resource Efficiency, q. 8.1, 8.2, 8.3, 8.5 Outputs: 1.1, 1.3, 2.3			are approved, safe agrochemicals available, but obsolete stocks are common in some locations. Workers and farmers may be ill-informed about the hazards associated with agrochemicals, including approved ones, and correct environmental and health & safety procedures.	the implementation of agroecological livelihood activities. The restoration plans, business plans, and low-value grant proposals will be prepared based on assessment to be undertaken as part of SESA to ensure compliance with the SES. The plans once developed will be reviewed by UNDP and the Implementing Partner for compliance with UNDP SES and relevant national and local regulations prior to commencing work in the field. <u>Management</u> The ESMP will include additional measures to further reduce the health and ecological hazards associated with agrochemicals. Restoration interventions and agro-ecological livelihood activities are expected to be carried out in collaboration with and/or under the supervision of responsible governmental entities or professional partners, such as experienced NGOs. Management measures will include but are not limited to the following: 1) internationally or nationally banned or restricted agrochemicals will not be used, 2) workers and farmers working with agrochemical will be trained and equipped with appropriate personal protective equipment, and 3) national, provincial, and local guidelines and regulations on use and handling of agrochemical will be followed. The Community Mobilizers in the project landscapes-seascapes will support training and monitoring of risks associated with restoration interventions and agro-ecological livelihood activities.
Risk 8: Local people involved in project activities, project team members, and service providers may be at a heightened risk of exposure to COVID 19 through the stakeholder consultation meetings, workshops and field visits, etc. Standard 3: Community Health, Safety and Security, q. 3.4 Standard 6: Indigenous Peoples, q. 6.1 Outputs: 1.3; 2.2, 2.3, 2.4	I = 4 L = 4	Substantial	The project strategy is predicated on participatory processes, including multiple stakeholder meetings, in-person trainings, learning exchanges, seminars and workshops, etc.	<u>Assessment</u> Field visits for consultations were delayed due to COVID-19. A COVID-19 analysis was undertaken during the PPG phase and will be annexed to the Project document, and the analysis will be updated as part of the ESIAs/ESMPs. <u>Management</u> Adaptive management measures will be implemented accordingly, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc. Virtual meetings will be held where feasible. The project Knowledge Management Plan, to be completed during the first year of project implementation, will include specific considerations for communication, public awareness and exchange of information under these circumstances. The project's COVID-19 Action Framework prepared during the PPG phase will be updated and incorporated into the ESMPs. The action framework

				would be updated regularly (due to the continuous change in the COVID pandemic) and would include measures that address opportunities, including promoting sustainable natural resource management approaches that safeguard critical ecosystems, increase resilience of local communities and reduce human-wildlife interactions.
Risk 9: The cultural identity of the *Adat* community groups might not be respected and/or their traditional knowledge (or other forms of cultural heritage, including tangible forms) might be inadvertently harmed during project activities that intend to preserve and/or utilize it. Standard 4: Cultural Heritage, q. 4.1, 4.2, 4.3, 4.4, 4.5 Standard 6: Indigenous Peoples, q. 6.9 Outputs: 1.1, 1.3, 2.3, 2.4	I = 3 L = 3	Moderate	Some of the locations for the project activities will be in areas that belong to *Adat* communities. These locations, however, have yet to be confirmed. Cultural heritage tourism may be part of the proposed ecotourism experiences under Outputs 2.3 and 2.4. Tourists may directly or indirectly affect the cultural heritage or norms of local and *Adat* communities. Tourists themselves might pose a threat to the delicate state of heritage sites and objects, resulting in the inadvertent damage to cultural heritage sites.	<u>Assessment</u> Ecotourism business plans developed under Outputs 2.3 and/or 2.4 will be based on assessment as part SESA and will be screened for compliance with UNDP SES, including Standard 4, by the Chief Technical Advisor and the Safeguards Officer. The plans will be reviewed by UNDP and the Implementing Partner prior to commencing activities in the field. <u>Management</u> A list of exclusion criteria will be used to eliminate sites posing high risks to tangible cultural heritage. These will include sites having cultural heritage value. Exclusionary criteria are defined in the ESMF. The Stakeholder Engagement Plan and the IPPF provide guidance for ensuring communities are informed of their rights. A multi-tiered GRM has been developed to allow stakeholders to voice concerns regarding specific issues and to reach satisfactory resolution. An Indigenous People Plan (IPP) based on the IPPF prepared during early project implementation will be the base for managing the interests of the custodian and other special interest groups. The use of the screening checklist based on the SESP will ensure that project supported investments in biodiversity-friendly businesses will be screened from an environmental, social and cultural perspective to ensure that there are no impacts on cultural heritage of *Adat* communities or special interest groups; Impacts on cultural heritage (tangible and intangible) will be mitigated and monitored with the preparation of a Cultural Heritage Action Plan according to UNESCO best practices. Any project related economic development initiatives proposed by custodian communities and other special interest groups will rest on the maintenance of the integrity of their culture and defined through the use of FPIC procedures, per the ESMF/IPPF. Although the project does not entail physical interventions involving construction or excavation activities, a Chance Find Procedure is outlined in the ESMF and will be further elaborated in the ESMP.
Risk 10: Field- and policy-level activities related to community-based organizations	I = 4	Substantial	Child labor is present in the country and the risk cannot be	<u>Assessment</u>

and business enterprises could inadvertently support child labor, and other violations of international labor standards. Standard 7: Labor and Working Conditions, q. 7.1, 7.3 Outputs: 2.3, 2.4	L = 3		excluded in the implementation of the project. There are a range of business development activities that will be introduced as part of Component 2 in this project. At this time it is not known the exact nature of these activities except that they will likely be in urban, rural and marine areas. The project therefore has clear potential to produce a net benefit in improving labor standards compliance through routine monitoring.	Consistent with UNDP Social and Environmental Standards, the business enterprises and community-based organizations supported through financial and/or grant assistance will be required to undergo due diligence process to ensure that there are appropriate policies, processes and systems in place and that they operate in accordance with the minimum requirements in the UNDP Standard 7 on Labour and Working Conditions, as well as relevant national laws. The Project Manager, Chief Technical Advisor, and Safeguards Officer will ensure compliance in the review of business plans and low-value grant proposals. <u>Management</u> To monitor the intervention related to community-based organization and business enterprises in the targeted landscapes-seascapes a labor management procedure will be included in the ESMPs of the project. Other measures may include signing agreement with project funding recipients to include specific requirements to comply with international labor standards and work conditions (for example UNDP Health Safety and Working Conditions Standards) including prohibition of use of child labour; compliance with these agreements will be monitored by the national Safeguards Officer and awareness activities will be carried out at the project sites to create support for preventing use of child labor and unacceptable working conditions. Other relevant guidelines to make reference to:. • United Nations Supplier “Code of Conduct” which provides the minimum standards expected of suppliers to the UN. The Code of Conduct, which includes principles on labor, human rights, environment, and ethical conduct. • UNDP Programme and Operations Policies and Procedures (POPP): Construction Works Policy Contracted workers engaged will be verified by the Contractor prior to their engagement and will have access to the project GRM described in the Stakeholder Engagement Plan. All copies of verification records will be shared with Project Manager and Safeguards Officer. The Community Mobilizers will support site level monitoring and the Landscape-Seascape Coordinators will carry out periodic spot checks for compliance with UNDP SES.
Risk 11: Poorly designed or executed project activities could exacerbate illegal wildlife trade.	I = 3 L = 3	Moderate	Increased access to some areas and increased numbers of tourists might increase the illegal	<u>Assessment</u>

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.5, 1.14 Outputs: 1.3, 2.3, 2.4			wildlife trade already present in the country. A lack of capacity to monitor these areas could result in ineffective patrolling and incomplete adaptive management systems. This will open up an opportunity for unscrupulous individuals to poaching the wildlife for a quick profit.	The expansion of conservation measures beyond protected areas will necessitate monitoring of those areas that have been designated as OECMs. This risk will be further assessed during the ESIA. <u>Management</u> Management measures (beyond those included in project design) will be included in the subsequent Biodiversity Action Plan, as part of the ESMP, as necessary for SES compliance. The Knowledge Management plan to be developed early in the project will also include strategies for increasing awareness about illegal wildlife trade.
Risk 12: Poorly designed or executed project activities could damage critical or sensitive habitats, including through the introduction of invasive alien species (IAS) during forest restoration-rehabilitation activities. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.6 Outputs: 1.3	I = 3 L= 3	Moderate	The project aims to rehabilitate 300 ha of degraded of degraded Komodo dragon and threatened species habitat located outside protected areas.	<u>Assessment</u> This risk will be assessed during the ESIA and in the field surveys conducted to support development of the restoration plans under Output 1.3. <u>Management</u> Under Output 1.3 restoration-rehabilitation will be carried out in accordance with restoration plans developed using participatory planning processes and informed by the ESIAs. No IASs will be used. This risk has been managed through the design of the project and will be further examined in the course of the ESIAs, as part of the ESMPs, as determined necessary. Restoration interventions are expected to be carried out in collaboration with and/or under the supervision of responsible governmental entities or professional partners, such as experienced NGOs. The Community Mobilizers in the project landscapes-seascapes will support training and monitoring of risks associated with restoration interventions.
Risk 13: With the designated areas in the landscape being selected as tourism destinations by the Government, associated activities such as ecotourism and biodiversity friendly businesses are bound to emerge in the areas. The project intends to support small scale investments in ecotourism at the same time protecting the conservation areas of the Komodo dragon. With the increase of ecotourism and other types of biodiversity	I = 4 L = 4	Substantial	The government of Indonesia has designated Labuan Bajo as one of the 5 "super priority tourism destinations in Indonesia". As a result, the central government has invested in new infrastructure to support large scale tourism. The construction of additional lodging facilities, food and	<u>Assessment</u> The project will support small-scale investments (including through low-value grant assistance) in ecotourism activities such as trekking, diving and home stays, in both landscapes as a means to generate livelihoods for local communities while at the same time protecting the Komodo dragon. An increase in ecotourism may lead to increased pollution in the project area and its area of influence. <u>Management</u>

friendly businesses, pollution in terms of noise, increase of foot traffic, water, soil and generation of solid and domestic waste are expected to increase. Standard 8: Pollution Prevention and Resource Efficiency, q. 8.1, 8.5 Outputs 2.3, 2.4			beverage establishments and other tourism related infrastructure may contribute to the generation of additional solid waste and sewage pollution, air and noise pollution, and to the modification of the physical landscape of some sites.	The ESMPs will include additional measures, if necessary to further reduce the health and ecological hazards associated with pollution and generation of waste. The project will seek to work with business operators to ensure best practices in promotion of reducing of pollution and generation of waste. Under Output 2.4, the project will also deliver capacity building to local tourism operators on waste management, pollution control and minimization, and other sustainable tourism practices. Moreover, a Flores Ecotourism Code of Practice will be developed. The project will increase awareness among stakeholders on sustainable tourism development, delivery of capacity building, commitment to protecting ecosystems' biodiversity, respect of local cultures and commitment to educate the tourists on those cultures, etc.
Risk 14: Activities funded under low-value grant assistance delivery mechanisms may be carried out without full adherence to UDNP SES. Principles and Project-Level Standards: All Outputs: 2.2, 2.3, 2.4, 3.3	I = 3 L = 3	Moderate	The project plans on delivering low-value grant assistance for: (a) initiating trial operation of new or improved revenue generating options in protected areas under Output 2.2, (b) pilot testing biodiversity-friendly livelihood activities, (c) implementing ecotourism concession models with local operators; (d) supporting university applied research on the Komodo dragon. The potential impact is assessed as Moderate due to the low value of the grants envisaged, and the limited scope of each individual grant.	<u>Assessment:</u> Low-value grants are included in the project budget, to support implementation of livelihood and business venture enterprises, establishment of OECMs, acquisition of monitoring equipment, etc. The Implementing Partner will be obliged to follow the On-Granting Provisions, which are annexed to the Project Document. <u>Management</u> The grant proposals will be reviewed by the Project Manager, with support by the other project team members, for compliance with UNDP SES. And grant agreements will be reviewed by UNDP prior to signature by the Implementing Partner and/or responsible parties and the grantees. The ESMF includes a procedure on managing risks associated with low-value grants. Landscape-Seascape Coordinators and Community Mobilizers will review the activities in the field for compliance with UNDP SES, as well as other specifications described in the grant agreements. Progress and completion reports submitted by the grantees will document compliance.
Risk 15: The use of security personnel may reduce access to some areas for security reasons, possibly resulting in violence to or from the security personnel who might wear arms with the risk of misusing them	I = 3 L = 3	Moderate	Project activities and services will be designed to reduce impacts to local communities The use of security personnel for patrolling the area might create tension with the local community	<u>Assessment:</u> Risks associated with the use of security personnel will be assessed in the project ESIAs . <u>Management:</u> Possible reduced access to some areas for security reasons (using security personnel) will be managed during the preparation of the ESMPs. Security

Standard 3: Community Health, Safety and Security, q. 3.8 Standard 5: Displacement and Resettlement, q. 5.2 Output: 1.3				Management Plan will be developed as part of the ESMPs in line with UN Basic Principles on the Use of Force and Firearms by Law Enforcement officials, the UN Code of Conduct for Law Enforcement Officials, the Voluntary Principles on Security and Human Rights, and the International Code of Conduct on Private Security Providers. In addition, specific guidelines and procedures will be further developed for the selection and training of security personnel.

	QUESTION 4: What is the overall project risk categorization? *Note: Project categorization is determined by the highest level of significance of identified risks across all potential risk areas (as rated in Question 3).*		
	Low Risk	☐	
	Moderate Risk	☐	
	Substantial Risk	☐	
	High Risk	☑	As the project is categorized as high risk, an ESMF has been prepared during the PPG. Per the ESMF, Landscape specific and activity specific ESIAs will be developed prior to the project implementation stage. Based on the results of the ESIAs, ESMPs will be developed and implemented during the project implementation phase. Thematic safeguard management plans will be prepared as part of the ESMPs. In addition, the following requirements have been met through the development of the following frameworks as part of the ProDoc: Comprehensive Stakeholder Engagement Plan, including GRM (annexed to the Project Document) Indigenous Peoples Planning Framework (annexed to the Project Document) Gender Analysis and Gender Action Plan (annexed to the Project Document) GRM

	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects.				
	Is assessment required? (check if "yes")	☑			***Status? (completed, planned)***

	if yes, indicate overall type and status		☑	Targeted assessment(s)	Completed: gender analysis, stakeholder analysis, COVID-19 risk and opportunities analysis, climate and disaster risk screening
			☑	ESIA (Environmental and Social Impact Assessment)	Planned
			☑	SESA (Strategic Environmental and Social Assessment)	Planned
	Are management plans required? (check if "yes)	☑			
	If yes, indicate overall type		☑	Targeted management plans (e.g. Indigenous Peoples Plan, Resettlement Action Plan, others)	Completed: gender action plan, stakeholder engagement plan, COVID-19 action framework, IPPF Planned: IPP, Process Framework
			☑	ESMP (Environmental and Social Management Plan)	Planned
			☑	ESMF (Environmental and Social Management Framework)	Planned
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind	---			
	Human Rights	☑			
	Gender Equality and Women's Empowerment	☑			
	Accountability	☑			
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☑			
	2. Climate Change and Disaster Risks	☑			
	3. Community Health, Safety and Security	☑			
	4. Cultural Heritage	☑			
	5. Displacement and Resettlement	☑			

	6. Indigenous Peoples	☑	
	7. Labour and Working Conditions	☑	
	8. Pollution Prevention and Resource Efficiency	☑	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included.

Signature	***Date***	***Description***
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind		**Answer (Yes/No)**
Human Rights		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	*Yes*
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	*Yes*
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	*Yes*
Would the project potentially involve or lead to:		---
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups	Yes
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [48]	Yes
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	Yes
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Gender Equality and Women's Empowerment		

[48] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

P.8	Have women's groups/leaders raised gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
Would the project potentially involve or lead to:		---
P.9	adverse impacts on gender equality and/or the situation of women and girls?	*Yes*
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degrAdation or depletion in communities who depend on these resources for their livelihoods and well being*	Yes
P.12	exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*.	Yes
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		---
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14	grievances or objections from potentially affected stakeholders?	Yes
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	Yes
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		---
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	Yes

1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	*changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)*	Yes
1.4	*risks to endangered species (e.g. reduction, encroachment on habitat)?*	Yes
1.5	exacerbation of illegal wildlife trade?	Yes
1.6	introduction of invasive alien species?	Yes
1.7	adverse impacts on soils?	Yes
1.8	harvesting of natural forests, plantation development, or reforestation?	Yes
1. 9	significant agricultural production?	No
1. 10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.12	handling or utilization of genetically modified organisms/living modified organisms?[49]	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[50]	No
1.14	adverse transboundary or global environmental concerns?	Yes
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		---
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change? *For example, through increased precipitation, drought, temperature, salinity, extreme events*	Yes
2.3	direct or indirect increases in vulnerability to climate change impacts or disasters now or in the future (also known as maladaptive practices)?	Yes

[49] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

[50] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

	For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
Would the potentially involve or lead to:		---
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	Yes
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, and sanitation?	Yes
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and non-communicable diseases, nutritional disorders, mental health?	Yes
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)	Yes
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property, or to support project activities?	Yes
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		---
4.1	activities adjacent to or within a Cultural Heritage site?	Yes
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.4	alterations to landscapes and natural features with cultural significance?	Yes

4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	Yes
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		---
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	Yes
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	risk of forced evictions?[51]	Yes
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		---
6.1	areas where indigenous peoples are present (including project area of influence)?	Yes
6.2	activities located on lands and territories claimed by indigenous peoples	Yes
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	Yes
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes

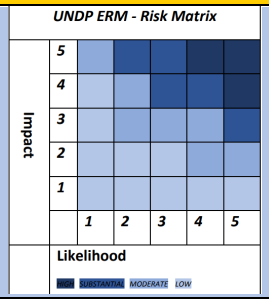
[51] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	Yes
6.7	*adverse impacts on the development priorities of indigenous peoples as defined by them?*	Yes
6.8	*risks to the physical and cultural survival of indigenous peoples?*	No
6.9	*impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?* *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	Yes
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		---
7.1	working conditions that do not meet national labour laws and international commitments?	Yes
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	Yes
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		---
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	Yes
8.4	the use of chemicals or materials subject to international bans or phase-outs?	No

	For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention	
8.5	the application of pesticides that may have a negative effect on the environment or human health?	Yes
8.6	significant consumption of raw materials, energy, and/or water?	No

Annex 5: UNDP Risk Register

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	Enter a brief description of the risk. Risk description should include future event and cause. Risks identified through HACT, PCAT, SES, Private Sector Due Diligence, and other assessments should be included.	Social and Environmental Financial Operational Organizational Political Regulatory Strategic Other Subcategories for each risk type should be consulted to understand each risk type (see UNDP Enterprise Risk	Describe the potential **effect** on the project if the future event were to occur. Enter **likelihood** based on 1-5 scale (1 = Not likely; 5 = Expected) Enter **impact** based on 1-5 scale (1 = Negligible 5 = Extreme) *Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (high, Substantial, Moderate or Low)*	What actions have been taken/will be taken to manage this risk.	The person or entity with the responsibility to manage the risk.

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
		Management Policy)			
1	Local communities resistant to changing their approaches and practices, not seeing the value in engaging with approaches promoted by the project	Operational, Strategic	The primary beneficiaries of the project are the local and *Adat* communities in the target landscapes-seascapes. Lack of genuine participation could impact the effectiveness and sustainability of the project. I = 3 L = 3 **MODERATE**	Through participatory, multi-stakeholder approaches, the project will implement a range of mechanisms to generate interest and awareness among local and *Adat* communities. Local and *Adat* communities will have representation on the multi-stakeholder coordination platforms. Resources are allocated in the project budget for socializing the integrated ecosystem management frameworks and the OECMs. Moreover, the project strategy focuses on improving livelihood resilience, introducing alternative and diversified income-generating opportunities.	Project Manager, Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Landscape-Seascape Coordinators, Community Mobilizers
2	Capacity building efforts not sufficiently effective in facilitating improved management of PA's and/or behaviors within production landscapes.	Operational	Building capacities and shifting behaviors and practices takes time and concerted focus. I = 3 L = 2 **MODERATE**	Capacity building opportunities will be available PA managers and staff, local community members. Moreover, the project will facilitate partnership building with governmental, civil society, and private sector partners, for long-term funding and incentives for capacity development and sustainable livelihoods. GEF funding is meant to be catalytic. A sustainability plan will be developed under Output 3.1 and implementation will be initiated during the project's timeframe to help ensure sustainability structures are in place to ensure durability of project results	Project Manager, Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Landscape-Seascape Coordinators
3	Government approval flows may not match the project implementation timeframe.	Political, Regulatory	Priority actions outlined in the integrated ecosystem management frameworks are expected to be incorporated into district level development planning and budgets. And the OECMs will require approval by FMUs, village governments, and PA's. I = 3 L = 3 **MODERATE**	The MoEF and its landscape-seascape level entities, including the KNP and BBKSDA-NTT, will be closely involved in all aspects of the project, as key stakeholders as well as beneficiaries. Provincial and district level government officials will be represented on the Project Board, as well as the multi-stakeholder coordination platforms. These officials will be closely involved in the development of the integrated ecosystem management frameworks and the establishment of OECMs. The Project Board will have an important role in helping to advocate and facilitate approvement flows, communication with other ministries and to subnational partners.	MoEF, Project Manager, Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Landscape-Seascape Coordinators

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
				Stakeholder workshops will be convened to disseminate information on the proposed integrated ecosystem management frameworks and OECMs, and the results of the project will be shared with the broader conservation stakeholder community to help facilitate upscaling.	
4	Low support from financial institutions to cooperate in provision of financing for biodiversity-related activities, e.g., because of perceived low return on investments.	Strategic, Financial	Analyses made during the PPG phase found that financing options are available for local communities; however, there are limited capacities to manage the funds and sustain livelihood and business ventures. I = 3 L = 3 **MODERATE**	The project strategy focuses on delivering capacity development and partnership building, enabling local community organizations and businesses to access and effectively management available funding and incentive mechanisms. The strategy also focuses on diversifying conservation finance options, both from the private sector and government.	MoEF, Project Manager, Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Landscape-Seascape Coordinators
5	Inadequate coordination at the local level, and lack ownership of the project interventions, including establishment of OECMs.	Operational, Organizational	Sub-national partners in the two target landscapes-seascapes have important roles in ensuring successful implementation and sustainability of project activities. I = 3 L = 3 **MODERATE**	The establishment of the OECMs will be made through participatory, multi-stakeholder processes, and sub-national partners, including district level governmental entities, FMUs, PA management entities, etc., as well as civil society and private sector partners will be involved in the process. Trouble-shooting and coordination issues will be facilitated through the multi-stakeholder coordination platforms established for each of the two target landscapes-seascapes.	Project Manager, Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Landscape-Seascape Coordinators
6	Cofinancing contributions may not be realized as planned, including from the civil society	Financial, Political	The project is designed to feed into baseline activities funded by national and subnational governmental programmes, and implemented by civil society organizations. I = 3 L = 2 **MODERATE**	Co-financing contributions are primarily represented by parallel, baseline funding for initiatives and investments that have been approved or are ongoing. Realization of governmental co-financing has been consistent and reliable among UNDP-GEF projects implemented in Indonesia over the past two decades. The project will regularly monitor co-financing contributions and report results to the Project Board and the GEF (in annual PIR's). With respect to civil society co-financing contributions, Burung Indonesia has extensive experience in the country and in the target landscapes-seascapes.	Project Manager, Chief Technical Advisor, Partnership Coordinator, Landscape-Seascape Coordinators
7	Risks stemming from co-financing activities may not be captured by project risk management procedures.	Operational, strategic	Co-financing has been committed from governmental and civil society partners. I = 2 L = 3 **LOW**	Governmental co-financing is associated with governmental programmes which are obliged to follow relevant regulations, policies, and procedures. CSO cofinancing is from a reputable organization that have worked in the target landscapes-seascapes for a number of years, and have safeguard management systems. Co-financing partners will be invited to join the multi-stakeholder coordination platforms, which will provide opportunities for discussing any concerns regarding risks associated with the complementary activities.	Project Manager, Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Landscape-Seascape Coordinators

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
8	A prolonged or recurrent COVID-19 pandemic or similar public health crisis may impact the continuity and delivery of the project.	Operational, Financial	The project preparation phase coincided with the COVID-19 pandemic. Project implementation activities could be suspended or delayed in case of recurrence of the COVID-19 pandemic or similar. I = 3 L = 3 **MODERATE**	The project will comply with UNDP and government directives in order to reduce health risks to project staff and stakeholders. Implementation may be paused if necessary in affected areas while government disease prevention or control measures are implemented. The MoEF and the UNDP CO will guide project responses through proactive correspondence for ongoing situations, as required. The impacts on other UNDP-GEF projects have been mitigated through increased use of remote modalities during the early phases of the pandemic, and expanded monitoring and awareness-raising after field activities resumed in later phases. If the pandemic (or similar) recurs in the country and restrictions are newly imposed, the MoEF and the UNDP CO will work towards implementing adaptive management measures, starting with updating the work plan, focusing on activities that can be carried out uninterrupted, and resuming field activities as soon as possible.	MoEF, UNDP CO
9	A prolonged or recurrent COVID-19 pandemic may result in further decline of the international tourism market in Indonesia, impacting the viability of some of the ecotourism related livelihood and business ventures promoted in the project.	Strategic	The number of international tourists visiting Indonesia has substantially dropped during over the course of the COVID-19 pandemic. I = 3 L = 3 **MODERATE**	The market analyses, feasibility studies and business plans developed for alternative livelihood and business ventures will focus on strengthening resilience of local and Adat communities. Additionally, facilitating diversified conversation finance options in the landscapes-seascapes is an integral part of Component 2. Such options include, for example, financial instruments promoted by the Islamic social fund (zakat), the Islamic social fund (waqf) as well as green sukuk and the Corporate Social Responsibility (CSR) funds, etc.	Project Manager, Chief Technical Advisor, Partnership Coordinator, Landscape-Seascape Coordinators
10	Impacts of exchange rate fluctuations and/or a possible global economic recession on project delivery.	Financial	Project delivery may be impacted by macroeconomic externalities such as exchange rate fluctuations and a possible economic recession. I = 3 L = 2 **MODERATE**	GEF-financed projects have been implemented in Indonesia for more than 20 years with limited impacts associated with currency fluctuation. Disbursements will be made based on annual work plans, which will be adjusted to possible currency fluctuations.	MoEF, UNDP
Risks identified through the Social and Environmental Screening Procedure. The SESP risks are rated on a 3-point scale: Low, Moderate, High. The category definitions are included in the SESP report (Annex 5 to the project document).					
	Risk 1: The project may exacerbate tensions between the *Adat* communities and local authorities regarding unresolved boundary issues	Social and environmental	Interviews during the PPG phase found that there are unresolved boundary and access and control over natural resources issues that are resulting in conservation priorities conflicting with the livelihood priorities of the local and *Adat*	<u>Assessment</u> During the PPG phase the following safeguard instruments of high risk projects have been prepared: a) Stakeholder Engagement Plan, including a GRM for the project; b) IPPF, containing FPIC procedures; c) Gender Action Plan and d) ESMF.	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	in the North Flores landscape-seascape. Principal: Human Rights, q. P.1, P.2, P.3, P.4, P.5, P.6, P.7 Principal: Accountability, q. P.15 Standard 5: Displacement and Resettlement, q. 5.2 Standard 6 : Indigenous Peoples, q. 6.1, 6.2, 6.3, 6.4, 6.5, 6.7, 6.8 Related to / stemming from Outputs 1.1, 1.2, 1.3		communities. In the North Flores landscape-seascape there are several protected areas that have been declared by national government and are currently under the management of Provincial Natural Resource Management Agency (BBKSDA NTT) where traditionally claimed lands private lands have been included into the protected areas without proper consultation. In situations such as these, there are indications that proper consultations were not carried out when the protected areas were established such as free, prior and informed consent (FPIC) or agreements on management of private traditionally claimed lands. I = 5 L = 4 **HIGH**	<u>Management</u> Landscape specific and activity specific ESIAs will be prepared and all thematic safeguards management plans (e.g., Indigenous Peoples Plan (IPP), etc.) will be prepared as part of the ESMP during project implementation, per the ESMF. A preliminary FPIC process has been conducted for the Baar Adat community in Sambinasi and West Sambinasi villages in Ngada district in the north Flores landscape-seascape in November 2021. Also pre-FPIC consultations were held in Lengkosambi village, Riung Sub-district, Ngada District) where a number of Adat communities live: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu in June 2022. Finally, a pre-FPIC consultation were also held in June 2022 with the Tadho, Adat community in Tadho village (Riung Sub-district, Ngada District). The IPP developed (including FPIC procedures) will be implemented to ensure that community concerns are addressed and to safeguard the interests of *Adat* and other vulnerable communities. The PMU will recruit one or more FPIC specialists to facilitate the FPIC consultations through collaboration with the project's full-time Safeguards Officer, ensuring that *Adat* community concerns are adequately addressed and monitored, as well as providing training to staff and key stakeholders, providing advice in the development of key regulatory frameworks and work programs on conservation and sustainable land use. The multi-stakeholder coordination platform established under Output 1.1 for the North Flores landscapes-seascape will have representation of *Adat* communities. The platform will oversee the development of the integrated ecosystem management framework in Output 1.2. The ecosystem management framework is an "upstream" activity and will be developed in line with the SESA. FPIC will be obtained under Output 1.1 (*Adat* representation on the coordination platform), Output 1.2 (approval/consent of the integrated ecosystem management framework), and as part of establishing OECMs involving *Adat* communities in Output 1.3, and *Adat* communities will be represented on the OECM	

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
				governance mechanisms. The multi-stakeholder coordination platform and OECM governance forums will also provide additional opportunities for improved dialogue regarding boundary issues to ensure that the boundaries are clear between park land and adat land. Moreover, under Output 1.1, the project will facilitate joint planning sessions between the management entities of protected areas in the target landscape-seascape and other stakeholders, including *Adat* community representatives, thus facilitating improved communication and dialogue on topical issues.	
	Risk 2: The project may exacerbate tensions between the *Adat* communities and local authorities in the West Flores landscape-seascape. Principal: Human Rights, q. P.1, P.2, P.3, P.4, P.5, P.6, P.7 Principal: Accountability, q. P.15 Standard 5: Displacement and Resettlement, q. 5.2 Standard 6 : Indigenous Peoples, q. 6.1, 6.2, 6.3, 6.4, 6.5, 6.7, 6.8 Related to / stemming from Outputs 1.1, 1.2, 1.3	Social and environmental	In the West Flores landscape-seascape two communities interviewed also voiced their concern about restrictions they might face if their island home is targeted as a Komodo dragon conservation project site. The locals, who are mostly fisher folk recounted fishing restrictions around the waters of Komodo National Park, specifically on Rinca Island that lead to their exclusion to accommodate expanding tourism. There are still different views among stakeholders about what conservation is and how it should be carried out. This alone could jeopardize the expected collaboration to take place under a project that seeks to extend conservation measures beyond protected areas. I = 4 L = 4 **SUBSTANTIAL**	<u>Assessment:</u> During the PPG phase the following safeguard instruments have been prepared: a) Stakeholder Engagement Plan, including a GRM for the project; b) IPPF, containing FPIC procedures; c) Gender Action Plan and d) ESMF. <u>Management:</u> Landscape specific and activity specific ESIAs will be prepared and all thematic safeguards management plans (e.g., Indigenous Peoples Plan (IPP), etc.) will be prepared as part of the ESMP during project implementation, per the ESMF. The IPP developed during the PPG phase (including FPIC procedures) will be implemented to ensure that community concerns are addressed and to safeguard the interests of *Adat* and other vulnerable communities. The PMU will recruit one or more FPIC specialists to facilitate the FPIC consultations through collaboration with the project's full-time Safeguards Officer, ensuring that *Adat* community concerns are adequately addressed and monitored, as well as providing training to staff and key stakeholders, providing advice in the development of key regulatory frameworks and work programs on conservation and sustainable land use. The full FPIC will be carried out prior to the project implementation phase. The multi-stakeholder coordination platform established under Output 1.1 for the West Flores landscapes-seascape will have representation of *Adat* communities. The platform will oversee the development of the integrated ecosystem	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
				management framework in Output 1.2. The ecosystem management framework is an "upstream" activity and will be developed in line with the SESA. FPIC will be obtained under Output 1.1 (*Adat* representation on the coordination platform), Output 1.2 (approval/consent of the integrated ecosystem management framework), and as part of establishing OECMs involving *Adat* communities in Output 1.3, and *Adat* communities will be represented on the OECM governance mechanisms. The multi-stakeholder coordination platform and OECM governance forums will also provide additional opportunities for improved dialogue regarding boundary issues. Moreover, under Output 1.1, the project will facilitate joint planning sessions between the management entities of protected areas in the target landscape-seascape and other stakeholders, including *Adat* community representatives, thus facilitating improved communication and dialogue on topical issues.	
	Risk 3: Local communities' access rights to resources could be restricted which may lead to economic displacement and marginalization. Principle: Human Rights, q. P.5, P.6 Standard 3: Community Health, Safety and Security, q. 3.8 Standard 5: Displacement and Resettlement, q. 5.1, 5.2, 5.3, 5.4	Social and environmental	Three types of OECMs are proposed in the project landscapes-seascapes: (1) agreements between protected areas and local communities to enhance conservation near the borders of the protected areas, e.g., establishment of wildlife corridors; (2) agreements between forest management units and local communities for enhanced protection of environmentally sensitive areas; and (3) community governance arrangements for protection of environmentally sensitive areas within local communities. The first two types of OECMs may result in some level of economic displacement (particularly for Adat communities and other marginalized groups), e.g., through possible restrictions on access or use of natural resources. With respect to the third	<u>Assessment</u> Once the locations of the OECMs are defined during the early phase of project implementation, the ESIA(s) will assess possible economic displacement associated with restrictions to access and or use of natural resources. The assessment will include appropriate consultation with affected communities, (including FPIC with *Adat* communities if present in the area) to consult on potential impacts and management measures and ensure community participation in planning, implementation and monitoring. The ESMF annexed to the Project Document contains the elements of a typical Process Framework, which will be developed during project implementation as part of the ESMP, as needed, to facilitate community endorsement, consensus and to validate the risk of displacement. <u>Management</u> The creation of OECMs may restrict access to resources, affect customary land rights, and create some level of economic displacement (particularly for marginalized people	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	Standard 6: Indigenous Peoples, q.6.1, 6.2, 6.3, 6.4, 6.5, 6.6 Outputs: 1.1, 1.2, 1.3, 1.4, 2.1, 2.3		type of OECM, the communities themselves will decide on possible restrictions to access or use of natural resources. The planned project interventions do not entail involuntary resettlement or forced evictions. If safeguards are not in place and implemented, then this risk cannot be excluded (including for activities implemented by project co-financing partners). Project activities will be designed to reduce impacts to local communities. I = 4 L = 3 **SUBSTANTIAL**	and *Adat* communities) which will be assessed during the FPICs and ESIAs stage. Eight potential OECMs have been identified during the PPG. These sites will be reviewed when the project begins. For these activities the project will be required to develop Process Framework (as reported in the ESMF document) in order to facilitate community endorsement, consensus and to validate the risk of displacement. The assessment will include appropriate consultation (including FPICs) with affected communities, (including *Adat* Communities if present in the area) to consult on potential impacts and management measures and ensure community participation in planning, implementation and monitoring phases of the project. The multi-stakeholder coordination platforms established in each of the two target landscapes-seascapes will help facilitate information exchange and dialogue between affected communities and governmental entities, including co-financing partners.	
	Risk 4: Women (*Adat* community and rural women in particular) and other marginalized groups may not be fully involved in planning, implementation and monitoring of project interventions (decision making processes) related to improving management effectiveness of protected areas and establishment of OECMs to enhance conservation outcomes and sustainable livelihoods. As a consequence, women might not benefit from such initiatives, rather, influential	Social and environmental	There are gender disparities in the local economic sectors that need to be taken into account in project design. There is a risk that the PPG phase consultations may not have fully captured or reflected views of women and girls and other marginalized groups. I = 3 L = 3 **MODERATE**	<u>Assessment</u> To ensure active participation of women in the planning of the project, a number of consultations were held during the PPG phase to assess key gender issues in the project landscapes-seascapes, in order to design measures to ensure the project contributes towards advancement of gender equality and women's empowerment objectives. <u>Management</u> The "Gender Analysis and Gender Action Plan" (annexed to the Project Document) describes how perspectives, rights, and interests of men and women are addressed and applied to ensure that the project contributes to gender equality and women's empowerment and creates equitable opportunities for women and men at all levels of engagement. Gender mainstreaming is further reflected in the Stakeholder Engagement Plan (annexed to the Project Document), which was also developed during the PPG phase.	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	leaders and/or groups at the local level may have more control on local level decision-making. Principle: Gender Equality and Women's Empowerment, q. P.9, P.10, P.11, P.12 Principle: Accountability, q. P.13, P.14 Outputs: 1.1, 1.2, 1.3, 2.2, 2.3, 2.4, 3.4			Gender mainstreaming activities will be overseen by the project's Safeguards Officer and supported by local specialists who will be recruited for the implementation phase to support the project team, contracted service providers, and technical staff members at the MoEF and Provincial BBKSDA level to ensure implementation of the gender action plan. Gender-responsive indicators and targets are integrated into the project results framework. The project complies with UNDP Gender Marker 2 criteria. These will be monitored and reported by the project team and further evaluated during the midterm review and terminal evaluation.	
	Risk 5: Project interventions in terms of community livelihoods and community-based enterprises (e.g., ecotourism and natural resources based value addition, etc.) may have adverse impacts on species and habitats if not well implemented. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.1, 1.2, 1.3, 1.4 Outputs: 1.2, 1.3, 1.4, 2.2, 2.3, 2.4, 3.2	Social and environmental	Project interventions for ecotourism, income generation and economic activities may damage environmentally sensitive areas, including critical habitats over-exploitation of natural resources and poorly managed ecotourism operations and waste disposal. This includes the introduction of non-indigenous species that may pose a risk to the local biodiversity. I = 4 L = 4 **SUBSTANTIAL**	Assessment Elements related to biodiversity conservation are an integral part of the Project Document considering the nature of the project itself. One significant component of the project is the creation of a integrated ecosystem management framework (output 1.2). Management Appropriate environmental and social indicators for conservation of biological diversity, protection of natural habitats, and protection of wildlife will be developed as part of the development of other effective area-based conservation measures (OECMs), and regular monitoring and evaluation will take place for the activities implemented within environmentally sensitive areas.	Safeguards Officer
	Risk 6: Natural disasters and climate change may affect	Social and environmental	Climate change is forecasted to result in increased temperatures, increased rainfall,	Assessment	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	the implementation and results of project initiatives and the health and safety of local communities and the implementation team. Standard 2: Climate change and disaster risks, q. 2.1, 2.2, 2.3, 2.4 Standard 3: Community health, safety and security, q. 3.6 Outputs: 1.1, 1.3, 1.4, 2.3, 2.4, 3.2, 3.3, -3.4		increased frequency of storms and droughts, and sea level rise, resulting in increased incidence of fires during El Niño induced droughts, saltwater intrusion in low-lying coastal areas, and disruptions to the range of certain flora and fauna. As elsewhere in Indonesia, Flores is vulnerable to natural disasters, including cyclones, tsunamis, earthquakes, coastal flooding, extreme heat, and volcanic eruptions. I = 3 L = 3 **MODERATE**	A Climate and Disaster Screening was carried out during the PPG phase and the report on the screening is annexed to the Project Document. <u>Management</u> During the PPG phase, Preliminary steps were taken to build resilience to climate change and disaster impacts in project activities such as identifying diversified livelihoods, identifying biodiversity friendly businesses or natural asset building. Risks associated with climate and natural disaster hazards will be assessed in the SESA and ESIA and management measures described in the ESMP(s). Climate and disaster risk mitigation will also be incorporated in the integrated ecosystem management frameworks developed under Output 1.1, and specific management measures will be integrated into the management plans for the OECMs established in the West and North Flores landscapes-seascapes under Output 1.3. Enhanced OECM management and conservation practices are expected to improve protection and management of critical ecosystems services as well as wildlife habitat, which should help to increase the overall resilience of the natural systems to climate risks in the areas compared to business as usual. Capacity building activities in Output 1.4 on strengthening biodiversity monitoring knowledge and skills will also reflect emerging considerations regarding the impact of climate change on the behavior and habitat of the Komodo Dragon and other globally threated species. Furthermore, under Output 3.3, the project will support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the project landscapes-seascapes.	
	Risk 7: Restoration interventions and agroecological livelihood activities may involve the use of agrochemicals (e.g., chemical fertilizers or	Social and environmental	In some cases, non-chemical options may not be feasible, e.g., herbicides might be proposed for use in some of the restoration interventions. There are approved, safe agrochemicals available, but obsolete stocks are common in some locations.	<u>Assessment</u> The integrated ecosystem management frameworks under Output 1.1 will promote reduction and minimization of the use of agrochemicals. Non-chemical methods will be prioritized in the development of the restoration plans in Output 1.3 and in the low-value grant proposals in Output 2.3	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	pesticides), posing a health risk to workers and farmers handling the agrochemicals and an environmental risk through potential inadvertent release of pollutants. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.2 Standard 7: Labor and Working Conditions, q. 7.6 Standard 8: Pollution Prevention and Resource Efficiency, q. 8.1, 8.2, 8.3, 8.5 Outputs: 1.1, 1.3, 2.3		Workers and farmers may be ill-informed about the hazards associated with agrochemicals, including approved ones, and correct environmental and health & safety procedures. I = 3 L = 3 **MODERATE**	for the implementation of agroecological livelihood activities. The restoration plans, business plans, and low-value grant proposals will be prepared in accordance with guidelines and frameworks defined in the SESA, and will be reviewed by UNDP and the Implementing Partner for compliance with UNDP SES and relevant national and local regulations prior to commencing work in the field. <u>Management</u> The ESMP will include additional measures to further reduce the health and ecological hazards associated with agrochemicals. Restoration interventions and agro-ecological livelihood activities are expected to be carried out in collaboration with and/or under the supervision of responsible governmental entities or professional partners, such as experienced NGOs. Management measures will include but are not limited to the following: 1) internationally or nationally banned or restricted agrochemicals will not be used, 2) workers and farmers working with agrochemical will be trained and equipped with appropriate personal protective equipment, and 3) national, provincial, and local guidelines and regulations on use and handling of agrochemical will be followed. The Community Mobilizers in the project landscapes-seascapes will support training and monitoring of risks associated with restoration interventions and agro-ecological livelihood activities.	
	Risk 8: Local people involved in project activities, project team members, and service providers may be at a heightened risk of exposure to COVID 19 through the stakeholder consultation meetings, workshops and field visits, etc. Standard 3: Community Health, Safety and Security, q. 3.4	Social and environmental	The project strategy is predicated on participatory processes, including multiple stakeholder meetings, in-person trainings, learning exchanges, seminars and workshops, etc. I = 4 L = 4 **SUBSTANTIAL**	<u>Assessment</u> Field visits for consultations were delayed due to COVID-19. A COVID-19 Analysis was undertaken during the PPG phase and will be annexed to the Project document, and the analysis will be updated as part of the ESIA. <u>Management</u> Adaptive management measures will be implemented accordingly, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering training on risks and recognition of symptoms, etc. Virtual meetings will be held where feasible.	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	Standard 6: Indigenous Peoples, q. 6.1 Outputs: 1.3; 2.2, 2.3, 2.4			The project Knowledge Management Plan, to be completed during the first year of project implementation, will include specific considerations for communication, public awareness and exchange of information under these circumstances. The project's COVID-19 Action Framework prepared during the PPG phase will be incorporated into the ESMP and updated regularly (due to the continuous change in the COVID pandemic), also includes measures that address opportunities, including promoting sustainable natural resource management approaches that safeguard critical ecosystems, increase resilience of local communities and reduce human-wildlife interactions.	
	Risk 9: The cultural identity of the *Adat* community groups might not be respected and/or their traditional knowledge (or other forms of cultural heritage, including tangible forms) might be inadvertently harmed during project activities that intend to preserve and/or utilize it. Standard 4: Cultural Heritage, q. 4.1, 4.2, 4.3, 4.4, 4.5 Standard 6: Indigenous Peoples, q. 6.9 Outputs: 1.1, 1.3, 2.3, 2.4	Social and environmental	Some of the locations for the project activities will be in areas that belong to *Adat* communities. These locations, however, have yet to be confirmed. Cultural heritage tourism may be part of the proposed ecotourism experiences under Outputs 2.3 and 2.4. Tourists may directly or indirectly affect the cultural heritage or norms of local and *Adat* communities. Tourists themselves might pose a threat to the delicate state of heritage sites and objects, resulting in the inadvertent damage to cultural heritage sites. I = 3 L = 3 **MODERATE**	<u>Assessment</u> Ecotourism business plans developed under Outputs 2.3 and/or 2.4 will be based on the SESA and will be screened for compliance with UNDP SES, including Standard 4, by the Chief Technical Advisor and the Safeguards Officer. The plans will be reviewed by UNDP and the Implementing Partner prior to commencing activities in the field. <u>Management</u> A list of exclusion criteria will be used to eliminate sites posing high risks to tangible cultural heritage. These will include sites having cultural heritage value. Exclusionary criteria are defined in the ESMF. The Stakeholder Engagement Plan and the IPPF provide guidance for ensuring communities are informed of their rights. A multi-tiered GRM has been developed to allow stakeholders to voice concerns regarding specific issues and to reach satisfactory resolution. An Indigenous People Plan (IPP) based on the IPPF prepared during early project implementation will be the base for managing the interests of the custodian and other special interest groups. The use of the screening checklist based on the SESP will ensure that project supported investments in biodiversity-friendly businesses will be screened from an environmental, social and cultural perspective to	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
				ensure that there are no impacts on cultural heritage of *Adat* communities or special interest groups; Impacts on cultural heritage (tangible and intangible) will be mitigated and monitored with the preparation of a Cultural Heritage Action Plan according to UNESCO best practices. Any project related economic development initiatives proposed by custodian communities and other special interest groups will rest on the maintenance of the integrity of their culture and defined through the use of FPIC procedures, per the ESMF/IPPF. Although the project does not entail physical interventions involving construction or excavation activities, a Chance Find Procedure is outlined in the ESMF and will be further elaborated in the ESMP.	
	Risk 10: Field- and policy-level activities related to community-based organizations and business enterprises could inadvertently support child labor, and other violations of international labor standards. Standard 7: Labor and Working Conditions, q. 7.1, 7.3 Outputs: 2.3, 2.4	Social and environmental	Child labor is present in the country and the risk cannot be excluded in the implementation of the project. There are a range of business development activities that will be introduced as part of Component 2 in this project. At this time it is not known the exact nature of these activities except that they will likely be in urban, rural and marine areas. The project therefore has clear potential to produce a net benefit in improving labor standards compliance through routine monitoring. I = 4 L = 3 **SUBSTANTIAL**	<u>Assessment</u> Consistent with UNDP Social and Environmental Standards, the business enterprises and community-based organizations supported through financial and/or grant assistance will be required to conduct due diligence to ensure that there are appropriate policies, processes and systems in place and that they operate in accordance with the minimum requirements in the UNDP Standard 7 on Labour and Working Conditions, as well as relevant national laws. The Project Manager, Chief Technical Advisor, and Safeguards Officer will ensure compliance in the review of business plans and low-value grant proposals. <u>Management</u> To monitor the intervention related to community-based organization and business enterprises in the targeted landscapes-seascapes a labor management procedure will be included in the ESMP of the project. . Other measures may include signing agreement with project funding recipients to include specific requirements to comply with international labor standards and work conditions (for example UNDP Health Safety and Working Conditions Standards); compliance with these agreements will be monitored by the national Safeguards Officer and awareness activities will be carried out at the project sites to create	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
				support for preventing use of child labor and unacceptable working conditions. Other relevant guidelines to make reference to:. • United Nations Supplier "Code of Conduct" which provides the minimum standards expected of suppliers to the UN. The Code of Conduct, which includes principles on labor, human rights, environment, and ethical conduct. • UNDP Programme and Operations Policies and Procedures (POPP): Construction Works Policy Contracted workers will have access to the project GRM described in the Stakeholder Engagement Plan. The Community Mobilizers will support site level monitoring and the Landscape-Seascape Coordinators will carry out periodic spot checks for compliance with UNDP SES.	
	Risk 11: Poorly designed or executed project activities could exacerbate illegal wildlife trade. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, q. 1.5, 1.14 Outputs: 1.3, 2.3, 2.4	Social and environmental	Increased access to some areas and increased numbers of tourists might increase the illegal wildlife trade already present in the country. A lack of capacity to monitor these areas could result in ineffective patrolling and incomplete adaptive management systems. This will open up an opportunity for unscrupulous individuals to poaching the wildlife for a quick profit. I = 3 L = 3 **MODERATE**	Assessment The expansion of conservation measures beyond protected areas will necessitate monitoring of those areas that have been designated as OECMs. This risk will be further assessed during the ESIA. Management Management measures (beyond those included in project design) will be included in the subsequent Biodiversity Action Plan, as part of the ESMP, as necessary for SES compliance. The Knowledge Management plan to be developed early in the project will also include strategies for increasing awareness about illegal wildlife trade.	Safeguards Officer
	Risk 12: Poorly designed or executed project activities could damage critical or sensitive habitats, including through the introduction of invasive alien species (IAS) during forest restoration-rehabilitation activities. Standard 1: Biodiversity Conservation and Sustainable Natural	Social and environmental	The project aims to rehabilitate 300 ha of degraded of degraded Komodo dragon and threatened species habitat located outside protected areas. I = 3 L = 3 **MODERATE**	Assessment This risk will be assessed during the ESIA and in the field surveys conducted to support development of the restoration plans under Output 1.3. Management Under Output 1.3 restoration-rehabilitation will be carried out in accordance with restoration plans developed using participatory planning processes and informed by the ESIA. No IASs will be used. This risk has been managed through the design of the project and will be further examined in the	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	Resource Management, q. 1.6 Outputs: 1.2, 1.3, 1.4, 2.1, 2.2, 2.3			course of the ESIA, as part of the ESMP, as determined necessary. Restoration interventions are expected to be carried out in collaboration with and/or under the supervision of responsible governmental entities or professional partners, such as experienced NGOs. The Community Mobilizers in the project landscapes-seascapes will support training and monitoring of risks associated with restoration interventions.	
	Risk 13: Activities involving ecotourism or other types of biodiversity friendly businesses may result in increased pollution. Standard 8: Pollution Prevention and Resource Efficiency, q. 8.1, 8.5 Outputs 2.3, 2.4	Social and environmental	Labuan Bajo has been designated as one of the 5 "super priority tourism destinations in Indonesia". As a result there has been investment in the infrastructure to support large scale tourism. The construction of additional lodging facilities, food and beverage establishments and other tourism related infrastructure may contribute to the generation of additional solid waste and sewage pollution, air and noise pollution, and to the modification of the physical landscape of some sites. I = 4 L = 3 **SUBSTANTIAL**	<u>Assessment</u> The project will support small-scale investments (including through low-value grant assistance) in ecotourism activities such as trekking, diving and home stays, in both landscapes as a means to generate livelihoods for local communities while at the same time protecting the Komodo dragon. An increase in ecotourism may lead to increased pollution. <u>Management</u> The ESMP will include additional measures, if necessary to further reduce the health and ecological hazards associated with solid wastes. The project will seek to work with business operators to ensure best practices in promotion of reducing waste. Under Output 2.4, the project will also deliver capacity building to local tourism operators on waste management, pollution control and minimization, and other sustainable tourism practices. Moreover, a Flores Ecotourism Code of Practice will be developed. The project will increase awareness among stakeholders on sustainable tourism development, delivery of capacity building, etc.	Safeguards Officer
	Risk 14: Activities funded under low-value grant assistance delivery mechanisms may be carried out without full adherence to UDNP SES. Principles and Project-Level Standards: All	Social and environmental	The project plans on delivering low-value grant assistance for: (a) initiating trial operation of new or improved revenue generating options in protected areas under Output 2.2, (b) pilot testing biodiversity-friendly livelihood activities, (c) implementing ecotourism concession models with local operators; (d) supporting university applied research on the Komodo dragon.	<u>Assessment:</u> Low-value grants are included in the project budget, to support implementation of livelihood and business venture enterprises, establishment of OECMs, acquisition of monitoring equipment, etc.	Safeguards Officer

#	Description	Risk Category	Impact & Likelihood – Risk Level	Risk Treatment / Management Measures	Risk Owner
	Outputs: 2.2, 2.3, 2.4, 3.3		The potential impact is assessed as Moderate due to the low value of the grants envisaged, and the limited scope of each individual grant. I = 3 L = 3 **MODERATE**	The Implementing Partner will be obliged to follow the On-Granting Provisions, which are annexed to the Project Document. <u>Management</u> The grant proposals will be reviewed by the Project Manager, with support by the other project team members, for compliance with UNDP SES. And grant agreements will be reviewed by UNDP prior to signature by the Implementing Partner and/or responsible parties and the grantees. The ESMF includes a procedure on managing risks associated with low-value grants. Landscape-Seascape Coordinators and Community Mobilizers will review the activities in the field for compliance with UNDP SES, as well as other specifications described in the grant agreements. Progress and completion reports submitted by the grantees will document compliance.	
	Risk 15: The use of security personnel may reduce access to some areas for security reasons, possibly resulting in violence to or from the security personnel who might wear arms with the risk of misusing them Standard 3: Community Health, Safety and Security, q. 3.8 Standard 5: Displacement and Resettlement, q. 5.2 Output: 1.3	Social and environmental	Project activities and services will be designed to reduce impacts to local communities The use of security personnel for patrolling the area might create tension with the local community I = 3 L = 3 MODERATE	<u>Assessment:</u> Risks associated with the use of security personnel will be assessed in the project ESIA or scoped ESIA(s). <u>Management:</u> Possible reduced access to some areas for security reasons (using security personnel) will be managed during the preparation of the ESMP. Specific guidelines and procedures might be required for the selection and training of security personnel.	

Annex 6: Overview of project staff and technical consultancies

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management		
Local / National contracting		
Project Manager (Deputy Project Director, KKH) Funded through governmental co-financing	72 months over 6 years	The **Project Manager**, supported by the Chief Technical Advisor and other technical support positions, will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. <u>Duties and Responsibilities</u> • Manage the overall conduct of the project. • Provide regular feedback to the National Project Director, and coordinate with complementary governmental programs and initiatives, including those covered by co-financing contributions. • In collaboration with the Chief Technical Advisor, plan the activities of the project and monitor progress against the approved workplan. • Coordinate the execution of activities by overseeing management of personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work. • Monitor events as determined in the project monitoring plan, and update the plan as required. • Provide support for completion of assessments required by UNDP, spot checks and audits. • Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form. • Coordinated monitoring of financial resources and accounting to ensure the accuracy and reliability of financial reports. • Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results. • Ensure that changes are controlled and problems addressed. • Coordinate regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities. • Coordinate the preparation and submission of financial reports to UNDP on a quarterly basis. • Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log; • Capture lessons learned during project implementation. • In collaboration with the Chief Technical Advisor, prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required. • Coordinate the preparation of the inception report no later than one month after the inception workshop.

Consultant	Time Input	Tasks, Inputs and Outputs
		• Ensure that the indicators included in the project results framework are monitored annually in advance of the GEF PIR submission deadline so that progress can be reported in the GEF PIR. • Coordinate the preparation of the GEF Project Implementation Reports (PIR)s. • Assess major and minor amendments to the project within the parameters set by UNDP-GEF. • Coordinate monitoring of implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans. • Coordinate the monitoring and tracking of progress against the GEF Core indicators. • Support the mid-term review and terminal evaluation process.
Admin-Finance Officer Rate: USD 1,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2	72 months over 6 years	Duties and Responsibilities Under the guidance and supervision of the Project Manager, the **Admin-Finance Officer** will carry out the following tasks: • Keep records of project funds and expenditures and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager. • Assist in procurement of goods and services for implementation of project activities. • Review project expenditures and ensure that project funds are used in compliance with the Project Document and governmental financial rules and procedures. • Validate and certify FACE forms before submission to UNDP. • Provide necessary financial information as and when required for project management decisions. • Provide necessary financial information during project audit(s). • Review annual budgets and project expenditure reports and notify the Project Manager if there are any discrepancies or issues. • Consolidate financial progress reports submitted by the responsible parties for implementation of project activities. • Liaise and follow up with the IP for implementation of project activities in matters related to project funds and financial progress reports. • Assist the Project Manager and Chief Technical Advisor in day-to-day management and oversight of project activities. • Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by the IP, Project Board, UNDP, project consultants and other project service providers and partners. • Provide project management unit related administrative and logistical assistance.
Procurement Assistant	72 months over 6 years	Duties and Responsibilities

Consultant	Time Input	Tasks, Inputs and Outputs
Rate: USD 1,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2		Under the guidance of the Project Manager and reporting directly to the Admin-Finance Officer, the **Procurement Assistant** will carry out the following tasks: • Assist in procurement of goods and services for implementation of project activities. • Make financial arrangements for project meetings, workshops and other events. • Assist in keeping records of project funds and expenditures and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager and Admin-Finance Officer. • Assist in consolidating financial progress reports submitted by the responsible parties for implementation of project activities
Technical Support Positions:		
Distributed across Components 1-3		
Local / National contracting		
Chief Technical Advisor Rate: USD 4,000 / month, adjusted with a cost-of-living adjustment of 3% per year starting in year 2	72 months over 6 years	The **Chief Technical Advisor** will report to the Project manager and be responsible for providing overall technical backstopping support to the project, at the national level and across the target landscapes-seascapes. Solid technical qualifications will be required for this position. The Chief Technical Advisor will directly support the technical components of the project, including carrying out the following tasks: <u>Duties and Responsibilities</u> • Ensure that project activities under each outcome are executed in a timely manner with high technical standards and implemented following the planned outcomes to achieve defined indicators. • Provide substantive contributions to the technical components of the project, including high-quality technical inputs on the reports produced by consultants and subcontractors. • Ensure consistency and coherency of the approaches across the project landscapes-seascapes. • Provide technical advocacy among key stakeholders, assisting local government units and service providers in design and implementation of project interventions. • Ensure that the indicators included in the project results framework are monitored annually in advance of the GEF PIR submission deadline, and provide inputs to the annual GEF Project Implementation Reports (PIRs) and other progress reports. • Carry out visits to project sites and the activities in the field. • Manage and monitor the project risks initially identified and submit new risks to the Project Manager for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log. • Prepare revisions to the multi-year workplan, as needed.

Consultant	Time Input	Tasks, Inputs and Outputs
		• Prepare the inception report no later than one month after the inception workshop. • Assist the Project Manager by participating in the mid-term and terminal evaluations of the project; including management responses. • Provide technical inputs to the development of knowledge products (including brochures, briefs, lessons learnt reports, etc.) and supervise their dissemination. • Provide technical support local government units, and other stakeholders with development of essential skills through training workshops and on the job training thereby increasing their institutional and technical capabilities. • Assist landscape-seascape level partners with development of essential skills through training workshops and on the job training thereby increasing their institutional capabilities. • Assist in project risk management, through identifying critical issues, helping to troubleshoot problems and developing mitigation measures. • Participate in project meetings, on an as-needed basis. • Prepare and/or review technical documents and terms of reference, reviewing deliverables among the project activities and outputs, organizing technical meetings, and providing technical guidance on project activities. <u>Required skills and expertise</u> • An advanced university degree (MSc or PhD) in a subject related to biodiversity conservation, natural resource management or environmental sciences. • At least 15 years of experience in biodiversity conservation, preferably related to the landscape-seascape issues. • At least 5 years of demonstrable project advisory support experience. <u>Competencies</u> • Strong technical knowledge about biodiversity conservation in Indonesia in general. • Ability to lead on project planning, change processes, results-based management and reporting. • Good interpersonal and communication skills. • Ability to work independently and in teams. • Excellent collaborative work style. • Ability to coordinate and supervise multiple parties in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government. • Native Bahasa Indonesia language skills, with excellent command of English (writing, speaking and reading).
Partnership Coordinator	72 months over 6 years	The **Partnership Coordinator** will facilitate multi-stakeholder collaboration and inclusive stakeholder engagement at the national and subnational levels. The Partnership Coordinator will directly support the technical components of the project, including carrying out the following tasks:

Consultant	Time Input	Tasks, Inputs and Outputs
Rate: USD 2,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2		Duties and Responsibilities: • Provide input to the Project Manager and Chief Technical Advisor on strategic approach to stakeholder engagement with governmental and non-governmental partners in best practices. • Oversee and coordinate the implementation of stakeholder engagement plan. • Help facilitate multi-stakeholder collaboration dialogues in accordance with the principles of the jurisdictional approach and integrated landscape management. • Engage with private sector partners and other stakeholder groups, representing the project and developing new partnerships. • Coordinating with the M&E-Communications Officer, providing strategic guidance in developing clear messaging for project stakeholders. • Strengthen partnerships with leading national, regional and international institutions and expert groups. • Coordinate with UNDP in Indonesia, in the region and globally. • Foster the introduction and application of innovative approaches, through engagement with financial institutions, private sector enterprises and associations, multilateral and bilateral donors, academic and research institutions, and national and local governments. • Facilitate strengthened engagement with scientific and academic institutions.
M&E - Communications Officer Rate: USD 2,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2	72 months over 6 years	The **M&E-Communications Officer** will ensure that M&E supports the optimized adaptive management of the project; and that knowledge is managed in such a way as to allow the project to learn effectively from other experiences and initiatives, while contributing to national knowledge resources and supporting the scaling out of project results at local and national levels. The M&E-KM Officer will directly support the technical components of the project at the national level and in the demonstration areas, including carrying out the following tasks: Duties and Responsibilities M&E: • Monitor project progress and provide inputs to the annual PIRs and other progress reports ensuring that they meet the necessary reporting requirements and standards. • Monitor and track progress against the GEF Core indicators. • Ensure project's M&E meets the requirements of the Government, the UNDP, and the GEF. • Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the project's theory of change and results framework with reference to actual and potential project progress and results. • Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results.

Consultant	Time Input	Tasks, Inputs and Outputs
		• Assist the Project manager in supporting mid-term and terminal evaluations of the project, including management responses. • Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products. • Support project site M&E and learning missions. • Visit project sites as and when required to appraise project progress on the ground and validate written progress reports. Knowledge Management-Communications: • Oversee the development and implementation of the project knowledge management and communications plan to support effective learning and adaptive management, and to maximize outreach and scaling out of project results through the identification and effective targeting of key audiences. • Promote the project among national and subnational stakeholders, ensure consistent communications materials and tools, including presentation and reporting templates. • Guide the development and dissemination of outreach and promotional materials with consistent messaging, such as brochures, fact sheets, presentations and quarterly bulletins, and take the lead of designing event materials, briefing packets and press releases. • Capture lessons learned during project implementation. • Facilitate Internet and social media linkages.
Safeguards Officer Rate: USD 2,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2	72 months over 6 years	The **Safeguards Officer** will oversee the conduct of safeguards assessments and the implementation of safeguard management plans and frameworks, in accordance with UNDP SES, as well as relevant governmental policies, procedures, and regulations to optimize the outcomes of the project in terms of equity among social groups (including economic, *Adat* and gender dimensions), and environmental outcomes. The Safeguards Officer will directly support the technical components of the project, including carrying out the following tasks: <u>Duties and Responsibilities</u> • Oversee the procurement and conduct of the ESIA, SESA and other safeguards assessments. • Oversee the implementation and monitoring of the progress of implementing project safeguards plans, including the SESP, Stakeholder Engagement Plan, Gender Action Plan, ESMP, IPP, COVID-19 action framework, Climate and Disaster Risk Screening and other safeguards management frameworks and plans as warranted, to ensure that UNDPs SES are fully met, and the reporting requirements are fulfilled. • Oversee the implementation and monitoring and evaluation of the implementation of the project gender action plan ensuring that targets are met, and the reporting requirements are fulfilled. • Oversee implementation of gender-related work, including training, in accordance with the gender analysis and action plan, including the annual review of the plan.

Consultant	Time Input	Tasks, Inputs and Outputs
		• Provide inputs to reporting and monitoring and evaluation (including gender-sensitive indicators) fully address the gender issues of the project, in accordance with the gender analysis and action plan, including the annual review of the plan. • Ensure social and environmental grievances are managed effectively and transparently. • Support the review the SESP annually, and update and revise corresponding risk log; mitigation/management plans, as necessary. • Support reporting, monitoring and evaluation fully addresses the safeguard issues of the project. • Coordinate gender and safeguard training, monitoring, and outreach with local consultants in the project demonstration areas, including carrying out FPIC processes, as needed. The required qualifications and competencies of this position include experience and skills in delivering training and managing processes related to conflict prevention, mitigation and resolution.
Landscape-Seascape Coordinators (2 positions) Rate: USD 2,200 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2	72 months over 6 years per position	<u>Duties and Responsibilities</u> Under the guidance and supervision of the Project Manager and Chief Technical Advisor and reporting to the Landscape-Seascape Directors, the **Landscape-Seascape Coordinators** will directly support the technical components of the project, including carrying out the following tasks: • Engaging with landscape-seascape stakeholders, facilitating involvement in project activities. • Facilitating the multi-stakeholder coordination platforms. • Coordinate the work of the Community Mobilizers. • Carrying out monitoring and evaluation field visits and providing feedback to the Chief Technical Advisor and Project Manager. • Supporting the implementation of the project safeguards plans, reporting to the Safeguards Officer. • Measuring project indicators in accordance with the project M&E plan and communicating the results in the required format and timeframe to the M&E-Communications Officer • Supporting the development of annual work plans and budgets. • Identifying opportunities for synergies on complementary initiatives. • Assisting the Partnership Coordinator and other project team members on tracking co-financing. • Facilitating communication with complementary projects and initiatives in the target landscapes-seascapes. • Assisting in communicating and socializing the project to landscape-seascape stakeholders, in accordance with the project knowledge management and communications plan. • Keeping abreast of local environmental concerns and priorities as well as the socioeconomic conditions and trends and relating their impact on the project.

Consultant	Time Input	Tasks, Inputs and Outputs
		The required qualifications and competencies of these positions include experience and skills in conflict prevention, mitigation and resolution.
Landscape-Seascape Assistants (2 positions) Rate: USD 1,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2	72 months over 6 years per position	Duties and Responsibilities Under the guidance and supervision of the Landscape-Seascape Coordinators, the **Landscape-Seascape Assistants** will directly support the technical components of the project, including carrying out the following tasks: • Support the team in the execution of project activities, collating information from project partners, assisting with coordination among provincial and district stakeholders, making arrangements for project meetings, workshops and other events. • Review annual budgets and project expenditure reports and notify the Landscape-Seascape Coordinators if there are any discrepancies or issues. • Keep and maintain records, e.g., procurement of local goods and services, directly liaising with the Project Admin-Finance Officer.
Community Mobilizers (2 positions) Rate: USD 1,400 / month, adjusted with a cost-of-living adjustment of 5% per year starting in year 2	72 months over 6 years per position	The full-time **Community Mobilizers** will be the main focal points of the project at the field/community level, directly interacting with the local and *Adat* communities. The Community Mobilizers will directly support the technical components of the project, including carrying out the following tasks: Duties and Responsibilities • Engaging with local government officials and community-based groups, facilitating involvement in project activities. • Assisting local entities in organizing and reporting on project activities. • Carrying out monitoring and evaluation field visits, ensuring activities are executed in compliance with UNDP SES, and providing feedback to the Landscape-Seascape Coordinators, Chief Technical Advisor and other position. • Measuring project indicators in accordance with the project M&E plan and communicating the results in the required format and timeframe to the Landscape-Seascape Coordinators. • Supporting the development of annual work plans and budgets. • Identifying opportunities for synergies on complementary initiatives, and advising the Landscape-Seascape Coordinators accordingly, and assisting the Landscape-Seascape Coordinators in tracking co-financing. • Facilitating communication with local and *Adat* communities, local businesses, and other local stakeholders, in accordance with the project knowledge management and communications plan. • Keeping abreast of local concerns and priorities as well as the socio-economic conditions and trends and relating their impact on the project and advising the Landscape-Seascape Coordinators accordingly.

Consultant	Time Input	Tasks, Inputs and Outputs
		The required qualifications and competencies of these positions include experience and skills in conflict prevention, mitigation and resolution.

Annex 7: Procurement plan

https://pims.undp.org/attachments/6506/217438/1752825/1796405/6506_Annex%2007_Procurement%20plan_09Feb2022.pdf

Annex 8: Stakeholder Engagement Plan

https://pims.undp.org/attachments/6506/217438/1757187/1806495/6506_Annex%2008_Stakeholder%20engagement%20plan28Apr_SV__july%2010_clean.docx

Annex 9: Stakeholder consultations during project preparation phase

https://pims.undp.org/attachments/6506/217438/1757187/1806495/6506_Annex%2009_Stakeholder%20consultations%20during%20PPG_6%20Jul%202022%20_clean.docx

Annex 10: Environmental and Social Management Framework (ESMF)

https://pims.undp.org/attachments/6506/217438/1752030/1806493/PIMS_6506_Annex_10_ESMF_10Jan2022__april%204_SV_july%2010%202022_clean.docx

Annex 11: Gender analysis and gender action plan

https://pims.undp.org/attachments/6506/217438/1754074/1799559/6506_Annex%2011_Gender%20analysis%20and%20action%20plan_31Mar2022.docx

Annex 12: Climate and disaster screening report

https://pims.undp.org/attachments/6506/217438/1752831/1796411/6506_Annex%2012_climate%20and%20disaster%20screening_08Feb2022.docx

Annex 13: COVID-19 analysis and action framework

https://pims.undp.org/attachments/6506/217438/1752852/1796438/6506_Annex%2013_COVID_analysis_action%20framework_28Apr.docx

Annex 14: Baseline report on threats and root causes, and conservation practices and needs

https://pims.undp.org/attachments/6506/217438/1752833/1796413/6506_Annex%2014_Baseline%20rpt%20threats_root%20causes_07Feb2022.docx

Annex 15: Landscape-seascape profiles
https://pims.undp.org/attachments/6506/217438/1752834/1796414/6506_Annex%2015_Landscape_seascape%20profiles_09Feb2022.docx

Annex 16: METT baseline assessments
https://pims.undp.org/attachments/6506/217438/1752835/1796415/6506_Annex%2016_METT%20baseline_08Feb2022.xlsx

Annex 17: Management effectiveness gaps identified in the baseline METT assessments
https://pims.undp.org/attachments/6506/217438/1752836/1796416/6506_Annex%2017_METT%20gap%20analysis_10Feb2022.docx

Annex 18: Baseline report on area-based conservation policies
https://pims.undp.org/attachments/6506/217438/1752837/1796417/6506_Annex%2018_Baseline%20rpt%20conservation%20policies_09Feb2022.docx

Annex 19: Sustainable financing baseline analysis and opportunity assessment

https://pims.undp.org/attachments/6506/217438/1752838/1796418/6506_Annex%2019_Sustainable%20financing_02Feb202.doc

Annex 20: Baseline report and recommendations on biodiversity-friendly businesses

https://pims.undp.org/attachments/6506/217438/1752839/1796419/6506_Annex%2020_Biodiversity%20friendly%20businesses_07Feb2022.doc

Annex 21: Capacity assessment of local CBOs and businesses

https://pims.undp.org/attachments/6506/217438/1752840/1796420/6506_Annex%2021_Capacity%20assessment%20of%20local%20CBOs_09Feb2022.docx

Annex 22: Knowledge, Attitudes and Practices (KAP) Survey Framework

https://pims.undp.org/attachments/6506/217438/1752841/1796421/6506_Annex%2022_KAP%20survey%20framework_07Feb2022.docx

Annex 23: Estimation of greenhouse gas emissions mitigated

https://pims.undp.org/attachments/6506/217438/1754076/1799561/6506_Annex%2023_Estimation%20of%20GHG_mitigation_31Mar2022.docx

EX-ACT
https://pims.undp.org/attachments/6506/217438/1752844/1796424/6506_Annex%2023_EX-ACT_V9.2_09Feb2022.xlsb

Annex 24: GEF 7 Core Indicator Worksheet

https://pims.undp.org/attachments/6506/217438/1752852/1796438/6506_Annex%2024_GEF7%20core%20indicator%20worksheet_09Feb2022_28Apr.docx

Annex 25: GEF 7 taxonomy

https://pims.undp.org/attachments/6506/217438/1752845/1796425/6506_Annex%2025_GEF7%20taxonomy_31Jan2022.docx

Annex 26: Additional agreements (cofinancing letters)

Ministry of Environment and Forestry of the Republic of Indonesia
https://pims.undp.org/attachments/6506/217438/1754077/1799562/MoEF_s%20Co-financing%20letter.pdf

Labuan Bajo Tourism Authority
https://pims.undp.org/attachments/6506/217438/1752707/1796122/6506_Annex%2027_cofin_letter_Labuan%20Bajo%20Authority_14Jan2022.docx

Burung Indonesia
https://pims.undp.org/attachments/6506/217438/1752707/1796122/016_Co%20financing%20Burung%20Indonesia_UNDP-GEF-rev.pdf

UNDP
https://pims.undp.org/attachments/6506/217438/1753713/1798506/Signed_Inflores_UNDP_Cofinancing%20Letter.pdf

Annex 27: Partner capacity assessment tool and HACT assessment

HACT 2018
https://pims.undp.org/attachments/6506/217438/1752408/1796426/Full%20Signed%20HACT%20Micro%20Assessment%20Report%20-%20MSPCCCD%2000096387%20.pdf

HACT 2017 (for reference)

https://pims.undp.org/attachments/6506/217438/1752408/1795050/2017-10-02%20KLHK%20Micro%20Assessment%20Report.pdf

Annex 28: UNDP project quality assurance report

https://pims.undp.org/attachments/6506/217438/1754080/1799576/Annex%2028%20Project%20Quality%20Assurance%20_draft_.pdf

Annex 29: UNDP checklist for all projects pending GEF approval

https://pims.undp.org/attachments/6506/217438/1752906/1796575/IN-Flores%20GEF%20UNDP%20IDN%20Checklist_PIMS%206506_final%20version.docx.pdf

Annex 30: On-Granting Provisions Applicable to the Implementing Partner

https://pims.undp.org/attachments/6506/217438/1752846/1796427/6506_Annex%2030_On%20granting%20provisions_31Jan2022.docx

Annex 7. Procurement plan (for first year of implementation)

Description	Project Component	Estimated Number of Contracts	Estimated Commencement	Estimated Value Year 1 (USD)	Estimated Value cumulative (USD)	Recruitment Method	Comments
71800: Contractual Services - Implementing Partner							
Admin-Finance Officer, Procurement Assistant	PMC	2	2022 Q4	10,080	236,952	National advert	Services
Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Safeguards Officer, Landscape-Seascape Coordinators (2), Landscape-Seascape Assistants (2), Community Mobilizers (2)	C1, C2, C3	10	2022 Q4	28,800	1,793,376	National advert	Services
71200: International Consultants							
International Safeguards Consultant	C3	1	2023 Q1	9,000	30,000	International advert	Services
International Wildlife Conservation Consultant	C1	1	2023 Q3	9,000	45,000	International advert	Services
International Conservation Finance Consultant	C2	1	2023 Q3	9,000	45,000	International advert	Services
71300: Local Consultants							
Government Liaison Consultant	C1	1 or multiple	2023 Q3	6,000	30,000	National advert	Services
Workshop Facilitator(s)	C1, C2	1 or multiple	2023 Q2	8,250	45,000	National advert	Services
Local Safeguards-FPIC Consultant(s)	C1, C3	1 or multiple	2023 Q1	30,000	82,500	National advert	Services
Local Gender Consultant(s)	C1, C3	1 or multiple	2023 Q1	25,125	75,000	National advert	Services
Wildlife Conservation Consultant	C1, C2, C3	1	2023 Q2	31,500	105,000	National advert	Services
Marine Biodiversity Consultant	C1	1	2023 Q3	15,000	75,000	National advert	Services
Interpreter-Translator	C1, C2	1 or multiple	2023 Q2	10,500	22,500	National advert	Services
Business Development Consultant	C2	1 or multiple	2023 Q2	24,375	112,500	National advert	Services
Conservation Finance Consultant	C2	1	2023 Q3	21,375	97,500	National advert	Services
Legal and Policy Consultant	C2	1	2023 Q3	9,375	37,500	National advert	Services
72100: Contractual Services - Companies							
Carry out participatory assessments to identify and verify high biodiversity value areas (Kawasan Bernilai Keanekaraman Hayati Tinggi) in the West and North Flores landscapes-seascapes	C1	1 or multiple	2023 Q2	80,000	80,000	National advert	Services

Description	Project Component	Estimated Number of Contracts	Estimated Commencement	Estimated Value Year 1 (USD)	Estimated Value cumulative (USD)	Recruitment Method	Comments
sing the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes	C1	1 or multiple	2023 Q2	20,000	20,000	National advert	Services
Conduct Strategic Environmental and Social Assessment (SESA)	C1	1	2023 Q1	20,000	20,000	National advert	Services
Conduct an Environmental and Social Impact Assessment (ESIA) for the project, develop an Environmental and Social Management Plan (ESMP) and other safeguard management plans as warranted	C3	1 or multiple	2023 Q1	40,000	40,000	National advert	Services
Baseline and end-of project KAP surveys	C3	1	2023 Q1	5,000	10,000	National advert	Services
Develop and support KM strategy and action plan	C3	1	2023 Q2	3,000	15,000	National advert	Services
Other							
Financial Audits	PMC	1 or multiple	2023 Q4	5,000	30,000	National advert	Services
IT equipment for PMU	PMC	1	2022 Q4	2,286	2,286	Request for Quotation	Goods
IT equipment for the landscape-seascape coordinators, landscape-seascape assistants, community mobilizers	C2	1 or multiple	2023 Q1	20,000	20,000	Request for Quotation	Goods

Annex 8. Stakeholder engagement plan

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

1. Introduction

Stakeholder engagement supports the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. Effective stakeholder engagement enhances project acceptance and ownership and strengthens the social and environmental sustainability and benefits of supported interventions. UNDP is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all UNDP projects. Effective stakeholder engagement is a cornerstone to achieving sustainable development.[1]

Full and effective stakeholder engagement is one of the six overarching SES policy objectives (SES, para. 3) and seeks to: a) provide meaningful access to dialogue and decision-making in development processes; b) strengthen development results through effective partnerships; c) identify stakeholder priorities to better tailor project activities, opportunities and benefits; d) seek to ensure no one is left behind and disadvantaged and vulnerable project stakeholders have a voice in project development and implementation; d) identify potential constraints and conflicts that could affect project effectiveness; d) ensuring transparency, accountability and integrity; e) learn from and incorporate local knowledge to improve project design and avoid and mitigate; f) project-related risks and impacts; g) provide a feedback and monitoring mechanism to ensure the project is achieving its intended results, and identifies potential unintended consequences.

UNDP has been working with its partners both nationally and locally to develop the IN-FLORES project. A range of stakeholders have taken part in its design and later they will take part in its implementation. The project's ultimate objective is to conserve Komodo dragons and other globally important species across sites with diverse types of land use. The project will apply a landscape management approach to achieve harmonization or synergy among a mosaic of land uses to ensure the protection of the Komodo and other key species. In order to achieve this goal, engagement with stakeholders are all sectors of society is necessary.

This document outlines the guiding and operational principles for stakeholder engagement, the results of stakeholder analysis and stakeholder engagement plan for the UNDP-GEF project: Investing in the Komodo dragon and other globally threatened species in Flores (IN-FLORES).

1.1 Project Overview

The objective of this project is to promote conservation of Komodo dragon and other globally threatened species in Flores through strengthened and integrated management of multiple use landscapes and seascapes. The target landscapes-seascapes in Flores encompass terrestrial and marine protected areas, forest areas (protection forests, production forests convertible forests, and other production areas) and marine areas that have important values for the conservation of the Komodo dragon (*Varanus komodoensis*; IUCN Red List: Endangered EN), the Flores Hawk-eagle (*Nisaetus floris*; IUCN Red List: Critically Endangered CR), Yellow-crested Cockatoo (*Cacatua sulphurea*; IUCN Red List: CR), and other endangered marine and terrestrial species. Studies conducted by the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE) and the Komodo Survival Program show that large numbers of Komodo dragons on Flores Island are located in production landscapes-seascapes and community areas. Therefore, in addition to the emphasis on improving management effectiveness of the Komodo National Park and other protected areas in the target landscapes-seascapes, the project will focuses on enhancing biodiversity conservation in habitats outside protected areas.

There are three main components to the project:

Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management

This component will enhance species management for the island of Flores through protecting forests and other critical terrestrial and marine habitats to preserve the Komodo dragon and other threatened species within the broader multi-

[1] UNDP SES Stakeholder Engagement GN, p.2

use landscapes/seascapes, including protected areas and areas outside it through engagement of diverse stakeholders that are currently under different management regimes. While, the project will support investment to strengthen management effectiveness within existing protected areas, it will concurrently also support the OECM approach for terrestrial and marine habitats outside formal PA system—by addressing the main issues of deforestation and terrestrial and marine degradation throughout Flores. A comprehensive study of the Komodo dragon population will be undertaken to better understand the genetic variability of the Komodo dragon population to identify appropriate management approaches to protect these distinctive populations.

Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape

Component 2 of the project will address the numerous barriers to expand private sector engagement in conservation, in particular to identify appropriate entry points to engage the private sector to recognize the business benefits of good environmental stewardship and the identification of a suite of potential financial instruments to support small-scale economic activity. In addition, this component will support the promotion of community biodiversity-friendly livelihood and business enterprises to avoid biodiversity loss and lead to sustainable natural resources use. Despite its anticipated positive benefits for local economy, challenges such as capacity, skills, access to capital and strong local institutions will need to be addressed.

Component 3: Knowledge management, safeguards management, and project monitoring & evaluation

Under this Component, GEF funds will support Communications and Gender Mainstreaming strategies. In order to increase the level of awareness on OECMs and threatened species conservation following an initial assessment of level of awareness through a KAP survey, the project will design communication plans, support knowledge exchange through the development of a Komodo platform and Komodo knowledge center.

1.2 Methodology

Data Collection and Analysis

Stakeholder engagement activities during project preparation was conducted from August until January 2022, ranging from meetings with stakeholders at national level in Jakarta to meetings with stakeholders at the community level in the two targeted landscapes in Flores. In total, there were at least 287 people (208 male, 79 female) who took part in the IN-FLORES project preparation, representing 9 Ministries, 30 regional government offices at province and districts, 12 villages, 5 private sector entities (including two banks), four CSOs, one UN agency, two universities and the Indonesian Zoo Association. (Refer to annex 9)

Field consultations were delayed until November 2021 due to COVID-19 related travel restrictions in September and October 2021. Hence the amount of time to carry out field consultations was limited. Community level consultations in three locations – Riung, Pota and Longos Island involving a total of nine villages out of the twenty one villages that may be part of project activities. Based on these considerations, the Baar adat community was chosen in Ngada, (Sambinasi and West Sambinasi villages), mixed ethnicity villages in Pota (sub-district of Pota, villages of Nampar Sepang, Nanga Mbaling, Nanga Baras and Nanga Mbaur) in East Manggarai, and Longos Island (Pontianak and Nanga West Kantor) in West Manggarai. The nine communities visited for consultation attempted to capture the social diversity at the village level by consulting with one *adat* community and the remainder being mixed communities where the people are from diverse ethnic and social backgrounds. This was followed up by two further pre-FPIC consultations with Adat communities in Lengkosambi village, Riung Sub-district, Ngada District) where a number of *Adat* communities are living: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu in late June 2022. Finally, a pre-FPIC consultation meeting was held with the Tadho *Adat* community in Tadho village (Riung Sub-district, Ngada District).

The selection of these villages is expected to represent the characteristics, interests and aspirations of the communities where the Komodo is present. At the district and provincial levels, participation by government agencies was good, but there were instances where stakeholders could not attend. In those instances, data and information are based only on the results of document analysis.

Stakeholder Engagement and Covid-19

Restrictions on travel and social distancing rules affected work productivity since not all issues can be addressed online, especially with regards to community level activities. Stakeholder consultations took into account the restrictions imposed and adjusted conventional methods whenever needed.

Based on the intensity and spread of COVID-19, the availability of communication infrastructure and information technology literacy, the stakeholders can be classified into the several groups. The classification helped us to choose the appropriate yet effective method to deliver consultation. Different strategies have to be used to approach a variety of stakeholders with different challenges as presented in Table 2.

Table 2. Stakeholder Consultations and COVID-19

No	Stakeholder Group	Level of Covid-19 infection	Rate of Covid-19 spread	Availability of technology	Communication technology literacy	Priority communication platform
1.	National	High	High	High	High	Online
2.	Province	Medium	Medium	High	High	Online
3.	District	Medium	Medium	Medium	Medium	Hybrid, Offline
4.	Village / Community	Low	Low	Low	Low	Offline, face to face

2. Regulatory Framework

Development program and activities need to adopt measures to ensure the meaningful, effective and informed stakeholder engagement in the design and implementation. Effective stakeholder engagement is fundamental to achieving sustainable development, and applying the principle of 'leave no one behind' in combatting inequality and ensuring equity and non-discrimination across all programming areas. Advancing human rights-based development and achieving development target such as SDGs requires the full and effective participation of not only government agencies (national and local), but also civil society actors and organizations, indigenous peoples, local communities, the private sector and other key stakeholders.

The rights of citizens to information, freedom of expression and participation are guaranteed in key international human rights instruments, principles and numerous decisions of international bodies. Article 19 of the Universal Declaration on Human Rights guarantees the freedom of expression and the right to seek, receive and impart information and ideas. In addition to that, article 25 of the International Convention on Civil and Political Rights guarantees the right of all citizens to participate in the conduct of public affairs, while article 5(c) of the International Convention on the Elimination of All Forms of Racism guarantees all the right to participate in public life without discrimination. In more specific, articles 3 and 29 of the Convention on the Rights of Persons with Disabilities affirms the rights of persons with disabilities to full and effective participation in the conduct of public affairs.

In addition to international conventions that guarantee the rights of citizens to information, freedom of expression and participation, national laws affirm the rights of citizens to public information and participation in matters related to public affairs. Law 14/2008 on Public Information Disclosure guarantees the right of the citizen to obtain information in accordance with the laws and regulations. The law adopts the principle that the more open the state administration is to public scrutiny, the more accountable it will be. The right to obtain information is also relevant to improving the quality of public participation in decision-making process, and that public participation does not mean much without the guarantee of public information disclosure. The law provides the legal basis for, amongst others: a) the right to obtain public information in accordance with the provisions of this law; b) The right to: view and know public information; attend public meetings that are open to the public to obtain public information; obtain a copy of public information through an application in accordance with this law; and/or disseminating public information in accordance with the laws and regulations.

Sectoral laws such as, among others, include the Law on Water Resources 17/2019, Forestry Law 41/1999 and Conservation Law 5/1990 acknowledge the rights of citizens to information and participation. Such laws guarantee rights to information and to be involved in the consultation regarding particular development projects or activities in the concerned sector. Meanwhile, the citizen's right to information regarding and to participate in the drafting of law and regulations is also guaranteed. Regulation 11/2021 of the Ministry of Law and Human rights further details the basic principles and requirements for the implementation of public consultation during formulation and legislation of laws and regulations.

This Stakeholder Plan will be further refined following the ESIA process to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures. The Project Stakeholder Engagement Plan will be updated during project implementation based on the ESIA report and the ESMP produced. Specific stakeholder consultations will be held to ensure that the ESIA process is conducted in a useful way that results in widely accepted ESIA report and ESMP. Particular attention will be paid to inclusion of women, girls and marginalized groups. As part of the stakeholder engagement process, UNDP's SES requires that project stakeholders have access to relevant information.

3. Summary of stakeholder engagement activities carried out during project preparation

As noted above, the stakeholder engagement plan is based on consultations that began in August 2021. Consultations took a number of formats: one-on-one meetings, interviews, focus group discussions (FGDs), and workshops. All the information was delivered in Bahasa Indonesia which was understood by all stakeholders at all levels.

At the national level in Jakarta, meetings mainly took the form of one-on-one or FGDs. At the provincial level one-on-one meetings were head; whereas at the district government level the main format was FGDs and were conducted in the capitals of the district; Labuan Bajo, Borong, and Bajawa respectively. For stakeholders at the community level, FGDs were conducted in the village, taking into consideration the equal access for all participants. For example, Ruki was chosen for the communities of Sambinasi Barat and Sambinasi in Ngada District. Pota was selected as the meeting point for five villages in Pota Sud-district and Sambi Rampas sub-district of East Manggarai District. Finally, Longos island was chosen for Nanga Kantor Barat and Pontianak Village of Macang Pacar and Boleng Sub-district in West Manggarai. Many issues were raised and discussed during project preparation that need to be considered during project implementation. Topics discussed during field visits in November 2021 are documented through minutes, matrixes and tables, photos, and videos. https://www.youtube.com/channel/UCr9Ftss3DoLnkAskTx5KlPg/videos

Regarding consultations with Adat communities, the PPG team met with the Baar Adat community in Sambinasi and two villages (Kas and Perepa) in East Manggarai District in November 2021. This was followed up by a workshop with the Flores office of the Indigenous Peoples' Alliance of the Archipelago (AMAN) which is an independent civil organization of which members are from Indigenous Peoples communities around the Indonesian archipelago. The meeting took place on 15 March 2022 in Ende, Flores. The meeting was attended by representatives of Adat communities in Flores. Please refer to Annex 9 for the minutes of meetings with both the Baar community and AMAN. AMAN is not well-known amongst the Adat communities in Flores. Due to limited capacity, the organization will only get involved in *Adat* related issues that are brought to its attention. In the case of IN-FLORES, an AMAN representative attended the project launching. The INFLORES project is an opportunity for AMAN to interact with these *Adat* communities and increase their network.

Table 3 below is a summary of all the stakeholder consultations that took place beginning in August 21 until January 2022. During the stakeholder consultations a number of issues were raised for further consideration as presented in Table 3 on the following page:

Table 3. Key findings of stakeholder consultations

No	Category	Summary of key findings
1.	Development risks	• Road development plan in the proposed northern land-seascape (Pota) and western land-seascape (Golo Mori, Nanga bere). Target for construction is 2022. • Land acquisition took place mainly in the villages near the road development plan both in the northern and western land-seascape. Unfortunately, some of the villages are near the conservation areas, i.e. Wae Wuul Nature Reserve, or Komodo habitat areas. • Threat of land claiming in the conservation areas in relation to the development plan for Flores • The BPOLBF (Labuan Bajo Flores Tourism Authority) is aware about the Komodo present outside of conservation areas in Flores and will consider to avoid the tourism development plan disturbing the Komodo habitat both in northern and western land-seascapes. The BOPLBF agreed to build a green corridor model to conserve the Komodo habitat areas. • Ministry of Villages, Development of Disadvantaged Regions, and Transmigration constructed a Rest Area in the Komodo range in Pota • There is a proposal from the district government of East Manggarai to change the trajectory of the road in Pota – the changes will be made to safeguard the Komodo (contradicts the plan for the rest area)
2.	Komodo Dragon Conservation in	• Adequate capacity of national park staff for Komodo monitoring, patrol, and conflict resolution. The park has a well-trained staff specifically for Komodo monitoring called "Team 7".

No	Category	Summary of key findings
	National Park and Conservation Areas	• Good collaboration between the Komodo Survival Program (KSP) and the Komodo National Park and BBKSDA NTT in terms of Komodo monitoring and capacity building. • The Komodo National Park was regularly involved in the PUPR (Ministry of Public Works and Public Housing) and local government meeting related to the Special Economic Zone or KEK development plan in Flores. • Request for equipment for Komodo monitoring and study from the Komodo National Park and BBKSDA NTT. • Request for capacity building for the staff in the Komodo National Park and BBKSDA NTT.
3.	Komodos Outside of NPs and PAs	• Lack of Komodo and other key species monitoring implementation outside of Komodo National Park and conservation areas in Flores carried-out by the management authority, i.e. BBKSDA NTT. One of the reasons was related to the annual budget of only USD 3,000 for Komodo monitoring in all Komodo habitats inside and outside of conservation areas. • At the planning level, for the most part, biodiversity is not taken into account in planning processes at the village, district and provincial levels. • Komodo is not bringing any economic benefits to all villages and district governments consulted. But all agree that there are possibilities. • Mitigation of human wildlife conflict is needed as well as to increase knowledge and capacity of local stakeholders related to this issue.
4.	Tenure Issues	• Some of the *Adat* people in villages in the northern land-seascape do not trust the local government and BBKSDA NTT/MoEF due to the land tenure issues. • Land tenure cases in Riung include: (1) PA area disputes (Kampung Damu already had land certificate prior to the PA Riung being established; (2) investors came to Riung and the community linked the issue of tenure with the investors, they suspect the investors want to buy land in Riung; (3) there is a cooperative in Jakarta that has requested a permit from Directorate General KSDAE to use land in Watumitong, Riung • CA Riung includes the Kampung Damu and Watumitong within its boundaries. The community wanted Kampung Damu to be taken out from CA, since they already had land certificates prior to the CA declaration. But, they are worried, if Watumitong is taken out from the CA, then it will be occupied by the investors.
5.	Village Related	• Strong *Adat* land rules in some villages in the northern land-seascape so there is a need to work through the *Adat* system • Lack of trust from the adat people in some villages in the northern land-seascape due to the local government and BBKSDA NTT/MoEF because of the land acquisition case. • Community's main focus in Pota is agricultural development. Pota is the "granary" (rice, corn) of the district and even for other districts -heavy use of pesticides for agriculture • In the north – indications of illegal bird trade, cases of illegal Komodo trade in the past • Western landscape – in Longos: there are two main ethnic groups, Bajo (Sulawesi) and Bima (Sumbawa). The community's main livelihood is fishing. • Community distrusts the MoEF due to bad experience with being excluded from fishing around Rinca and Komodo islands.
6.	Gender	• Limited understanding about gender at district levels • Traditional gender roles at the village level • Women are not involved in Komodo mitigation activities • Women are active in livelihoods and family financing – entry points to broaden participation • In Ngada, previously had a gender working group (gender budgeting) group, but is no longer operating. • At district and village level – gender understanding is limited to quantitative aspects, that is, the number of men and women.
7.	Captive breeding	• Potential to do captive breeding of deer (Rusa Timor) implementation by local community to support Komodo conservation. • The village is doing this themselves.
8.	Knowledge Development	• Awareness about the presence of the Komodo outside the NP varies. In some areas there is a lack of awareness and understanding from the local stakeholders about the Komodo dragon outside of the national park. • Facilitation at the village level is important to reduce Human-Wildlife conflicts. • Awareness about biodiversity values is low.
9.	Inclusion of Adat communities	• Based on initial FPIC consultations conducted during the PPG phase in November 2021, one of the Adat communities (Baar) confirmed their interest in the project and also provided information regarding earlier issues. • The AMAN association confirmed their interest (and mandate) to participate on the multi-stakeholder landscape-seascape platforms, as well as represent individual communities on as-needed basis during consultations on March 15 2022.

4. Project Stakeholders – Mapping and Analysis

According to Guide Note UNDP Social and Environmental Standards (SES), 2020, stakeholders are persons, groups, or institutions with an *interest* in the project or the ability to *influence* the project outcomes, either positively or negatively. Stakeholders may be directly or indirectly affected by the project. The range of potential stakeholders is diverse and may include target beneficiary groups, locally affected communities or individuals, national and local government authorities, civil society actors, including non-governmental organizations (NGOs) (both domestic and at times international), indigenous peoples, politicians, religious leaders, the academic community, private sector entities, worker organizations, UN agencies and donors, and other special interest groups. Importantly, stakeholders may include groups opposed to proposed interventions. The "stake" that each of these different groups has in the project will vary.[2]

Stakeholder Analysis

The parties involved in the IN-FLORES project can be grouped into 6 broad categories: 1) implementing and executing agencies; 2) government departments and agencies (national, provincial, district and village levels; 3) *Adat* and local communities, youth groups, farmers and fisher folk; 4) NGOs or civil society organizations; 5) private sector and; 6) research institutions and/or academic institutions. The direct stakeholders are considered as first priority for the engagement program. This group includes: KSDA, KNP, KPP and AMAN. These are the stakeholders who have the greatest interest and influence on the project. They will be involved in all stages of the project. The indirect stakeholders include: District Planning Agency, Forest Management Unit (FMU), District Environmental Agency, related ministries, religious leaders, PUPR, BPN and the BPOLBF; district agency for village empowerment, Cooperatives and Medium and Small Enterprises; District Agencies for fisheries, agriculture and livestock; District Disaster Mitigation Body (BPBD), The Indonesian Tourist Guide Association (HPI), Association of The Indonesian Tours and Travel Agencies (Asita), Indonesia Hotel and Restaurant Association (PHRI), Village Government Business Unit (VBU), Village Tourism Group (VTG), Village Mentors, JPIC, Yakines (NGO) and World Vision International (WVI). Further discussion of the interests of these agencies/organizations is discussed after Table 4.

Table 4. Key Project Stakeholders

Stakeholders	Expected role in the project
Implementing Partner (Executing Agency)	
Ministry of Environment and Forestry (MoEF)	The MoEF, through the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE), will be the Implementing Partner (Executing Agency) for the project. The Director General of KSDAE will serve as the executive function on the Project Board, chairing the board meetings. The Project Management Unit (PMU) will be established in the Directorate of Biodiversity Conservation (KKH) in KSDAE. The Director of KKH will be the National Project Director, having overall responsibility of the project and facilitating collaboration among other directorates and departments of the ministry. The PMU will include a Project Manager, who is also Deputy Director of the KKH, who will be responsible to oversee the day-to-day operations of the project. Representatives of the KKH will participate in the multi-stakeholder coordination platforms for the two target landscapes-seascapes, and be closely involved in the project activities. The MoEF is also one of the project's governmental co-financing partners.
GEF Agency	
UNDP	The UNDP will serve as the GEF Agency for the project, with the Deputy Resident Representative acting as Development Partner function on the Project Board, ensuring global environmental benefits are generated as planned. The UNDP will also deliver project assurance, overseeing the effective and efficient implementation of the project. And the UNDP is one of the project's co-financing partners.

[2] Guide Note UNDP Social and Environmental Standards (SES) Stakeholder Engagement, 2020, p. 5

Stakeholders	Expected role in the project
Local and *Adat* Communities	
Local and *Adat* Communities	The local and *Adat* communities in the target landscapes-seascapes are among the primary project beneficiaries. Based on 2021 demographic data, there are 31,872 people living in the 21 villages that have been designated for potential interventions, including establishment of OECMs. The estimated 2,500 direct beneficiaries in the project are mainly from these villages (other direct beneficiaries include management and staff of PA management entities). Local and *Adat* communities will be represented on the multi-stakeholder coordination platforms established for the two target landscapes-seascapes, and will have a leading role in the community-based OECM governance committees/mechanisms under Output 1.3. It is expected that at least one OECM will be established on *Adat* land so they will be leading the management of the OECM. Local and *Adat* communities will have opportunities to be involved in the biodiversity-friendly livelihood activities under Component 2 particularly Outputs 2.3 as well as the nature education and awareness raising events in Component 3.
Women and other vulnerable groups	To address the under representation of women and the lack of participation and access to human and natural resources by vulnerable groups, the project plans to empower women and vulnerable groups with training in entrepreneurial activities for rrying out their sustainable livelihoods, promote knowledge and awareness about their human and legal rights so that they can emerge with strong leadership qualities and tackle the discrimination against them.
Other national ministries and entities	
Natural Resources Conservation Agency-East Nusa Tenggara (BBKSDA-NTT)	The BBKSDA-NTT is one of the key stakeholders and beneficiaries of the project. The agency is responsible for the national level protected areas in NTT Province, including the following ones located in the target landscapes-seascapes: Wae Wuul Nature Reserve, Riung Nature Reserve, Wolo Tadho Nature Reserve, and the Tujuh Belas Pulau (17 Islands) Nature Recreation Park. The North Flores Landscape-Seascape Project Implementation Unit (PIU) will be set up at the BBKSDA-NTT office in Riung. They will be heavily involved in all three components of the project. Through governmental co-financing contributions, the BBKSDA-NTT will nominate a Landscape-Seascape Director and Gender-Social Inclusion Focal Point. GEF resources will cover the North Landscape-Seascape Coordinator, Landscape-Seascape Assistant, and Community Mobilizer. Representatives of the BBKSDA-NTT will participate in the multi-stakeholder coordination platforms that are to be setup in Outputs 1.1, be involved in the development of the integrated ecosystem management frameworks in Out 1.2 and help facilitate collaboration with other stakeholders in the target landscapes-seascapes. The PA's under the BBKSDA-NTT be involved in the establishment of OECMs with neighboring communities, e.g., through wildlife corridors, improved buffer zone management, etc. The PA's will be benefit from improved management and monitoring capacities, as well as strengthened financial sustainability under Outputs 2.1 and 2.2.
Komodo National Park (KNP)	The KNP is one of the key stakeholders and beneficiaries of the project. Based on the baseline METT assessment, the KNP has 65 permanent and 56 temporary staff. The West Flores Landscape-Seascape Project Implementation Unit (PIU) will be set up at the KNP Management Office in Labuan Bajo. Through governmental co-financing contributions, the KNP will nominate a Landscape-Seascape Director and Gender-Social Inclusion Focal Point. GEF resources will cover the West Landscape-Seascape Coordinator, Landscape-Seascape Assistant, and Community Mobilizer. Representatives of the KNP will participate in the multi-stakeholder coordination platforms, be involved in the development of the integrated ecosystem management frameworks, and help facilitate collaboration with other stakeholders in the target landscapes-seascapes, including the West Manggarai District Government under Output 1.2. The KNP will also be involved in the establishment of OECMs with neighboring communities, e.g., through wildlife corridors, improved buffer zone management, etc under Output 1.3. The KNP will benefit from improved management and monitoring capacities, as well as strengthened financial sustainability under Output 2.2.
Ministry of Marine Affairs and Fisheries (MMAF)	The MMAF is responsible for the management of the Sawu Sea Marine Protected Area, which partly extends into the West Flores project landscape-seascape. The project will engage with the Kupang-based National Marine Conservation Center, an entity of MMAF based in NTT Province that oversees the management of the Sawu Sea MPA. A representative of the Kupang National Marine Conservation Center will be invited to participate on the multi-stakeholder coordination platform for the West Flores landscape-seascape to be set up under Output 1.1. The center will also be engaged in the development of the integrated

Stakeholders	Expected role in the project
	ecosystem management frameworks, help facilitate collaboration with Marine and Fishery Agency of NTT Province and the fishery agencies in three districts, involved in capacity building activities, and strengthened engagement with local and *Adat* communities.
Other ministries	
Ministry of Village, Development of Disadvantage Regions and Transmigration (Kemendes-PDTT)	Kemendes-PDTT will provide support in terms of capacity building program for village government, village mentoring program. They are responsible for formulating policy and regulations to support the Village Fund that is allocated by the central government. This will be a potential source funding under Output 2.3 to support livelihood and business models. Also, they will support community business development through village business unit (BUMDES) and Village Tourism Program under Outputs 2.3 and 2.4.
Ministry of Cooperative, Micro, Small, Medium Size Enterprises (Koperasi, UMKM)	The Ministry will support community business development especially in accessing business capital. They will provide capacity building for community entrepreneurship development under Outputs 2.3 and 2.4.
Ministry of Public Works and Public Housing (PUPR)	Collaboration with PUPR is important to ensure that they integrate ecological considerations into their infrastructure development program. This is to ensure that planned road construction does not fragment Komodo dragon habitats. The Ministry will collaborate with the project under Outputs 1.2 and 1.4.
Provincial and Local Government Units	
Labuan Bajo Flores Tourism Authority (BPOLBF)	Under Output 2.4, the BPOLBF will collaborate with the project on strengthening ecotourism experiences into the Integrated Tourism Development Plan for the Komodo National Park and Labuan Bajo, as well as developing capacities of local tourism operators, and expanding conservation finance in the region. Representatives of BPOLBF will also be invited to participate in the multi-stakeholder coordination platforms proposed under Output 1.1 of the project. BPOLBF is also one of the project's co-financing partners.
NTT Environmental Forest Agency, and Forest Management Units	The NTT Environmental Forest Agency is responsible for the management and restoration of forest resources in NTT Province. The agency also oversees Forest Management Units (FMUs) in NTT, including the five located in the target landscapes-seascapes: FMU I West Manggarai, FMU II Manggarai, FMU III East Manggarai, FMU IV Ngada, FMU V Nagekeo. As one of the main land managers, the FMUs will have an important role to play in the protection of HBVAs, including Komodo dragons for the long-term. The agency will be a member of the of multi-stakeholder coordination platform in each of the landscapes under Output 1.1. It is expected that OECMs will be established in their area of operations under Output 1.3. To achieve this however, it will be important to strengthen their technical and financial capacity under Outputs 1.1, 1.2, 1.4 and 2.3.
NTT Provincial Government	Provides overall policy support to ensuring the success of the project. Their role will be important for ensuring the long-term sustainability of the two landscape platforms, particularly under Outputs 2.1 and 2.2.
Provincial Development Planning Agency (Bappeda), NTT	The Provincial Bappeda will be a member of the multi-stakeholder coordination platforms under Output 1.1 as they have a key role to play in program coordination among provincial agencies within NTT provincial government. This will allow them to facilitate integration of biodiversity conservation in the NTT province development plan under Output 1.2. Under Output 2.1 Bappeda will support the development of financial strategies for each of the three districts in the project landscapes, in line with the environmental and socioeconomic development priorities of the districts. In collaboration with Finance Agency, allocate budge to support program implementation in related agencies. Also, under Output 2.4 they will work with Labuan Bajo Flores Tourism Authority (BPOLBF) in coordinating programs and fundraising.
District Development Planning Agencies (Bappeda)	The district level Bappedas in the four districts in the target landscapes-seascapes include West Manggarai, East Manggarai, Ngada, and Nagekeo. They will be members of the multi-stakeholder coordination platform under Output 1.1 (West Mangarai in the West Flores landscape-seascape and East Manggarai, Ngada, and Nagekeo in the North Flores landscape-seascape) as they have a key role to play in program coordination among district agencies. Each Bappeda will facilitate the integration of biodiversity conservation into their respective district's development plan under Output 1.2. Under Output 2.1 Bappeda will support the development of financial strategies in line with the environmental and socioeconomic development priorities of the districts. Similar to the Provincial Bappeda, the district Bappedas will coordinate with the BPOLBF on programs and fundraising under Output 2.4.

Stakeholders	Expected role in the project
District Tourism Agencies	There are Tourism Agencies in each of the three project districts: West Manggarai, East Manggarai and Ngada. Participation in the multi-stakeholder coordination platforms under Output 1.1 will allow them to coordinate with a range of stakeholders. They will work with tourism business associations to develop tourism concession guidelines under Output 2.2 and under Output 2.4 work with the BPOLBF on tourism plans and an Ecotourism Code of Practice.
The district agency of Village Development and Women Empowerment	They agency will work with village governments and communities to ensure that gender is mainstreamed into project activities. They will work with women's empowerment programs and capacity building under Outputs 1.1. In particular, support the development of sex-disaggregated data and appreciation for gender issues that would make it easier to plan and evaluate for gender-based improvements. Under Output 2.3 they will work with the project to ensure that there is training for women's groups, youth organizations, people with disabilities, and other marginalized groups in topic such as financial management for business development.
Village Governments	The village governments will bring together local leaders (*Adat,* religious, youth, and women) to build support for the project. As some of the OECMs will be on community lands, the village government will take a lead role in identifying the location of the OECMs in the community under Output 1.3. In developing the community based businesses, under Output 2.3, the village governments will facilitate trainings and identification of possible businesses. The villages will play an important role in ensuring sustainability once the project ends by allocating budgets to support the OECMs for the long term. In addition, the village planning process will be an entry point to integrating gender into the village programs which is part of Output 1.1.
Non-governmental organizations (NGOs)	
NGOs	There are several opportunities for national and local NGOs to be involved in the project, e.g., participating in multi-stakeholder coordination platforms under Output 1.1, providing inputs to the intersectoral ecosystem management frameworks, facilitating the screening and establishment of OECMs in Output 1.3, participating in biodiversity monitoring and surveys under Output 1.4 arranging public awareness events, providing capacity building, delivering training to local communities on sustainable livelihood options under Output 2.3. For direct execution of specific project activities, NGOs will be invited through competitive bidding processes. Some of the active NGOs in the target landscapes-seascapes are described below. The Komodo Survival Program (KSP): The foundation was established in 2007 and is specifically dedicated to research and conservation of Komodo dragons in the Komodo National Park and on Flores Island. KSP has 7 staff that conduct research on the Komodo and work with local communities on addressing human-wildlife conflicts. The organization is assisted by 2 advisers with extensive experience in Komodo dragon conservation. Their programming work is supported by a number of overseas organiz ations such as the Zoological Gardens and Conservation Organizations, including the Association of Zoos and Aquariums, European Association of Zoos and Aquaria, Ocean Park Conservation Foundation Hong Kong, and Chester Zoo. In the stakeholder Matrix below, all of these organizations are grouped under the World Association for Zoos and Aquariums (WAZA). Burung Indonesia: Burung Indonesia has been working in Flores since 1997. The organization's "Sustainable and Integrated Management of Mbeliling Forest" program is strengthening the conservation and sustainable livelihood capacity of Conservation Development Groups members in 27 villages surrounding the forest area with funding from DANIDA. Burung Indonesia has been working in Mbeliling (including Warloka Village, Golo Mori Village, Nangabere Village) since 2007. Burung Indonesia also supports BBKSDA-NTT's to survey bird populations including the Flores hawk-eagle and the Yellow crested cockatoo on Flores island. In addition, there are two local NGOs that are already working in certain villages in the project location: The Komodo Indonesia Lestari Foundation (Yakines) based in Labuan Bajo has worked in Golo Mori and Nangabere villages on sustainable agriculture issues. Finally, Justice, Peace, and Integrity of Creation SVD (JPIC-SVD)Ruteng has worked in the Pota area and its surroundings for community economic development and sustainable natural resource management.
Adat Organizations	
AMAN (*Adat* Peoples' Alliance of the Archipelago - *Aliansi Masyarakat Adat Nusantara*)	AMAN will be invited to be a member of the multi-stakeholder coordination platforms under Output 1.1 providing advice to the project on *Adat* communities in Flores and on the FPIC process under Output 1.1. They may contribute to supporting efforts to developing OECMs on *Ada*t lands under Output 1.3. AMAN will work with the project in identifying other *Adat* communities that may be living in the project area.
Scientific Institutes	

Stakeholders	Expected role in the project
Scientific Institutes	There are several scientific institutes that will be engaged in the project. Some examples include the Indonesian Institute of Sciences (LIPI), Nusa Cendana University, Tourism Polytechnic El Commodus, and the World Association of Zoos and Aquariums. These stakeholders will be invited to provide inputs, as well as execute specific activities through competitive bidding process, e.g., for the developing biodiversity guidelines (Output 1.2), delivering training on emerging monitoring and biodiversity survey approaches (Output 1.4), organizing learning exchanges (Output 2.1), participating in scientific forums (Output 3.3), conducting a study on the potential impacts of climate change on globally threatened species in the target landscapes-seascapes (Output 3.3), and carrying out an analysis of the risks and opportunities associated with captive breeding of Komodo dragon and other species (Output 3.3).

Stakeholders are analyzed to identify their interests in the project and the ways in which these stakeholders may influence the project's outcomes. An understanding of power relations and potential alliances and conflicts among stakeholders is necessary for planning stakeholder engagement throughout the project cycle. Based on such analysis the stakeholders can be categorized into 4 groups:

1. **Stakeholders with high influence and high interest (Group I, Quadrant 2)**
   This group of stakeholders consists of local communities (customary communities, youth groups, farmer groups, women's groups and fisherfolk) and village governments. They are the direct stakeholders that are considered as first priority for the engagement program. This group also includes government agencies such as KSDA, KNP, KPP, community groups such as farmer groups, fisher groups and AMAN. This group of stakeholders is to be **managed closely**. These are the stakeholders who have the greatest interest and influence on the project. They will be involved in all stages of the project.

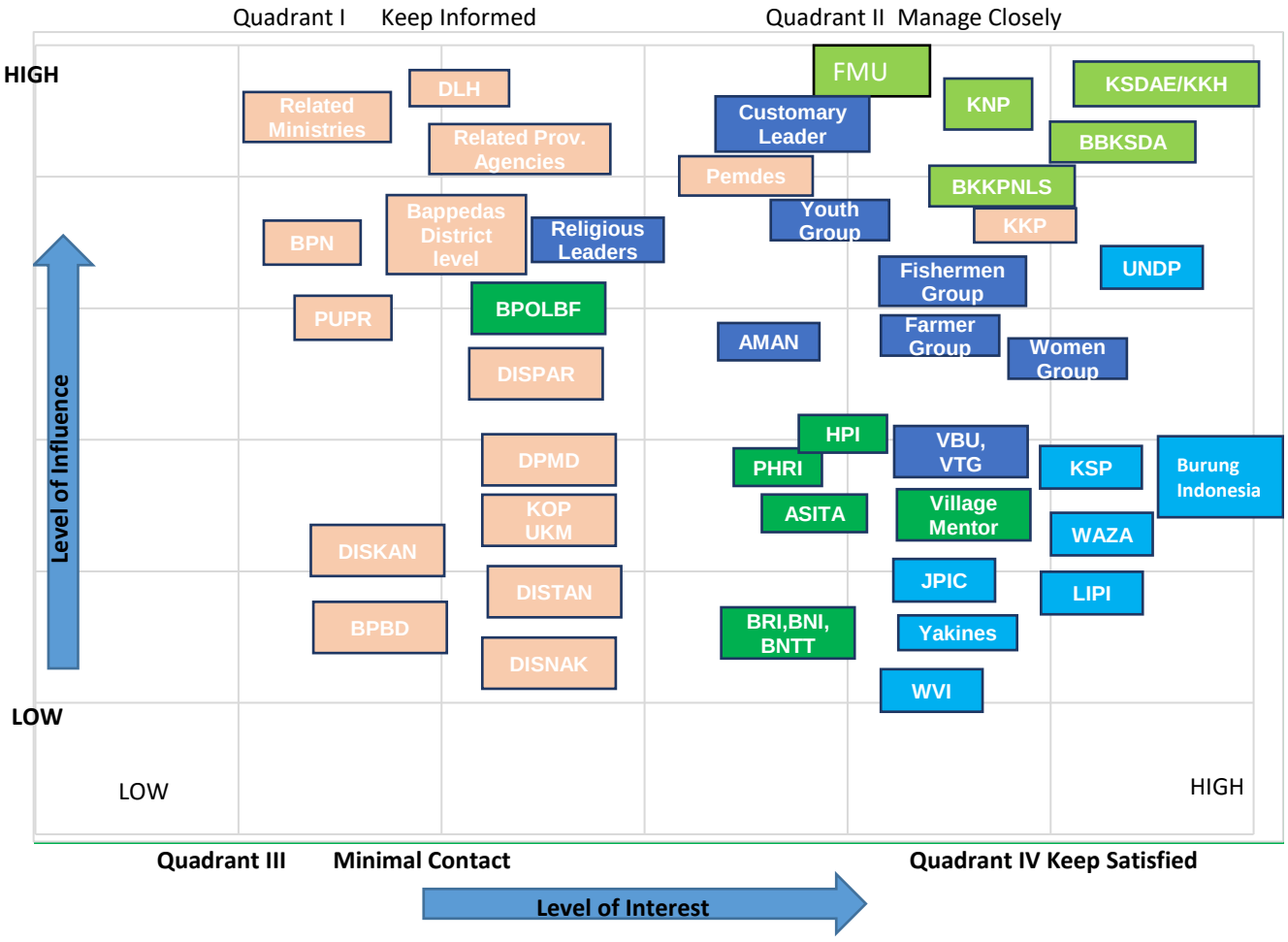
2. **Stakeholders with high influence but low interest (Group II, Quadrant I)**
   This group of stakeholders consists of government agencies that have influence in determining project implementation and affecting the targeted achievements. They have development programs in villages that are not specifically related to biodiversity conservation. This group includes: District Planning Agency, Forest Management Unit (FMU), District Environmental Agency, related ministries, religious leaders, PUPR, BPN and the BPOLBF. This group of stakeholders are indirect stakeholders and are to be **kept informed**. These people tend to be the users of the project and wield influence but their interest may be lower than those stakeholders in Group I.

3. **Stakeholders with low influence and low interest (Group III, Quadrant III)**
   This group of stakeholders generally consists of the district government agencies which have development programs in villages but are not directly and specifically related to biodiversity conservation. This group includes: district agency for village empowerment, Cooperatives and Medium and Small Enterprises; District Agencies for fisheries, agriculture and livestock; District Disaster Mitigation Body (BPBD). This group of stakeholders is to be **monitored**. There is less influence and interest in this group; as indirect stakeholders provide them with the minimum amount of communication and updates.

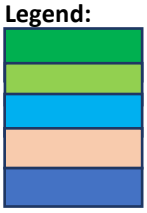
4. **Stakeholders with low influence but high interest (Group IV, Quadrant IV)**
   This group of stakeholders generally consists of Non-government Organization and the private sector. They have high interest regarding the project in terms of biodiversity conservation or community development but they don't have adequate influence in giving intervention to the implementation of project. This groups includes: The Indonesian Tourist Guide Association (HPI), Association of The Indonesian Tours and Travel Agencies (Asita), Indonesia Hotel and Restaurant Association (PHRI), Village Government Business Unit (VBU), Village Tourism Group (VTG), Village Mentors, JPIC, Yakines (NGO) and World Vision International (WVI) and Burung Indonesia. This group is to be **kept satisfied**. They may not be as interested, but they are influential as indirect stakeholders. They also need regular updates and obtain feedback from them on project decisions.

The stakeholders and their level of interest and influence is mapped out on the matrix below.

Matrix 1: Stakeholders and Level of Interest



Legend:



Government, SOEs, the private sector and their associations
Government agencies that will be directly involved in project implementation
NGOs and research institutes
Government agencies that are not directly involved in project implementation
Village based groups and organizations

5. Stakeholder engagement methods

Capacity Development

Building capacity is one of the key aspects of the project, both at the institutional and individual levels. Capacity building activities will include learning-by-doing on project-supported interventions, organized trainings for development of specific technical and financial management skills, stakeholder workshops, and networking with potential enabling partners. Women, youth, *Adat* communities, and other vulnerable groups will be prioritized in the capacity building initiatives. Trainings will be a mix of face-to-face (workshops, cross visits, FDGs) and webinars.

Project Knowledge Management and Communications

The project will develop, implement and annually update a knowledge management and communications plan to ensure that stakeholders are informed on an ongoing basis about the project activities, overall project progress, and the opportunities for stakeholders' involvement in various aspects of the project's implementation.

Online and social media platforms will be utilized for disseminating information and knowledge products, allowing flexible and timely communication with stakeholders and mechanisms for receiving timely feedback. In those areas where the internet may be inaccessible, the community mobilizers will be responsible for disseminating information and ensuring that feedback from meetings for example are addressed.

Engagement with other projects and initiatives

The effectiveness and durability of the innovative approaches demonstrated on the project will be dependent upon establishing enduring partnerships with other projects and initiatives. Opportunities with governmental, private sector, and donor and private sector partners will be facilitated throughout the project implementation phase.

6. Means of Engagement with Stakeholders Groups

The project will facilitate long-term stakeholder engagement, with a special emphasis on the active participation of women, *Adat* communities, youth and other vulnerable groups, and enhancement of multiple stakeholder and cross-sectoral coordination for achieving project objectives, outcomes and outputs.

Capacity building – at systemic, institutional and individual levels – is one of the key strategic interventions of the project and will target stakeholders that have the potential to be involved in implementation of the project, including demonstration activities at the landscape-seascape level. Women, youth and Adat communities in the project landscapes-seascapes will be proactively invited for capacity building activities.

Communication - will include the participatory development of knowledge management and communications plan. The knowledge management and communications strategy will be based on the following key principles:

- providing information to stakeholders;
- promoting dialogue between stakeholders;
- and promoting access to information.

Due to the nature of the activities, the project will use various methods of engagement to ensure continuous interaction with the stakeholders. For the engagement process to be effective and meaningful, a range of various techniques needs to be applied that are specifically tailored to the identified stakeholder groups. As various specific stakeholders are being identified, methods used for consulting with government officials or private sector businesses may be different from a format of liaising with the local communities, interested groups and international stakeholders. The format of every consultation activity should meet general requirements on accessibility, i.e. should be held at venues that are easily reachable and do not require long commute, entrance fee or preliminary access authorization, cultural appropriateness (i.e. with due respect to the local customs and norms), and inclusiveness, i.e. engaging all segments of the local society, including disabled persons, the elderly and the adat community.

Information can be delivered through various methods such as meetings, discussions, workshop, sensitization, etc. Information material can be packaged in form of report, video documentary, leaflet, brochure, billboard, and other appropriate communication media. This material will presented in Bahasa Indonesia, which is understood by all stakeholders However, there may be certain areas where the materials will have to be translated into the local language.

Marginalized groups such as women and youth will be given specific access in terms of this engagement program. They must be engaged specifically to ensure that their aspirations and representatives considered and accommodated in project implementation. Specific meeting will be conducted for women and youth to find out their needs and aspiration in terms of economic development program, capacity building program, and also in terms of involvement in village nature resources management.

Ensuring inclusive engagement of *Adat* communities

The project will ensure that stakeholder engagement is undertaken in a culturally appropriate manner so that the rights and interests of *Adat* communities are protected and their unique concerns and needs are identified and addressed. Furthermore, they participate in, contribute to and benefit from the project outcomes equitably. The framework for ensuring meaningful engagement of ethnics minorities compliant FPIC principles in the Indigenous People planning Framework (IPPF), which is an enclosure to the Environmental and Social Management Framework (ESMF) annexed to the Project Document.

The importance of their participation was illustrated during the consultations in October and November 2021 with the traditional Adat community, Baar in Sambinasi and West Sambinasi villages in Ngada district in the north Flores landscape-seascape. Some of their customary lands have been incorporated into the protected area and they want this land to be returned to them. They requested that their customary lands be managed by themselves, whether it is for livelihoods or conservation. They also indicated that they were willing and capable to protect the Komodo dragon.

Initial FPIC consultations were conducted during the PPG phase, including with the Baar *Adat* community in the North landscape-scape and with the association AMAN. Records of these consultations are presented in **Annex 9** to the Project Document (*Stakeholder consultations during project preparation phase*).

The project will build mutual trust and ensure meaningful and effective engagement to ownership of the relevant processes. Cultural understanding and awareness are central to meaningful stakeholder engagement. The stakeholder engagement plan may have to be updated after the finalization of the safeguards plans with respect to FPIC measures which would apply to *Adat* communities that are affected by project activities.

Engagement with the civil society

The civil society has an important role with respect to introducing innovation to biodiversity conservation and natural resource management, promoting social inclusion, as well as advocating for policy reform and accountability from the government and private sector.

There are several opportunities for national and local NGOs to be involved in the project, e.g., participating in multi-stakeholder coordination platforms under Output 1.1, providing inputs to the intersectoral ecosystem management frameworks, facilitating the screening and establishment of OECMs in Output 1.3, participating in biodiversity monitoring and surveys under Output 1.4 arranging public awareness events, providing capacity building, delivering training to local communities on sustainable livelihood options under Output 2.3. For direct execution of specific project activities, NGOs will be invited through competitive bidding processes.

Gender mainstreaming

The project *Gender Analysis and Gender Action Plan* (**Annex 11** to the Project Document) identifies the key opportunities, and describes actions that the project will implement to ensure equitable participation by women, strengthen the representation of women in decision-making processes, and promote women empowerment.

Private sector engagement

Some of the key private sector enterprises and associations that will be engaged during project implementation include Indonesian Tourist Guide Association, Association of the Indonesian Tours and Travel Agencies, Indonesia Hotel and Restaurant Association, Torong Padang Community-based Travel Group, Bank BRI, Bank BNI, and Bank NTT. Since the tourism industry is composed of various interdependent companies, for example tour operators, food and drink suppliers transportation companies and hotels, engagement with these associations will provide an entry point for the project to address sustainability in the tourism value chain.

Indeed, the associations maybe be a good entry point into addressing sustainability issues since intersectoral linkages between Labuan Bajo's tourism industry and other economic sectors are weak. Most tourism businesses buy produce from local sellers but not from local farmers, because there are weak ties between Labuan Bajo's market places and Flores' agricultural sector. Only a very roughly estimated 30 per cent of agricultural products sold are actually coming from the island. Accordingly, leakage in the food supply chain is high. Fish from the fish market on the other hand is

primarily provided by Komodo fishing communities.[3] In addition, as discussed below, under component 2 of the project, there will be activities to support business management and biodiversity friendly businesses. These activities are possible entry points into addressing issues of sustainable food value chains.

As a premium tourist destination, Labuan Bajo is also facing periodic water shortages Labuan Bajo is water scarce with clear wet and dry seasons and an average rainfall of 1500 mm/year. The majority of residents primarily buy bottled water for drinking, usually purchasing 20 L refillable bottles from local water vendors or larger suppliers.[4] Other residents boil their water before drinking it. Sources of water for purposes other than drinking include piped water from the Municipal Water Supply Company (PDAM). Companies such as AMANDAVA, Danone-Aqua and Air Ruteng supply mineral water to restaurants and hotels in Labuaan Bajo. The project can work with these companies along with PDAM to improve water security in Labuan Bajo for all stakeholders by building more effective collaboration in water supply planning to ensure equal distribution of water supply for communities and for tourism services.

As discussed elsewhere in the proposal, the Labuan Bajo Tourism Authority (BPOLBF) has the mandate to integrate all infrastructure development in West Mangarai. During the project inception period discussions were held with BPOLBF regarding development plans to ensure that they did not disturb environmentally sensitive areas. Once the project begins the BPOLBF will be the principal entry point to discuss transportation and other infrastructure issues. Other national and international private sector stakeholders will be engaged through the activities described below.

The activities planned under Outcome 2 will support the active engagement of the private sector in supporting economic models that encourage species conservation practices and partnering with local communities in support of community based ecotourism and related livelihood improvement efforts. As well, the private sector will be represented in the stakeholder coordination platforms (Output 1.1) along with government, NGOs and communities which will ensure that conservation outcomes are being achieved through good governance, sound design and planning, and effective management schemes.

Long-term financing for biodiversity conservation is always a concern given limited government finances. The development of innovative financial models Output 2.1 will be important for the implementation of the on the ground activities in Outputs 2.2, 2.3 and 2.4. For example, there are a number of innovative financial models from the BIOFIN analysis for biodiversity conservation that may be deployed in this project. Another source of funding is from the BPDLH which manages Environmental Funds in Indonesia to support environmental protection, environmentally friendly economic activities and GHG reductions. The project will work with the Agency to explore opportunities for additional funding for the activities under this output and outputs 2.2, 2.3 and 2.4. Along with the Komodo Dragon Strategic Action Plan (SRAK), there is an opportunity to develop business frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes that promote innovative tools, practices, and financing instruments. The Output 2.3 will support the promotion of community biodiversity-friendly livelihood and business enterprises to avoid biodiversity loss and lead to natural resources use sustainability. This Output will also provide technical and low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises included in the business plans.

The capacity building under Output 2.3 will contribute to stakeholders' capability to sustain activities and positive social-ecological impacts. To ensure that women have equal access to conservation finance instruments, under Output 2.3 there is targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups on topics such as financial management, marketing, sustainable certification and skills training. Enhancing institutional capacity at the village or site level for managing natural resources or initiating alternative community-based sustainable livelihood strategies will open up new opportunities for leveraging support from the private sector.

Given the ever-growing importance of tourism to the socio-economic development of Flores, Output 2.4 is focused on ecotourism development to ensure that it not only makes a positive contribution to Komodo conservation but also to ensure that there is an improvement in the social and economic welfare of participating local communities. As a premium tourist destination there is a need to ensure that local communities have a role in the sector and not be pushed out by larger operators. The project will bring together key local stakeholders such as the BPOLBF, provincial and district governments, park operators and the private sector to synchronize their roles in ecotourism development, particularly in planning, capacity building, knowledge sharing and promoting public awareness.

[3] Stefanie Remmer. 2017.Tourism Impacts in Labuan Bajo Swiss Contact, https://www.swisscontact.org

[4] Dr Ni Made Utami Dwipavanti. 2021. How can improving inclusive water, sanitation and hygiene enhance Labuan Bajo as a tourism destination? Practice Note – July 2021 https://www.watercentre.org

As noted elsewhere, the project is designed to strengthen conservation measures beyond the protected area network. But this does not mean neglecting the importance of the role of the Komodo National Park and the other conservation areas play in the landscape-seascapes. They will be supported with capacity building and some financial resources to strengthen the connectivity in the landscape and increase their contribution to the local economy. In connection with implementation of the business plans developed under Output 2.2 for the Komodo NP and the Tujuh Belas Pulau Nature Recreation Park, technical and low-value grant assistance will be provided for pilot testing tourism concession models with local operators. Particularly for the Tujuh Belas Pulau Nature Recreation Park, these models may include; developing campsites, improving the skills of guides, new trekking routes and developing low cost community accommodation.

7. Timetable

An indicative stakeholder engagement schedule is listed below. The annual work plans will provide updated guidance regarding the timing of stakeholder engagement.

Indicative stakeholder engagement schedule

No.	Description	Timing	Location
1	Program Inception workshop	Year 1	Jakarta
2	Project Board meetings	Years 1 to 6	Jakarta and Flores
3	Multi-stakeholder coordination platform meetings	Years 1 to 6	Labuan Bajo, Riung
4	FPIC consultations	Starting Year 1	Target landscapes-seascapes
5	Stakeholder workshops	Years 1 to 6	National, target landscapes-seascapes
6	Public awareness events	Years 1 to 6	Target landscapes-seascapes
7	Mid-term review and Terminal Evaluation and other M&E activities	Years 1 to 6	Jakarta, Target landscapes-seascapes

x

7.1 Plan for Information Disclosure during project implementation

The project stakeholder engagement plan was developed based on the results of the stakeholder analysis as presented in the matrix above. Due to the nature of the activities, the project intends to utilize various methods of engagement that will be used by as part of its continuous interaction with the stakeholders. For the engagement process to be effective and meaningful, a range of various techniques needs to be applied that are specifically tailored to the identified stakeholder groups. As various specific stakeholders are being identified, methods used for consulting with government officials or private sector businesses may be different from a format of liaising with the local communities, interested groups and international stakeholders. The format of every consultation activity should meet general requirements on accessibility, i.e. should be held at venues that are easily reachable and do not require long commute, entrance fee or preliminary access authorization, cultural appropriateness (i.e. with due respect to the local customs and norms), and inclusiveness, i.e. engaging all segments of the local society, including disabled persons, the elderly and the adat community. In general, the kind of information that needs to be delivered is as follows:

- Project design and project implementation plan
- Map of project sites
- Results of project's conservation measures to protect the Komodo and other globally threatened species
- Role of biodiversity and ecosystem services in supporting bio-friendly businesses
- Lessons learned and practices in sustainable agriculture and fishery.
- Lessons and practices in community business development, including women's business development.
- Term of reference for multi-stakeholder coordination platform.

This information can be delivered through various methods such as meetings, discussions, workshop, sensitization, etc. Information material can be packaged in form of report, video documentary, leaflet, brochure, billboard, and other appropriate communication media. All this material will presented in Bahasa Indonesia, which is understood by all stakeholders included community. However, in certain cases, it could be useful to use the local language in the materials.

Marginalized groups such as women and youth must be given specific access in terms of this engagement program. They must be engaged specifically to ensure that their aspirations and representatives considered and accommodated in project implementation. Specific meeting will be conducted for women and youth to find out their needs and aspiration in terms of economic development program, capacity building program, and also in terms of involvement in village nature resources management.

It is important that the project acknowledges local community rights including *adat* communities (*masyarakat adat*) by involving them in all stages of the project. The importance of their participation was illustrated during the consultations in October and November 2021 with the *masyarakat adat* Baar in Sambinasi and West Sambinasi Villages. Some of their customary lands have been incorporated into the protected area and they want this land to be returned to them. They requested that their customary lands be managed by themselves, whether it is for livelihoods or conservation. They also indicated that they were willing and capable to protect the Komodo.[5] Although not classified as an *adat* community the communities of Nanga Kantor Barat and Pontianak Village on Longos Island are concerned about restrictions they might face if their island home is targeted as a Komodo dragon conservation project site. The locals, who are mostly fisher folk recounted fishing restrictions around the waters of Komodo National Park, specifically on Rinca Island that lead to their exclusion to accommodate expanding tourism.

Detailed interventions in each target village need to be discussed again during the project implementation phase and all concerned parties must ensure meaningful consultations are being carried out with the villagers and specially with the Adat Community that do not understand the Indonesia language. The project will build mutual trust and ensure meaningful and effective engagement to ownership of the relevant processes. Cultural understanding and awareness are central to meaningful stakeholder engagement. Table 5 below provides specific needs of the different stakeholders for effective consultation. The authorities in the villages where there are is a phone signal will accept phone calls but those villages with no telephone signal need corresponding letter. Often in dealing with government officials at the district and village levels, a phone call is often followed up by a letter and in-person visit.

Table 5. Means of Consultation with Stakeholders groups.

Stakeholder Group	**Key characteristics**	**Language needs**	**Preferred notification means (e-mail, phone, radio, letter, in-person)**	**Specific needs for effective consultation (daytime or nighttime meetings, childcare, larger print, etc.)**	**Person(s) in Charge**
Government					
National level	Project design and site selection Environmental and Social Management Framework,	Indonesian Language	e-mail, phone, letter, in-person	Daytime Workshops and Focus Group Discussions (FGDs)	National Project Director, Project Manger
Provincial	Coordinate with district level agencies, Project activities support provincial plans	Indonesian Language	e-mail, phone, letter, in-person	daytime Workshops and FGDs	Project Manager Landscape-Seascape Coordinators, Partnership Coordinator
District	Coordinate with district level	Indonesian Language	e-mail, phone, letter, in-person	daytime Workshops	Project Manager Landscape-

[5] See the Indigenous Peoples Plan Framework for further discussion.

	agencies Project activities support district plans			and FGDs	Seascape Coordinators, Partnership Coordinator
Private Sector	Project design, partnerships with local communities and potential investors	Indonesian Language	e-mail, phone, letter, in-person	Daytime Workshops and Focus Group Discussions (FGDs)	National Project Director, Project Manger
NGOs	Support community engagement initiatives, biodiversity conservation, FPIC	Indonesian Language	e-mail, phone,	Daytime, evenings Workshops and FGDs, field assessments	Project Manager Landscape-Seascape Coordinators, Partnership Coordinator
Adat Communities	One adat community is expected to take part in project activities. Communities. AMAN is expected to be a member of the coordination forums. The planned FPIC will follow international standards and approaches.	Indonesian Language/Local Language	letter, in-person	Daytime, evenings Workshops and FGDs, field assessments	Landscape-Seascape Coordinators, and Community Mobilizers
Villages	Project beneficiary. Consultations will be adapted to the needs of different groups. For example, meetings with women may have to be in the evening.	Indonesian Language/Local Language	letter, in-person)	Daytime, evenings Workshops and FGDs, field assessments	Landscape-Seascape Coordinators, and Community Mobilizers

8. Resources and Responsibilities

The PMU, led by the Project Manager, will be responsible for implementation of the stakeholder engagement plan and for installing adaptive management measures as deemed relevant based on progress made on project activities. At the landscape-seascape level, the multi-stakeholder coordination platforms will be the main stakeholder engagement structures for the activities in the two target landscapes-seascapes.

Stakeholder engagement roles and responsibilities

Position / Function	Roles and Responsibilities
National Project Director	The National Project Director (NPD) will have overall responsibility for the implementation of the project, and facilitate engagement with other high-level decision-making stakeholders.

Position / Function	Roles and Responsibilities
Project Manager	The Project Manager will have responsibility for the day-to-day implementation of the project, be tasked with the important role of ensuring that stakeholders are engaged according to plan, oversee the procurement and implementation of project activities and be accountable that stakeholder engagement is inclusive and according to plan.
Project Board	The Project Board will provide strategic oversight to the project, ensuring that the interests of all stakeholders are considered, including stakeholder engagement objectives.
Multi-stakeholder coordination platforms	Multi-stakeholder coordination platforms will be established in the two target landscapes-seascapes, engaging provincial and district government units, NGOs and business sector, and having equitable representation of women and *Adat* communities.
Landscape-Seascape Coordinators, and Community Mobilizers	The Landscape-Seascape Coordinators along with the Community Mobilizers will be responsible to ensure local stakeholders are engaged in the project, with particular emphasis on participation of *Adat* communities, women and youth.
Chief Technical Advisor	The Chief Technical Advisor will support the Project Manager with stakeholder engagement among national, provincial and local level governmental entities and will also support the Demonstration Area Coordinators in facilitating the multi-sectoral coordination mechanism.
Partnership Coordinator	The Partnership Coordinator will facilitate multi-stakeholder collaboration and inclusive stakeholder engagement at the national and subnational levels.
M&E-Communications Officer	The M&E-Communications Officer will monitor progress in implementation of the stakeholder engagement plan, ESMP, Indigenous Peoples planning framework and plan (IPPF-IPP) ensuring that UNDPs SES policy is fully met, and the reporting requirements are fulfilled
Safeguards Officer	The Safeguards Officer will support the implementation of the stakeholder engagement plan, and regularly review and update the social and environmental screening procedure (SESP), and safeguard management plans and frameworks.

The costs for implementing the stakeholder engagement plan are incorporated into the project budget, including the USD 332,500 allocated for trainings, workshops and conferences (Atlas 75700). The travel budget (USD 351,250) also includes travel related expenses for implementation of the stakeholder engagement plan. The Partnership Coordinator (USD 203,184 allocated over the 6-year timeframe), the two Landscape-Seascape Coordinators (USD 372,384 allocated) and the two Community Mobilizers (USD 238,608 allocated) will be responsible to execute and facilitate the implementation of the stakeholder engagement plan.

9. Grievance Mechanism

The Implementing Partner will establish and implement, as described in the Project Document, a transparent, fair and free-to-access project-level Grievance Redress Mechanism (GRM), approved by stakeholders, which will be put in place at the start of implementation. Per the ESMF, the project-level Grievance Redress Mechanism (GRM) described in the Stakeholder Engagement Plan will be established during the first year of project implementation and further detailed in the ESMP. Interested stakeholders may raise a grievance at any time to the Project Management Office, the Executing Agency, Implementing Agencies (UNDP), or the GEF.

The Implementing Partner will establish a sub-committee for the GRM, and for the development and oversight of the mechanism, including reporting on the work of the GRM to all stakeholders.

Source: Guidance Note on Stakeholder Engagement, UNDP Social and Environmental Standards (SES), October 2017

I. Mandate

The mandate of the GRM will be to:

Receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively "*Grievance*") alleging actual or potential harm to affected person(s) (the "*Claimant(s)*") arising from Project.

Assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies, and commissions, CSOs and NGOs, and others (collectively, the "*Stakeholders*") in the context of the Project.

Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

II. Functions

The functions of the GRM will be to:

i. Receive, Log and Track all Grievances received.
ii. Provide regular status updates on Grievances to Claimants, Project Board (PB) members and other relevant Stakeholders, as applicable.
iii. Engage the PB members, Government institutions and other relevant Stakeholders in Grievance resolution.
iv. Process and propose solutions and ways forward related to specific Grievances within a period not to exceed sixty (60) days from receipt of the Grievance.
v. Identify growing trends in Grievances and recommend possible measures to avoid the same.
vi. Receive and service requests for, and suggest the use of, mediation or facilitation.
vii. Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings, and outcomes).
viii. Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process.
ix. Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed.
x. Ensure continuing education of PB members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM.
xi. Monitor follow up to Grievance resolutions, as appropriate.

III. Composition

The GRM will be composed of:

[Name of Implementing Partner] as the Secretariat and either:

(a) A standing GRM Sub-Committee [made up of x, y, z PB members],

and/or

(b) Ad hoc GRM Task Teams in response to specific requests for grievance.

The GRM Sub-Committee will be balanced in composition (government and non-government) and should not include any PB members with a direct interest or role in the grievance/dispute.

IV. [Name of Implementing Partner]

In its role as GRM Secretariat, [Name of Implementing Partner] will perform the following core functions:

- Publicize the existence of the GRM and the procedure for using it.
- Receive and log requests for dispute resolution.
- Acknowledge receipt to the requestor.
- Determine eligibility.
- Forward eligible requests to the PB for review and action.
- Track and document efforts at grievance/dispute resolution and their outcomes.

V. Project Board/GRM Sub-Committee/GRM Task Team

The Project Board/GRM Sub-Committee and/or GRM Task Team will perform the following core functions:

- Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PB).

- Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PB took an appropriate administrative action to deal with a complaint.
- Refer the grievance/dispute to independent mediation, while maintaining oversight; or
- Determine that the request was outside the scope and mandate of the PB and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).

VI. Communicating a Grievance

(i) Who can Submit a Grievance?

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a Grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the Claimant must identify the individual and/or people on behalf of who the Grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the Claimant the authority to present the Grievance on their behalf. The GRM will take reasonable steps to verify this authority.

(ii) How is the Grievance Communicated?

The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:

[Implementing Partner to add address, phone number, fax, etc.]

To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PB members' institutions, local government, and civil society organizations

(iii) What information should be included in a Grievance?

The Grievance should include the following information:

(a) the name of the individual or individuals making the Complaint (the "Claimant").

(b) a means for contacting the Claimant (email, phone, address, other).

(c) if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf.

(d) the description of the potential or actual harm.

(e) Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s), and date(s) of harmful activity).

(f) what has been done by Claimant thus far to resolve the matter.

(g) whether the Claimant wishes that their identity is kept confidential.

(h) the specific help requested from the GRM.

However, complainants are not required to provide all of the information listed above. Initially, the complainant need only provide enough information to determine eligibility. If insufficient information is provided, the GRM has an obligation to make a substantial, good faith effort to contact the complainant to request whatever additional information is needed to determine eligibility, and if eligible, to develop a proposed response.

VII. Logging, Acknowledgment, and Tracking

All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.

Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.[6]

Each Grievance file will contain, at a minimum:

i. The date of the request as received.
ii. The date the written acknowledgment was sent (and oral acknowledgment if also done) including acknowledgement number of grievances lodged.
iii. The dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders.
iv. Any requests, offers of, or engagements of a Mediator or Facilitator.
v. The date and records related to the proposed solution/way forward.
vi. The acceptance or objections of the Claimant (or other Stakeholders).
vii. The proposed next steps if objections arose.
viii. The alternative solution if renewed dialogues were pursued.
ix. Notes regarding implementation.
x. Any conclusions and recommendations arising from monitoring and follow up.

IX. Maintaining Communication and Status Updates

Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested.

The GRM will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

X. Investigation and Consensus Building

Within one (1) week of receiving a Grievance, [Implementing Partner] will notify the PB/**GRM Sub-Committee (GRM SC)/GRM Task Team (GRM TT)** and any other relevant institutions of the receipt of the Grievance.

[IF THE PB, RATHER THAN A PRE-DESIGNATED GRM SC OR GRM TT IS THE PRIMARY BODY RECEIVING COMPLAINTS: The PB will identify a specific team of individuals drawn from the PB and/or their respective institutions to develop a response to the Grievance. The names of these individuals will be made available to the Claimant.]

The designated PB members/GRM SC/GRM TT will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the PB members/GRM SC/GRM TT, the GRM will have the authority to request from relevant Government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature.

As necessary, the PB members/GRM SC/GRM TT will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward.

The PB members/GRM SC/GRM TT will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the PB members/GRM SC/GRM TT may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

XI. Seeking Advisory Opinion and/or Technical Assistance

[6] Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment

At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the PB members/GRM SC/GRM TT may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

XII. Making Proposed Actions and Solutions Public and Overseeing Implementation

The PB members/GRM SC/GRM TT will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the Claimant does not accept the resolution, the PB members/GRM SC/GRM TT will engage with the Claimant to provide alternative options.

If the Claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

In all communications with the Claimant and other stakeholders, the GRM will be guided by its problem-solving role, non-coercive principles and process, and the voluntary, good faith nature of the interaction with the Claimant and other stakeholders.

XII. Monitoring and Evaluation

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding:

i. Measures that can be taken by the Government to avoid future harms and Grievances.

ii. improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

XIII. Mediation

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

- Professional experience and expertise in impartial mediation.
- Knowledge of [project type and activities in the country] and the region, including an understanding of indigenous and tribal culture and practices.
- [National and local language, as appropriate] proficiency.
- Availability in principle for assignments of up to 20 days.
- Willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome will be documented by [Implementing Partner] and reviewed by the Task Team. If it is unsuccessful, stakeholders will have the option to return to the PB members/GRM SC/GRM TT for assistance.

XIV. Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies, or commissions.

Diagram 1 below presents the steps in a grievance resolution mechanism, which can be tailored to the particular institutional context, capacities, and concerns of a project and their stakeholders[7].

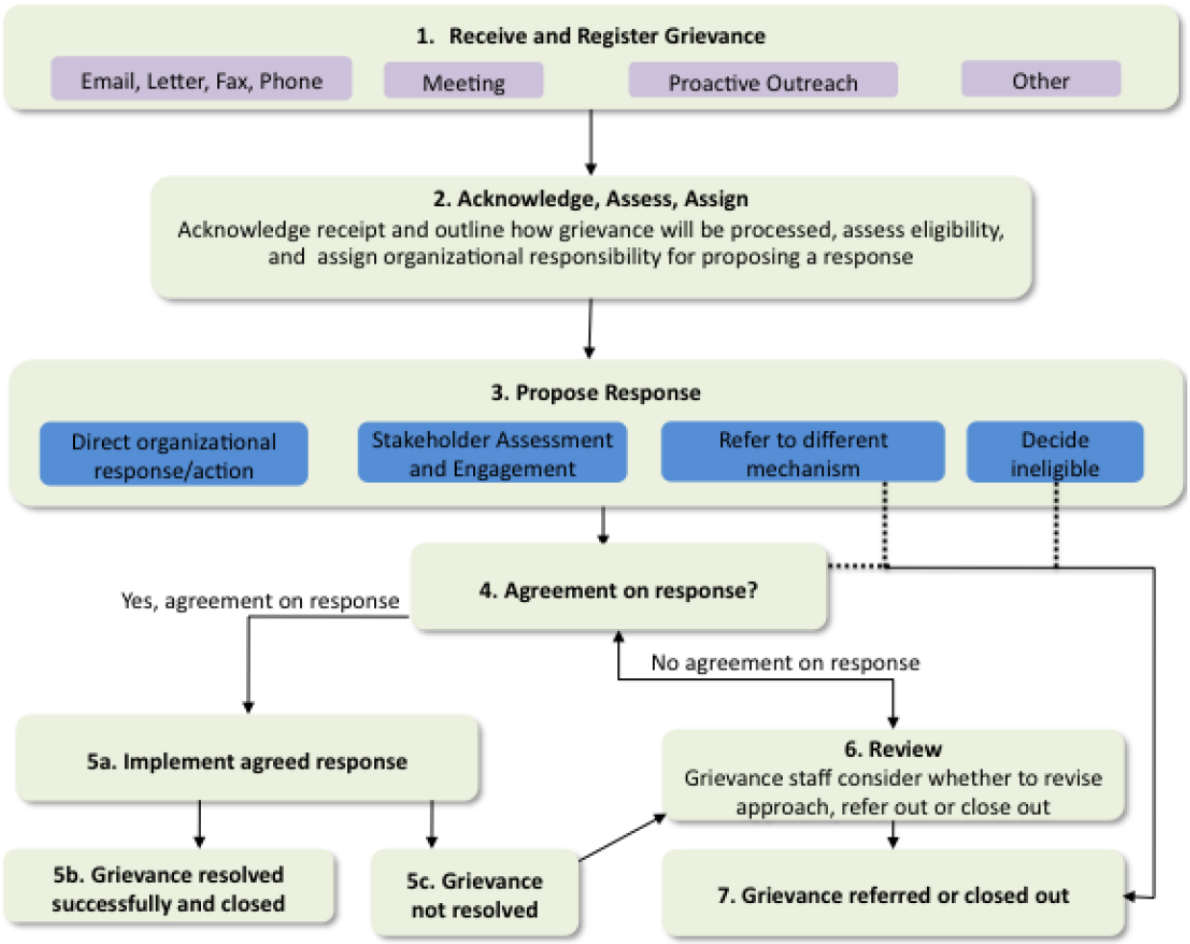


Diagram 1: Steps in a Grievance Resolution Mechanism

[7] UNDP Social and Environmental Standards (SES) Stakeholder Engagement Supplemental Guidance: Grievance Redress Mechanisms

10. Monitoring and Reporting

The implementation of the stakeholder engagement plan will be monitored and evaluated through the 6-year project timeframe. Stakeholder engagement details will be captured in project reports, meeting memorandums and through various knowledge products. Stakeholders will be involved in monitoring activities and the results of the monitoring will be reported back to the participating communities or organizations. Adaptive management measures will be put in place, as needed, to adjust the plan to current circumstances and according to the findings of monitoring and evaluation efforts. Monitoring and evaluation of the implementation of the stakeholder engagement plan are part of the project M&E plan, and co-financing contributions are included. Reports to the GEF will be submitted as per the reporting cycle.

Annex 9. Stakeholder consultations during project preparation phase

Prepared by: Burung Indonesia

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID**: 10728

1. Introduction

Stakeholder engagement during the project preparation period is an opportunity for direct and effective engagement of stakeholders in programming activities, as required by GEF policy. In the GEF project cycle, this is the time in which an initial project concept-proposal is more fully designed and developed into what will be implemented. Meaningful participation, including effective consultations and stakeholder engagement, is essential to this process and its success[1]. UNDP is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all UNDP projects. Effective stakeholder engagement is a cornerstone to achieving sustainable development.[2] This document presents a record of all the consultations held and the names of the individuals that took part in stakeholder engagement activities during Project Preparation of the UNDP-GEF project: Investing in the Komodo dragon and other globally threatened species in Flores (IN-FLORES).

1.1 Project Overview

The objective of this project is to promote conservation of Komodo dragon and other globally threatened species in Flores through strengthened and integrated management of multiple use landscapes and seascapes. The target landscapes-seascapes encompass terrestrial and marine protected areas, forest areas (protection forests, production forests convertible forests, and other production areas) and marine areas that have important values for the conservation of the Komodo dragon (Varanus komodoensis; IUCN Red List: Endangered EN), the Flores Hawk-eagle (Nisaetus floris; IUCN Red List: Critically Endangered CR), Yellow-crested Cockatoo (Cacatua sulphurea; IUCN Red List: CR), and other endangered marine and terrestrial species. Studies conducted by the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE) and the Komodo Survival Program show that large numbers of Komodo dragons on Flores Island are located in production landscapes-seascapes and community areas. Therefore, in addition to the emphasis on improving management effectiveness of the Komodo National Park and other protected areas in the target landscapes-seascapes, the project will focuses on enhancing biodiversity conservation in habitats outside protected areas.

Two landscapes in the western part and northern part of Flores have been identified as the habitat and home-range of Komodo dragon and other globally threatened species; each landscape consist of diverse type of land-use with its authority agency and different character of communities for each area such as the Baar tribe at the Northern landscape. Therefore, this project will use a landscape management approach in order to achieve harmonization or synergy among multi-functionality of land as a habitat for Komodo dragons and other key species.

This project is expected to facilitate stakeholders to reach a common vision in realizing the conservation of Komodo dragons and other important species in habitats in landscapes with diverse functions and designations. A landscape management approach is seen as the most effective means of bringing together the various stakeholders[3]. Benefits of the landscape approach for people and nature include: resolving land use and natural resource conflicts in a collaborative manner; creating sustainable income streams; reducing environmental degradation; enhancing the quality of wildlife habitats; increasing flexibility in the face of climate change and weather anomalies; strengthening economies against internal and external threats; and ensuring sustainable livelihood resource availability. In order to achieve this common goal, stakeholder engagement is critical. Landscape approaches can be interpreted as a journey with diverse starting points moving towards a common destination[4].

2. Key Considerations for Stakeholder Engagement during PPG

[1] GEF Stakeholder Engagement Guidelines (SD/GN/01), 2018, p.10

[2] UNDP SES Stakeholder Engagement GN, p.2

[3] Mitchel Andrew, et.al., The Little Sustainable Landscapes Book: Achieving sustainable development through integrated landscape management, The Global Canopy Program, p. 22

[4] Peter A. Minang, et.al. (ed.), Climate-Smart Landscape: Multi-functionality in Practice, World Agroforestry Centre, 2015, p.9

Stakeholder engagement is a process involving stakeholder identification and analysis, planning of stakeholder engagement, disclosure of information, consultation and participation, monitoring, evaluation and learning throughout the project cycle, addressing grievances, and on-going reporting to stakeholders.[5]

The process should be an effective engagement, inclusive and meaningful consultation; which means it is a two-way process that encourages the stakeholder feedback and engagement in the project development and design process, considers and responds to their feedback, and is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timely manner and culturally appropriate format in relevant language(s), and that is understandable to stakeholder. The stakeholder engagement process must provide affected persons with opportunities to express their views on project risks, impacts, mitigation measures and opportunities for enhanced benefits. Thus, it is important to reach out directly to affected and interested stakeholders and communities where they live. This includes recognition of the different levels of knowledge, needs, roles and interest of women and men, and Indigenous Peoples to enable them to receive fair and equitable benefits and opportunities from IN-FLORES.

Stakeholder engagement during the project preparation period is the continuation of dialogue and outreach by using tailored ways to mobilize key stakeholders and approaches for their effective engagement at this stage, building upon consultations and contacts developed previously during the earlier stage of project design. During project preparation, consultations and workshops are organized to reach out to stakeholders and communities where the project would be implemented, including those identified during project development, to seek their inputs and feedback on the approach and design of the project. This includes consultations associated with the preparation of required safeguard documents and other information, including as applicable: Social and Environmental Impact Assessments, Gender Analysis or equivalent Socio-Economic Assessment, Engagement and Participation of Indigenous Peoples. Project proposal information should be circulated to relevant stakeholders, and dialogue should be conducted particularly with those who will be directly affected by or involved in the project.

During the project preparation phase of IN-FLORES, activities were affected by the COVID-19 pandemic. To prevent transmission, various steps were taken, one of which was to limit social interaction by maintaining physical distance and avoiding crowds and limiting the movement of people from one place to another was also restricted. Various meetings, both formal and informal were conducted through online platforms. However, the convenience offered is not accessible to all community groups. Indonesia's technology infrastructure is strongest the urban areas; whereas in rural areas access is still low. During the consultations at the village level, direct physical interaction was the only option.

Based on the intensity of cases and the concern over the spread of COVID-19, a number of different approaches to consultations were taken depending on the region and availability of technology. As can be seen from Table 1 below, consultation methods were adapted to the conditions on the ground.

No	Group of Stakeholder	Location	Level of COVID-19 infection	Rate of COVID-19 infections	Availability of technology	Literacy of communication technology	Priority communication platform
1.	National	Jakarta (Java Island)	High	High	High	High	Online
2.	Province	Kupang (Timor Island)	Medium	Medium	High	High	Online
3.	District	Labuan Bajo, Borong, Bajawa (Flores Island)	Medium	Medium	Medium	Medium	Hybrid, Offline
4.	Village/ Community	Northern coast and southern coast of Flores Island	Low	Low	Low	Low	Offline

3. Implementation of Stakeholder Engagement during the PPG phase

Stakeholder engagement activities during project preparation was conducted from August until December 2021 and June 2022, ranging from stakeholder at national level in Jakarta to stakeholder at community level in the targeted landscape of Flores. In total there are at least 339 (246 male, 93 female) people being engaged and consulted during IN-FLORES project preparation, representing nine Ministries, thirty regional government offices at province and

[5] GEF Stakeholder Engagement Guidelines (SD/GN/01), 2018, p.3

districts, fourteen villages, eleven Adat communities, five private sector institutions (including three banks), four CSOs and one UN agency, two universities and, the Indonesian Zoo Association. Taking into account the considerations, the stakeholder engagement activities are carried out as follows.

a. Initial Coordination

Initial coordination was carried out through several meetings in the 6th to 13th August 2021 with the Ministry of Environment and Forestry (MoEF), as well as with three District Government (Planning Agency, FMU, KSDA, Environment Agency, Tourism Agency, Village empowerment Agency) of Manggarai Barat, Manggarai Timur, Ngada and contact person of targeted community). With the MoEF, the purpose was to introduce the PPG team, planning for the implementation of preparation, and seeking approval for the activities design of PPG. With the district governments and community contact person, the purpose was to inform the IN-FLORES concept and planning for project preparation activities.

b. Inception Workshop

The IN-FLORES Inception Workshop was held on Thursday, 21st October 2021 by combining offline meeting in Jakarta and online meeting platform. From 71 institutions/agencies/organizations that were invited, the workshop was attended by representatives from at least 40 institutions/agencies/organizations from the central government, province and district government, CSO and university. The number of participants is ranging from 143 person in the morning to 82 people in the afternoon. The purpose of the workshop was to kick-start the IN-FLORES project preparation by introducing the IN-FLORES project to the key stakeholder and to allow them to review the project concept and share on their potential role and support. Opening remarks was delivered by Wiratno, the Director General (DG) KSDAE of the Ministry of Environment and Forestry (MoEF). Initial inputs and comments were given by three ministries (Village, Disadvantaged Regions, & Transmigration; Agrarian Affairs & Spatial; Cooperatives & SMEs), Flores Labuan Bajo Authority (BPOLBF), Komodo National Park & NTT Conservation Agency (BBKSDA), local governments (NTT province, Ngada and Manggarai Timur district), and three CSO (Komodo Survival Program, Swiss Contact, PILI Green Network). The workshop was closed by Director of KKH, Indra Exploitasia, appreciating the participants' commitment and support, emphasized that IN-FLORES is a cross-ministerial/institutional project that should be in line with other Ministries/institutions programs.

c. Field Consultations

Engagement with key stakeholder at field level was conducted from 25th October to 18th November 2021 to NTT province government, three districts government of Ngada, Manggarai Timur, Manggarai Barat, communities in the Northern Flores landscape and Western Flores landscape, the Nature Conservation Agency, the Komodo National Park, and the Labuan Bajo Flores Authority (BPOLBF). Consultations with the community members were conducted in the villages that overlap with komodo and other GTS home range. Due to limited time, only communities with frequent sightings of Komodo dragon that were chosen. There are three communities selected for consultation discussion, taking into account the representation of each district, the representation of customary community, the representation of communities with diverse social backgrounds, and communities living in a single island. They are the Baar tribe in Sambinasi Barat village and Sambinasi village (representing customary community in Riung area Ngada district – northern landscape), Pota community (representing agricultural villages in Pota area Manggarai Timur district – northern landscape), Longos Island community (representing fisheries villages in Longos Island Manggarai Barat district – western landscape), seven tribes in Lengkosambi (Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu) and three tribes in Tadho (Bire, Tadho, and Nanu) in Riung Sub-district, Ngada District. In general, engagement activities and consultation have reach out representatives of 14 villages, 11 Adat communities, 30 government offices representing the districts and province, 3 bank and 2 CSO, with at least 163 respondents (24 female, 139 male) – some respondents did not put their name on the attendance list. A pre-FPIC consultation was conducted with the Baar Adat community in November 2021. Further pre-FPIC consultations were held in Lengkosambi village, Riung Sub-district, Ngada District) where a number of Adat communities are living: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu in June 2022. Finally, a pre-FPIC consultation with the Tadho, Bire, and Nanu Adat communities in Tadho village (Riung Sub-district, Ngada District).

The series of field consultation was conducted offline with limited people, using focused group discussion and key informant interview. Consultations with the district government were carried out at the district capital: Bajawa (Ngada), Borong (Manggarai Timur), Labuan Bajo (Manggarai Barat). Consultations with the communities were carried out at their respective villages.

The IN-FLORES Project Component and proposed map were presented using Bahasa Indonesia, and occasionally Manggarai dialect for those speaking the language. Discussion was carried out using a guideline questions, differentiated for community and for district government. Many issues were raised and discussed, such as: the safeguards aspect such as tenure, human rights concern, gender and accountability; awareness on biodiversity

aspect including human-wildlife conflict; natural resource utilization including community business potential; local governance and participatory planning; potential synergy with existing local government programs; and indication of willingness to accept and collaborate with IN-FLORES project. The discussion during engagement is documented through minutes, matrix and tables, photos, and videos. The results are used to develop the safeguard documents, contribute to develop the Pro-Doc particularly activities for each Project Component, and the mandatory annexes.

d. Ministerial Consultations

The consultation was conducted through one on one meeting series from 16th December to 27th December 2021, in order to further align IN-FLORES with other ministerial policy and program, explore the possibilities of synergy, and co-finance. The consultation was attended by 36 person representing the Ministry of: Marine Affairs & Fisheries – represented by the Kupang National Marine Conservation Area, National Planning (BAPPENAS); Villages, Poor Disadvantaged Regions, & Transmigration; Cooperatives and SMEs; Public Works and Settlements – particularly its Integrated Management Tourism Plan team, and the Ministry of Environment and Forestry. Individual meetings were held for each Ministry, combining offline meeting and online meeting platform. In each meeting, the Project Component and Project Map were presented, with more detailed compared to Inception Workshop. Some ministerial were also presenting their policy and program, followed by discussion of synergy and co-finance. Particular for the Ministry of Environment and Forestry, the consultation was to develop the mandatory annex such as GEF-7 Core Indicator and to review the drafts of Pro-Doc, logical framework and budget.

e. Validation Workshop

Validation Workshop was held at 7th January 2022, combining offline meeting and online meeting platform, and attended by at least 54 people (13 female, 41 male) from 24 institutions/organization/agency. Some online participants do not put their name on the attendance list, participants number at the online platform was ranging from 94 in the morning to 42 in the afternoon. The workshop was opened by the Director of KKH – DG KSDAE MoEF, Indra Exploitasia. She emphasized the importance of having the stakeholder to review the Pro-Doc particularly the Project Component and Activities. The final drafts will be sent to the key stakeholder, especially those who did not attend the meeting, to seek written inputs. During the meeting, the UNDP-PPG team presented the Project Component, Outcomes, Outputs and Activities; Project Map and the Landscape Profile; GEF-7 Core Indicator; Safeguard; and the Project Organogram. Feedback were given from the Ministry of Cooperatives & SMEs, Ministry of Agrarian Affairs & Spatial Planning, Planning Agency of Manggarai Barat district and Manggarai Timur district, Forest Management Unit of Ngada district, Tourism Department for Ngada district, Labuan Bajo Flores Authority (BPOLBF), and CSO (PILI Green Network, Komodo Survival Program).

f. Record of Initial Free, Prior and Informed Consent (FPIC) Consultation with AMAN

Section 1: This section summarizes the day long consultation with AMAN

Objective of the Consultation:
Introduce the project and discuss potential involvement of the *Aliansi Masyarakat Adat Nusantar*a (AMAN) (Indigenous Peoples Alliance of the Archipelago)
Date of Consultation: 15 March 2022
Location: AMAN Office in Ende, Flores
Participants: 3 female, 8 male

Name	Gender (F/M)	Organization	Position
Nikolaus Bhuka	Male	AMAN	Chair of Executive Body
Adiyanto Weo	Male	AMAN	Rendu Adat Community
Siti Amina	Female	AMAN	Kolibari Adat Community
Maria Yasinta Pano	Female	AMAN	Kolibari Adat Community
Bernadinus Gaso	Male	AMAN	Rendu Adat Community
Yohanes Gaga	Male	AMAN	Staff
Adrianus Doga	Male	AMAN	Staff
Philipus Kammi	Male	AMAN	Chair of AMAN
Daud P. Tambo	Male	AMAN	Advocacy Division
Simon Welan	Male	AMAN	Staff
Beldiana	Female	AMAN	Staff

Mr. Tiburtius Hani from Burung Indonesia was the facilitator of the consultation.
The participants agreed to record the meeting by audio and/or video.
The participants agreed to hold the consultation in Bahasa Indonesia language, which all participants are fluent in.
The facilitator provided a summary of the project and the locations where project is planning to work. The presented slides are attached to this record.
The facilitator described potential positive and adverse impacts to *Adat* communities – see tables attached to this record.
The facilitator described how social and environmental risks will be managed according to UNDP and national standards and practices, and outlined the safeguard assessment and management measures that have been conducted during project preparation and planned to be implemented during project implementation.
Potential involvement of AMAN in the project:

- Participate in the project inception workshop.
- Participate in the multi-stakeholder coordination platforms to be established for the North and West Flores Landscapes-Seascapes.
- Support *Adat* communities in FPIC consultations, if requested by the *Adat* communities.
- Support the recording and documentation of traditional knowledge, as requested and agreed by the *Adat* communities.

Potential Positive Impacts

IN-FLORES Intervention	**Potential Positive Impacts**
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	1. *Adat* communities participate in the preparation of integrated forest and marine management planning. *2. Adat* communities plan the management of their customary areas, be it grazing areas, agricultural and plantation management areas, watershed areas that are their source of their livelihoods. 3. Adat communities' rights to manage the natural resources is fully recognized. 4. Co-management schemes for conservation and sustainable use are developed where appropriate between adat communities and government agencies. 5. With the participation of *adat* there are improved conservation outcomes such as improved quality of terrestrial and marine habitats and improved management of high biodiversity areas. 6. Strengthened adat institutions and increased political advocacy capacities before the State, both at regional and national levels.
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. *Adat* communities participate in the development of tourism strategy that is integrated with SRAK Komodo. 2. *Adat* communities' incomes increase due to targeted development of livelihood improvement and economic innovation models. 3. *Adat* communities establish their own biofriendly businesses that are suitable with the conditions of the *adat* communities. 4. The number of female led businesses increase.
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities become the key actors in knowledge development activities 2. *Adat* communities' way of life that seek to harmonise between social, economic and ecological values, could potentially be promoted to influence modern society's production and consumption pattern.

Potential Adverse Impacts

IN-FLORES Intervention	**Potential Positive Impacts**
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant	1. The *adat* communities choose not to take part in project consultation and preparation, or in project activities due to unresolved issues or conflicts related to area conservation management and livelihood strategies.

IN-FLORES Intervention	Potential Positive Impacts
species in threatened terrestrial and marine habitats in Flores	2. The *adat* community is not appropriately involved in project dissemination and discussion of activity plans. 3. Project implementers fail to identify the most vulnerable groups in the community so the project was mistargeted 4. Community access to natural resources is limited through zoning or other regulations around the village where the Komodo dragons and their prey are located and thus having a negative impact on community livelihoods. 5. Conflicts between managers of conservation areas and other habitats with communities due to lack of participatory and inclusive processes for conservation and resource use. *5. Adat* communities are increasingly marginalized and marginalized in their own customary areas due to development processes that fail to properly involve them
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. The community does not want to be involved in its business development activities 2. Project implementers do not apply participatory methods (instead top-down) thus failing to identify vulnerable groups most in need of support 3. Project implementers failed to identify the underlying problems that cause the economic marginalization of *adat* communities 4. Economic opportunities are exploited by external parties, or by those who do not need them the most 5. Adat communities do not benefit from investment and entrepreneurial opportunities, and only become spectators of the INFLORES investment mobilization *6. Adat* communities are increasingly marginalized because project activities do not (effectively) reach them
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities refuse to be a source of knowledge in the development of related knowledge products. 2. The methodology for the involvement and study of *adat* communities is not appropriate so that it does not result in optimum engagement, or does not produce information that is relevant to the objectives. 3. Our knowledge of *adat* communities and their role for conservation has not increased and/or developed significantly due to the project's failure to develop appropriate approaches to them. 4. There is no significant contribution that the project can make to policy level issues regarding adat communities or their active involvement in conservation activities.

Signed list of participants

Initial FPIC Consultation with AMAN, held on 15 March 2022

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

Name	Gender (F/M)	Organization	Signature
Nikolaus Bhuka	M	AMAN	
Adrianto Uko	M	Komunitas Adat Rendu	
SITI Amina	F	Komunitas Adat Rocibari	
Maria Yosinta pano	F	Komunitas Adat Rocibari	
Antonius O. Hans	M	YTNF	
BERNARDINUS Gaso	M	Komunitas Adat Rendu	
Yohanes Gaga	M	AMAN	
Adrianus Boga	M	Komunitas Adat	
Philipus Kami	M.	AMAN	
David P. Tamba		.11_	
Nikolaus Bhuka	M	AMAN	
Simon Welan	M	AMAN	
Beldiana	F	AMAN	

Section 2: Minutes of the Meeting

Introduction

This section presents the minutes of the meeting. The facilitator (Tiburtius Hani) introduced himself and his capacity in this consultation meeting. He was part of the PPG Team, whose job was to prepare the IN-FLORES Project Document (ProDoc). The IN-FLORES or Investing in the Komodo dragon and other globally threatened species in Flores ProDoc is a UNDP and KLHK proposal submitted to the GEF (Global Environment Facility).

The IN-FLORES ProDoc draft is available after going through various tiered consultation processes, starting from the community, local government, central government, and related private parties. AMAN has been involved in two online consultation sessions.

Although AMAN has been involved in two consultation sessions, it is important to conduct an offline consultation with AMAN Nusa Bunga to get feedback or input to develop this IN-FLORES ProDoc. The PPG team considers it important to consult with AMAN because AMAN is an organization that has a long and deep experience in organizing indigenous peoples or communities, which will also be a concern of this project.

It is within this framework that this consultation was carried out so that AMAN would be informed regarding this project and for input from AMAN to complete this ProDoc and regarding technical matters in its implementation in the future.

The facilitator asked the participants for permission to record the whole process, audio and video, and the participants agreed. However, the facilitator invites the participants not to be nervous because it is being recorded, but to continue to express their views or opinions freely and voluntarily

1. Logframe Presentation INFLORES

The facilitator explains the IN-FLORES logframe in detail, starting from the Outcome, Output, and main activities. IN-FLORES is an effort to provide further attention to Komodo dragons and other important threatened species in Flores. So far, people generally know that Komodo dragons only exist in the Komodo National Park. In fact, Komodo dragons also exist in Flores, both in conservation areas and outside conservation areas. Komodo dragons outside conservation areas (on community lands, on customary lands of indigenous peoples, etc.) have not been adequately managed so far. Because this also supports tourism development, it is very important to protect it for its sustainability for the future generation.

The project will be implemented in two landscapes: the western landscape in West Manggarai District and the northern landscape in East Manggarai District and Ngada District.

The full presentation can be seen in the attached file.

2. Presentation of Potential Impact

After explaining the logframe in detail to the activity level, the facilitator explained this project's potential positive and negative impacts. It is very important to know from the start about these potential impacts, especially negative impacts so that they can be anticipated and can be minimized or, if necessary, avoided. This is part of the principles of transparency and accountability adopted by UNDP, including conducting a free, prior, and informed consent process.

Complete information on potential impact presentation materials can be found in the attached file.

3. Presentation of Target Villages

After explaining the potential impacts, the facilitator describes the target villages for project implementation in two landscapes. Complete information about the presentation material about the target village can be seen in the attached file.

4. Feedback from AMAN

After presenting the three main materials above, the facilitator provides an opportunity for the participants to provide feedback or views. Some of the responses from AMAN are as follows:

1. Philipus Kammi (Head of AMAN Nusa Bunga)

    - Thank you to the PPG Team for organizing this consultation process, which allowed AMAN to share our views.
    - To realize the idea of strengthening indigenous peoples initiated in this project, it is also hoped that the local government will be facilitated and encouraged to make regional regulations regarding the recognition of indigenous peoples' rights. This regional regulation will also ensure sustainability aspects after the project is completed, where the recognition of indigenous peoples and their rights continues.
    - Suppose there are Komodo dragons outside conservation areas or in indigenous people’s areas. In that case, the management should not cause conflict between indigenous peoples and the government or indigenous peoples and animals. The knowledge and wisdom of indigenous peoples must be prioritized.

The fact is that people since their ancestors have lived side by side with wild animals, including Komodo dragons and they can live in peace

- This project is also expected to help increase public awareness about the interrelationships between animals and humans. With this, it is hoped that these key species can avoid extinction.
- Customary or community rules and cultural wisdom related to regulating the relationship between animals and humans, which may now be fading, need to be revived to be effective again. It's not easy, but we have to start. However, the closeness between animals and humans cannot be avoided and therefore must be arranged well.
- It was mentioned earlier that Komodo dragons often prey on community goats, then to meet the Komodo dragon's food needs, the community needs to develop goats. Of course, not to be eaten for free by the Komodo dragons but sold if there is a need to fulfill the Komodo dragon's feed if natural food or natural prey has been reduced. It is necessary to build an agreement on preventing Komodo dragons from disturbing livestock and residents' settlements. The end goal is that the animals are not extinct and the community is prosperous. Nature is not damaged, the animals are not extinct, the people are prosperous. Sometimes happens is, the dragons are noticed while the humans are ignored. That can't happen.
- If Komodo becomes an icon of Flores, it is necessary to build a joint movement. The buffer districts must also support the conservation of Komodo dragons. Leaders in each district must see Flores from the perspective of an archipelago ecology. One area is related to another area, so policy synergy is needed to maintain Flores's biodiversity. There must be a sense of shared responsibility for preserving the Komodo dragon.
- I agree that there are many Komodo dragons not only in West Manggarai but also in Riung. Because the Komodo dragon has become a tourist icon, tourism activities in Labuan Bajo are sought as much as possible to have an impact on East Manggarai and Ngada, where there are also Komodo dragons. The promotion of Komodo dragons in Labuan Bajo must be integrated with the promotion of Komodo dragons in Riung.
- AMAN feels it is important to encourage local governments to enact a local regulation on indigenous peoples so that the knowledge and wisdom of indigenous peoples can be documented, activated, and used in natural resource management. There is a lot of local wisdom that is very useful in the sustainable management of natural resources. I agree with the facilitator about local knowledge. Young people need to be encouraged to start documenting local wisdom so that it doesn't become extinct.
- There is still have a lot of rich biodiversity in Flores that we need to preserve, including in the oceans and coasts. So, our local wisdom needs to be turned on for sustainable management of biodiversity

2. Daud P. Tambo (Advocacy and Program Development Division AMAN Nusa Bunga)

- We know that apart from the villages that are the habitat of or close to the Komodo dragon's habitat, there are still many villages or communities in Flores that need assistance and support, both related to biodiversity conservation and economic development. This program should target a broader range of villages experiencing conflicts in natural resource management or their rights are being violated.
- It is very positive that this project has identified the potential impacts of the project, especially the negative impacts, in the early stages. This is good so that it can be anticipated so that it can be minimized or even eliminated or make it not happen. But it is also important to map from the beginning the ecological, social, cultural aspects so that there will be no clashes in the future. It must be ensured that the voices and aspirations of the community are taken into account in project implementation.
- This project should also synergize with the village government, encouraging integration with village regulations. Regulations on natural resource and biodiversity management should be strengthened through village policies or regulations.

3. Tiburtius Hani (Fasilitator)

What was conveyed by the Head of AMAN were positive inputs that need to be considered in implementing this project. It is impossible to expand the target village, especially outside the two landscapes. Regarding the need, it may be true, but it is also good if this program remains focused so that the impact can also be significant.

Regarding efforts to ensure that the aspirations of indigenous peoples must be taken into account, I want to ask whether AMAN wants to be involved in the multi-stakeholder coordination platform as described above. On this platform, the parties can agree and decide on important matters. If AMAN is on the platform, then indigenous peoples' interests can be voiced.
Regarding integration into villages, that is what will be encouraged through this project, especially through the establishment of the OECM or the development of an environmentally friendly community economy.

4. Niko Bhuka (AMAN's Daily Implementing Body)

   - The issue of institutional strengthening of indigenous peoples is important and urgent, good if this project also targets the same thing.
   - One of the important things for strengthening indigenous peoples' institutions is that each region has a local regulation on indigenous peoples. This will strengthen the position of indigenous peoples. This will allow negative impacts to be minimized or eliminated.

5. Tiburtius Hani (Facilitator)

   Regarding the strengthening of indigenous peoples, the project document has been accommodated. However, it does need to be described in more detail according to the conditions and needs of each location. Big ideas about strengthening indigenous peoples have been included in the project document.

6. Beldiana (Secretariat Staff of AMAN Nusa Bunga)

   This project should also be able to accommodate the interests of women, for example, by involving women in project activities, either through meetings or for economic development activities.

7. Tiburtius Hani (Facilitator)

   The Project pays great attention to vulnerable groups and women. So, this aspiration is already included in the project document.

5. Q & A

This session is where the facilitator asks important questions for the participants to answer. The full notes are as follows:

No	Question	Information Point
1.	AMAN's vision, mission, and mandate	• Politically sovereign • Economically independent • Culturally dignified
2.	What is AMAN's concept of indigenous peoples (what are the characteristics of a community that can be called an indigenous community)	There are at least six criteria for indigenous peoples in AMAN's view, namely: • There are residents or communities that inhabit a certain area • There is an area that is the right of control • There is a customary institutional structure • There are traditional ceremonies and rituals • There are customary rules • There is a history of origin (humans and regions) This is the complete criteria, but the community does not have to meet these six criteria. It could be that there is only 1 criterion that is still visible, so other criteria need to be strengthened.
3.	Looking at the list of villages that will be part of the In-FLORES program, do any of them fall into indigenous peoples?	Some of the above criteria were met by the villages that were the targets of IN-FLORES. However, they are indigenous peoples because at least they meet one of the criteria. They have a community name that shows implicitly that they have a history that the current generation may have forgotten. So that's what needs to be strengthened or excavated again so that history is known.
4.	Are these villages a member of AMAN or constituents of AMAN?	The villages in the western landscape are not all AMAN members. Some of the villages in the northern landscape may be members of AMAN, especially in the East Manggarai

		area but need to be re-examined. Meanwhile, all villages in Ngada are not yet members of AMAN.
5.	If not, why?	Most of the current AMAN members were born because of cases. When a group of indigenous peoples has a case with another party, especially regarding their rights, AMAN assists and it is through that process that they become members. This is a common case, whereas members who have volunteered on their own initiative without any problems have so far not been there. This membership approach is still a case by case approach
6.	What are the steps or requirements to become a member of AMAN?	Steps to become a member, especially those without cases: • Apply • Socialization • Fill out the profile • Submit in national working meetings, congresses, major board meetings • There is a fee per year • There is assistance, capacity building, participatory mapping of customary areas
7.	From AMAN's experience, what capacity is needed for indigenous communities to become strong and play a role in biodiversity conservation and livelihood development?	• Strengthening to influence policy • Economic strengthening: people should not be hungry • Strengthen the organization
8.	From AMAN's experience, what is an effective strategy for recruiting indigenous or local community leadership?	• Community meetings • Knowledge of the organization • Feelings of love for the organization • Understand the direction of the organization • Leadership training • Must be loved by people in the community
9.	Would AMAN want to be involved in a multi-stakeholder coordination platform in the context of the In-FLORES program?	Many project components deal with indigenous peoples. AMAN, like it or not, must be involved, invited or not, must be involved in the coordination platform so that the voices and interests of indigenous peoples can be fought for.
10.	How is AMAN's view that the tourism development that is being intensively in Flores can impact people's livelihoods and ensure environmental sustainability?	• Communities are involved, • The community should not be a spectator, even though there is a lot of community potential that is used for tourism • Tourism must have sufficient economic impact, not create new poverty • Knowledge and tourism skills for the community need to be improved • Buffer areas must supply tourism needs
11.	What is AMAN's view that the tourism development that is being intensively in Flores can respect the local community's wisdom and not have a negative impact, both socially and environmental aspect?	• Cultural knowledge is developed and revived • Do not lose the use of local languages • Policy synergy between districts in Flores (maintaining the ecology of Flores)

6. Interview with Head of AMAN

At the end of the consultation, an interview session was held with the Head of AMAN Nusa Bunga on behalf of Philipus Kammi. The purpose of this interview is to summarize and compile more clearly the ideas that have been discussed with the other participants. The full results can be seen in the attached video.

g. Record of Initial Free, Prior and Informed Consent (FPIC) Consultation

Section 1: This section summarizes the day long consultation

Objective of the Consultation:
Introduce the project and discuss the potential involvement of the seven tribes in Lengkosambi
Date of Consultation : 28 June 2022
Location **:** Lengkosambi village, Riung Subdistrict, Ngada District
Participants **:** 26 people (19 M & 7 F)

Name	Gender (F/M)	Organization	Position
Wilhelmino Seneng	F	BPD	Member
Ferdinandus Demu	M	Village Community Empowerment Institute (LPMD)	Member
Ignasius Da Cunha	M	LPMD	Member
Ignasius T. Raja	M	Dusun (sub-village)	Head of Dusun
Fransiskus K	M	Village Consultative Body (BPD)	Member
Arnold Jansen Lali	M	Lengkosambi	Head of Economic development section of LPMD
Yohanes Nuwa	M	Dusun	Head of Dusun
Benediktus Bhena	M	BPD	Vice Chairman
Maria Tima	F	Lengkosambi	Head of Section
Bernadeta Benga	F	Lengkosambi	Community
Lambo Yosef	M	Lengkosambi	Community Figure
Matias M.	M	Adat Stakeholder Institution (LPA)	Member
Kristoforus W.	M	Lengkosambi	Community Figure
Marianus Y.M.	M	Lengkosambi	Community
Theobaldus Sue	M	Dusun	Head of Dusun
Wirentius T.	M	Lengkosambi	Member of village apparatus
Evaristus Rasa	M	Lengkosambi	Community
Aprimus Tiba	M	Lengkosambi	Village Secretary
Fulgensius Ndona	M	Dusun	Head of Dusun
Alfrencus Goa	M	LPA	member
Zainal Arifin	M	Lengkosambi	Community Head

Mariana Igo	F	BPD	Member
Clemensianus R.	M	Lengkosambi	Head of village administration
Spolonic P.	F	Lengkosambi	Community member
Markina Siwal	F	Lengkosambi	Community member
Soria Onteng	F	Lengkosambi	Community member

Mr. Tiburtius Hani from Burung Indonesia was the facilitator of the consultation.
The participants agreed to record the meeting by audio and/or video.
The participants agreed to hold the consultation in Bahasa Indonesia language, which all participants are fluent in.
The facilitator provided a summary of the project and the locations where project is planning to work. The presented slides are attached to this record.
The facilitator described potential positive and adverse impacts to *Adat* communities – see tables attached to this record.

Potential Positive Impacts

IN-FLORES Intervention	**Potential Positive Impacts**
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	1. *Adat* communities participate in the preparation of integrated forest and marine management planning. *2. Adat* communities plan the management of their customary areas, be it grazing areas, agricultural and plantation management areas, watershed areas that are their source of their livelihoods. 3. Adat communities' rights to manage the natural resources is fully recognized. 4. Co-management schemes for conservation and sustainable use are developed where appropriate between adat communities and government agencies. 5. With the participation of *adat* there are improved conservation outcomes such as improved quality of terrestrial and marine habitats and improved management of high biodiversity areas. 6. Strengthened adat institutions and increased political advocacy capacities before the State, both at regional and national levels.
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. *Adat* communities participate in the development of tourism strategy that is integrated with SRAK Komodo. 2. *Adat* communities' incomes increase due to targeted development of livelihood improvement and economic innovation models. 3. *Adat* communities establish their own biofriendly businesses that are suitable with the conditions of the *adat* communities. 4. The number of female led businesses increase.
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities become the key actors in knowledge development activities 2. *Adat* communities' way of life that seek to harmonise between social, economic and ecological values, could potentially be promoted to influence modern society's production and consumption pattern.

Potential Adverse Impacts

IN-FLORES Intervention	**Potential Adverse Impacts**
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant	1. The *adat* communities choose not to take part in project consultation and preparation, or in project activities due to unresolved issues or conflicts related to area conservation management and livelihood strategies.

IN-FLORES Intervention	Potential Adverse Impacts
species in threatened terrestrial and marine habitats in Flores	2. The *adat* community is not appropriately involved in project dissemination and discussion of activity plans. 3. Project implementers fail to identify the most vulnerable groups in the community so the project is mis-targeted 4. Community access to natural resources is limited through zoning or other regulations around the village where the Komodo dragons and their prey are located and thus having a negative impact on community livelihoods. 5. Conflicts between managers of conservation areas and other habitats with communities due to lack of participatory and inclusive processes for conservation and resource use. *5. Adat* communities are increasingly marginalized and marginalized in their own customary areas due to development processes that fail to properly involve them
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. The community does not want to be involved in its business development activities 2. Project implementers do not apply participatory methods (instead top-down) thus failing to identify vulnerable groups most in need of support 3. Project implementers failed to identify the underlying problems that cause the economic marginalization of *adat* communities 4. Economic opportunities are exploited by external parties, or by those who do not need them the most 5. Adat communities do not benefit from investment and entrepreneurial opportunities, and only become spectators of the INFLORES investment mobilization *6. Adat* communities are increasingly marginalized because project activities do not (effectively) reach them
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities refuse to be a source of knowledge in the development of related knowledge products. 2. The methodology for the involvement and study of *adat* communities is not appropriate so that it does not result in optimum engagement, or does not produce information that is relevant to the objectives. 3. Our knowledge of *adat* communities and their role for conservation has not increased and/or developed significantly due to the project's failure to develop appropriate approaches to them. 4. There is no significant contribution that the project can make to policy level issues regarding adat communities or their active involvement in conservation activities.

Signed list of participants

Initial FPIC Consultation with Lengkosambi Community, held on 28 June 2022

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

	Name	Gender (F/M)	Position	Signature
1.	Wilhelmina Serem	P.	Anggota BPD	
2.	FERDINANDUS DEMU	L	LPMD	
3.	Ignasius da Cunha	L	LPMD	
4.	Ignasius T. Raja	L	KADUS	
5.	[illegible]	L	anggota BPD	
6.	Arnold Jansen Lali	L	kaur Perenc.	
7.	Yohanes Nuwa	L	Kadus	
8.	Benediktus Rhena	L	wakil ket. BPD	
9.	Maria Tima	P	Kaji	
10.	Bernadeta Benga	P	Masy.	
11.	Rambu Yosep	L	Tomas	
12.	Matias Mudu	L	LPA	
13.	Kristoforus Wila	L	Tomas	
14.	Marianus Y.M. Lali	L	Masyarakat	
15.	Theobaldus Sue	L	Kadus	
16.	Wirantius Th. Rai	L	Perangkat Desa	
17.	Evaristus Rasa	L	Masyarakat	
18.	Aprimus Tiba	L	Guru	
19.	Fulgensius Mdona	L	Kadus	

Name	Gender (F/M)	Position	Signature
1. Alfonsus Goa	L	LPA	
2. Faisal Arifin	L.	Dy. Fasles.	
3. Mariana Igo.	F	Ang. BPD	
4. Clemensianus Rema	L	Kaur TU	
5. Agnesia Jan	F	Guru	
6. Martina Siwal	F	Masyarakat	
7. Sovia Onteng	F	Masyarakat	

Section 2. Minutes of Meeting

Introduction

The facilitator (Tiburtius Hani) introduced himself as part of the PPG Team that is tasked with preparing the IN-FLORES Project Document (ProDoc). The IN-FLORES or Investing in the Komodo dragon and other globally threatened species in Flores ProDoc is a UNDP and MoEF proposal submitted to the GEF (Global Environment Facility). The IN-FLORES ProDoc draft is available after being consulted with communities, local governments, the central government, and related private sector parties. The consultation meeting is part of the FPIC process to inform and obtain consent from the Lengkosambi community regarding their potential participation in the project.

At the outset of the consultation, the facilitator requested that the attendance list to be filled in, including identifying the *Adat* or customary community that they are from. They did not want to list, however, their Adat community. In the ensuing discussion, the participants explained that ethnicity/tribes is a sensitive matter and there are many tribes living in the area that they follow a local philosophy of *tana sa watu leleng,* meaning, we are different but we have already become one. They refused to fill the list their Adat community because of previous conflicts over land ownership and do not want it to happen again.

The facilitator then explained why it was necessary to include ethnicity/tribe because this project respects the community's identity and wants to ensure they are informed, but if the community did not agree, that was acceptable. Based on the informal discussions the following Adat communities attended the meeting: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu.

The facilitator also asked the participants for permission to record the consultation process, audio and video, and the participants agreed. The facilitator invited the participants not to be nervous because it is being recorded, but to continue to express their views or opinions freely and voluntarily.

1. Logframe Presentation INFLORES

The facilitator explained the IN-FLORES log-frame in detail, starting from the outcomes, output, and main activities. IN-FLORES is an effort to provide further attention to Komodo dragons and other important threatened species in Flores. So far, people generally know that Komodo dragons only exist in the Komodo National Park. In fact, Komodo dragons also exist in Flores, both in conservation areas and outside conservation areas. Komodo dragons outside conservation areas (on community lands, on customary lands of indigenous peoples, etc.) have not been adequately managed. Because this also supports tourism development, it is very important to protect it for its sustainability for the future generation. The project will be implemented in two landscapes: the western landscape in West Manggarai District and the northern landscape in East Manggarai District and Ngada District. The full presentation can be seen in the attached file.

2. Presentation of Potential Impacts

After explaining the log-frame in detail to the activity level, the facilitator explained the project's potential positive and negative impacts. From the start, it is very important to know about these potential impacts, especially negative ones, so that they can be anticipated, minimized, or avoided. This is part of the principles of transparency and accountability adopted by UNDP, including conducting a free, prior, and informed consent process.

3. Presentation of Project Areas

After explaining the potential impacts, the facilitator described where the project will be implemented in the North Flores landscape and the West Flores landscape.

4. Feedback

After presenting the materials above, the facilitator provided an opportunity for the participants to provide feedback. Some of the responses from participants are as follows:

a) Bernadeta Benga (Lengkosambi Community)

From the project's objectives, she strongly agreed if conservation is carried out. The village doesn't yet know what the potential is related to biodiversity. If in North Lengkosambi, there is Watulajar Beach, but in Lengkosambi, they don't

know what the potential is. The Komodo dragons (*Mbau*) around the village have a nice yellowish tinge, but there has been no counseling from the Natural Resources Conservation Agency (BKSDA) that there is a prohibition on hunting. If there is a conservation commitment, it needs to be discussed with the community.

b) Ferdinanus Demu Village Community Empowerment Institute (LPMD)

Regarding this project, the main goal is human welfare. Socialization needs to be improved because conservation talks about habitat. Because of the habitat of Komodo dragons here are many in community gardens. We need to understand what to do when we meet a Komodo dragon so that it doesn't hurt and we live in harmony with nature. We accept the existence of this project.

It is hoped that collaboration at the center needs to be improved. There was an example in the past that we proposed to build infrastructure, but it was in the Conservation Area.

c) Lambo Yosef (Community Figure)

The traditional culture allows for hunting. On the one hand, there is species protection, but on the other hand, there are customary (adat) rules for hunting. There is a need for regulation. Conflicts between customary rules related to hunting so that in the future, it does not have a negative impact on conservation and so customs can still work.

d) Tiburtius Hani (Facilitator)

Regarding hunting for adat, we have examples in Sambinasi and West Sambinasi, where there was an agreement to reduce the previous one-week hunting time to 2 days only a year and based on their agreement after they realized the importance of protecting Komodo dragons and their natural prey.

In conservation, there are three big goals, protecting species, habitats, and community welfare. Don't let us only focus on protecting the species, but we are not prosperous.

e) Matias Madhu (LPA)

How to prepare a location to be protected? A good example is in Torong Padang. This needs to developed around Lengkosambi.

Response: For locations such as Torong Padang, we can't do it at this time in Lengkosambi because further studies and research must be conducted. There are economic development activities for the community because conservation must have an economic impact.

f) Evaristus Rasa (Youth Community)

Talk about forest conservation and fisheries. Conservation needs to exist, especially for water springs. We have a spring location. If left unchecked in the next few years, it will be difficult to get water, plus a lot of illegal logging, especially around springs, due to economic factors.

For the fisheries sector, there is great potential in North Lengkosambi. For fisheries and marine, it is necessary to conserve, especially coral reefs. There is no data yet, but often many catchers use bombs, causing damage to fish houses and fishers. Especially now in North Lengkosambi, there is nature tourism named Watulajar Beach, which the community has developed.

Response: This project focuses not only on land but also on the sea (landscape and seascape). So that not only land species but also need to protect the species in the sea. Through the project approach later, it will be accommodated following the aspirations and information from the community. Training fishers can do this to catch good and non-destructive fishing.

Another thing related to the conservation of springs can be included as a location with a high conservation value. We need to take care of it together. We can discuss the form of monitoring and maintaining springs when this project is running.

g) Ignasius Da Cunha (LPMD)

It is true what Evaristus said; the spring is important because it flows through approximately 9 villages. However, the threat around the springs is relatively high. A radius of approximately 1 km has been denuded and needs to be reforested. So this location is important for conservation at the local level.

h) Kristoforus Wala (Community Figure)

We hope that the proposed program is legal and involves multiple parties. So that good goals related to conservation can be carried out properly.

Response: regarding today's activities, coordination has been carried out with village and sub-district governments to coordinate and report related activities to be carried out.

i) Igansius Da Cunha (LPMD)

Explanation of nature conservation and habitat protection. Often some hunters come from outside the village. Plus, there were customary rules for hunting for customary purposes. We hope there will be regulations that have customary law and a special place for hunting for Adat. So as not to damage ecosystems and other important habitats. There is also a protected forest around us. However, there is a community forest in the protected forest. Community gardens are part of the protected forests.

5. Interviews and Seeking Consent

At the end of the consultation, an interview session and acceptance from the community were held. The purpose of this session was to summarize and compile the ideas that have been discussed with the participants and for community consent if this project continues.

Community representatives were asked whether they wanted to continue the project or not. Fernandinus Dimu, on behalf of the community, explained that this project is very good and will have a positive impact on the community's economy. So, with some notes, it is accepted developed approaches need to involve the community so as not to cause local conflicts or with certain parties and not cause misery for the community.

Regarding the potential project location, it was agreed to, but it needs more study. For example, in an area that is specifically for conservation, can it also be used? For fisher folk, if an area is made into a conservation area, they will have difficulties if they are prohibited from catching fish.

The youth representative, Evaristus Rasa, emphasized that there are so many tribes and communities in Lengkosambi. There are at least 7 customary communities or ethnic groups (Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu) that live together in harmony and peace. The harmony of these various tribes is good in Lengkosambi.

Igansius Da Cunha expressed his support for this project and the importance of protecting the water sources that irrigate their village. It can be done by reforesting the area the water springs.

6. Closing

In his closing remarks village head noted that there is a need to protect species. In the future, there is a need to have both conservation education as well as identify areas where traditional hunting can take place. The central government can issue rules so that there is a balance between culture and nature. The village head also hoped that this project can be implemented to improve the community's economic welfare while still living in harmony with nature, and the community can have a better understanding of knowledge related to conservation.

h. Record of Initial Free, Prior and Informed Consent (FPIC) Consultation

Section 1: This section summarizes the day long consultation

Objective of the Consultation:
Introduce the project and discuss the potential involvement of the three tribes in Tadho
Date of Consultation : 30 June 2022
Location **:** Tadho village, Riung Subdistrict, Ngada District
Participants **:** 24 people (17 M & 7 F)

Name	Gender (F/M)	Organization	Position
Ridwan A. Majid	M		Village Head
Chistophorus D.	M	Village Consultative Body (BPD)	Head of BPD
Fransiskus X. Jiling	M	Village-owned Enterprise (BUMDES)	Director of BUMDES
Ignasius Sinda	M	*Adat* Stakeholder Institution (LPA)	Member
Yoh. B. Djuku	M	Dusun (sub-village)	Head of Dusun 1
Rosalia Imbo	F	Tadho	Community member
Roslinda Nggaing	F	Tadho	Community member
Viktoria Mapung	F	Tadho	Community member
Helena Sumanto Kleden	F	Tadho	Community member
Muhlis Guru	M	LPA	member
Ambrosius Mbae	M	Tadho	Community
Ros Intan	F	Tadho	Adat community leader (Kaur)
Abdul Kasim S.	M	Tadho	Head of Village Empowerment Section
Marcelius Reog	M	Tadho	Community Figure
Kanisius Doko	M	*Adat* Stakeholder Institutions	member
Stavislaus Kangging	M	Tadho	Community Figure
Marmilianus Oje	M	*(LPA*	member
Laurensius Nojeng	M	LPA	member
Polikarpus Papo	M	Tadho	Kaur
Suprianus Bandee	M	Dusun	Head of Dusun III
Laurensius Ebo	M	Tadho	Secretary
Maria D. Arung	F	Tadho	Head of Service Section
Julrati	F	Tadho	Head of Public Welfare Section
Krisbiyanto M. T.	M	Tadho	Community

Mr. Tiburtius Hani from Burung Indonesia was the facilitator of the consultation.
The participants agreed to record the meeting by audio and/or video.
The participants agreed to hold the consultation in Bahasa Indonesia language, which all participants are fluent in.
The facilitator provided a summary of the project and the locations where project is planning to work. The presented slides are attached to this record.
The facilitator described potential positive and adverse impacts to *Adat* communities – see tables attached to this record.

Potential Positive Impacts

IN-FLORES Intervention	Potential Positive Impacts
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	1. *Adat* communities participate in the preparation of integrated forest and marine management planning. *2. Adat* communities plan the management of their customary areas, be it grazing areas, agricultural and plantation management areas, watershed areas that are their source of their livelihoods. 3. Adat communities' rights to manage the natural resources is fully recognized. 4. Co-management schemes for conservation and sustainable use are developed where appropriate between adat communities and government agencies. 5. With the participation of *adat* there are improved conservation outcomes such as improved quality of terrestrial and marine habitats and improved management of high biodiversity areas. 6. Strengthened adat institutions and increased political advocacy capacities before the State, both at regional and national levels.
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. *Adat* communities participate in the development of tourism strategy that is integrated with SRAK Komodo. 2. *Adat* communities' incomes increase due to targeted development of livelihood improvement and economic innovation models. 3. *Adat* communities establish their own biofriendly businesses that are suitable with the conditions of the *adat* communities. 4. The number of female led businesses increase.
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities become the key actors in knowledge development activities 2. *Adat* communities' way of life that seek to harmonise between social, economic and ecological values, could potentially be promoted to influence modern society's production and consumption pattern.

Potential Adverse Impacts

IN-FLORES Intervention	Potential Adverse Impacts
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	1. The *adat* communities choose not to take part in project consultation and preparation, or in project activities due to unresolved issues or conflicts related to area conservation management and livelihood strategies. 2. The *adat* community is not appropriately involved in project dissemination and discussion of activity plans. 3. Project implementers fail to identify the most vulnerable groups in the community so the project is mistargeted 4. Community access to natural resources is limited through zoning or other regulations around the village where the Komodo dragons and their prey are located and thus having a negative impact on community livelihoods. 5. Conflicts between managers of conservation areas and other habitats with communities due to lack of participatory and inclusive processes for conservation and resource use. *5. Adat* communities are increasingly marginalized and marginalized in their own customary areas due to development processes that fail to properly involve them
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. The community does not want to be involved in its business development activities 2. Project implementers do not apply participatory methods (instead top-down) thus failing to identify vulnerable groups most in need of support

IN-FLORES Intervention	Potential Adverse Impacts
	3. Project implementers failed to identify the underlying problems that cause the economic marginalization of *adat* communities 4. Economic opportunities are exploited by external parties, or by those who do not need them the most 5. Adat communities do not benefit from investment and entrepreneurial opportunities, and only become spectators of the INFLORES investment mobilization *6. Adat* communities are increasingly marginalized because project activities do not (effectively) reach them
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities refuse to be a source of knowledge in the development of related knowledge products. 2. The methodology for the involvement and study of *adat* communities is not appropriate so that it does not result in optimum engagement, or does not produce information that is relevant to the objectives. 3. Our knowledge of *adat* communities and their role for conservation has not increased and/or developed significantly due to the project's failure to develop appropriate approaches to them. 4. There is no significant contribution that the project can make to policy level issues regarding adat communities or their active involvement in conservation activities.

Signed list of participants

Initial FPIC Consultation with Tadho Community, held on 30 June 2022

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	GEF Project ID: 10728

	Name	Gender (F/M)	Position	Signature
1	Ridwan A. Majid	Pria	Pj. Kepala Desa	
2	Christophorus Djeku	Pria	Ketua BPD	
3	Fransiskus X. Jiling	Pria	Direktur Bumdes	
4	Blasius Sinda	—	Anggota LPA	
5	Yoh. B. Djeku	Pria	Kadus I	
6	Rosalia Imbo	Wanita	Toko Wanita	
7	Rosiecla Nggaing	Wanita	Toko Wanita	
8	Viktoria Kapung	Wanita	Toko Wanita	
9	Helena Gunardo Kleden		Masyarakat	
10	Muklis Guru	Pria	LPA	
11	Ambrosius Mbae	Pria	Masyarakat	
12	Ros Intan	Wanita	Kaur Desa	
13	Abdul Kasim Sapa	Pria	Kasi Pem. Ds. Tadho	
14	Maseko Reang	—	Toko Masyarakat	
15	Kanisius Deko	Pria	LPA	
16	Stanislaus Kangging	Pria	Toko masyarakat	
17	Marmilianus Ose	Pria	Ket LPA de Tadho	
18	Laurensius Najeng	Pria	Ket L.P.A Tadho	
19	Polikarpus Papo	Pria	Kaur	

Name	Gender (F/M)	Position	Signature
Sipriones Bandes	Pria	Kadus III	
Laurensius Ebo	pria	Seldes	
Maria D. Arung	wanita	kasi pelayanan	
Julrati	wanita	kasi kesrah	
Krisbiyanto M. Toang	Laki	Mahasiswa	

Section 2. Minutes of Meeting

Introduction

The facilitator (Tiburtius Hani) introduced himself as part of the PPG Team that is tasked with preparing the IN-FLORES Project Document (ProDoc). The IN-FLORES or Investing in the Komodo dragon and other globally threatened species in Flores ProDoc is a UNDP and MoEF proposal submitted to the GEF (Global Environment Facility). The IN-FLORES ProDoc draft is available after being consulted with communities, local governments, the central government, and related private sector parties. The consultation meeting is part of the FPIC process to inform and obtain consent from the Talado customary or *Adat* community regarding their potential participation in the project.

The facilitator also asked the participants for permission to record the whole process, audio and video, and the participants agreed. However, the facilitator invites the participants not to be nervous because it is being recorded, but to continue to express their views or opinions freely and voluntarily.

1. **Logframe Presentation INFLORES**

The facilitator explained the IN-FLORES log-frame in detail, starting from the outcomes, output, and main activities. IN-FLORES is an effort to provide further attention to Komodo dragons and other important threatened species in Flores. So far, people generally know that Komodo dragons only exist in the Komodo National Park. In fact, Komodo dragons also exist in Flores, both in conservation areas and outside conservation areas. Komodo dragons outside conservation areas (on community lands, on customary lands of indigenous peoples, etc.) have not been adequately managed. Because this also supports tourism development, it is very important to protect it for its sustainability for the future generation. The project will be implemented in two landscapes: the western landscape in West Manggarai District and the northern landscape in East Manggarai District and Ngada District.

2. **Presentation of Potential Impacts**

After explaining the logframe in detail to the activity level, the facilitator explained this project's potential positive and negative impacts. From the start, it is very important to know about these potential impacts, especially negative ones, so that they can be anticipated, minimized, or avoided. This is part of the principles of transparency and accountability adopted by UNDP, including conducting a free, prior, and informed consent process.

3. **Presentation of Target Villages**

After explaining the potential impacts, the facilitator describes the target villages for project implementation in two landscapes.

4. **Feedback**

After presenting the materials above, the facilitator provided an opportunity for the participants to provide feedback. Some of the responses from participants are as follows:

a. **Ignasius Sinda (Member of Adat Stakeholder Institution)**

Komodo (*Mbau*) in our village has not been seen to have a positive or negative impact. Previously, indigenous peoples were not involved in this kind of socialization, so the positive or negative impact could be known. The previous example was that other parties had claimed many assets in the village and the space for movement in this area was limited. If there is a program in the community, we have to be involved in finding solutions together.

b. **Fransiskus X. Jiling (Director of BUMDES)**

Komodo conservation in the Tadho area has not been very visible because it has never been seen again. Only parents know about Komodo and have seen it. We still can't tell the difference between a Komodo dragon, a crocodile, or a giant lizard. In the past, an NGO came and carried out socialization on Komodo to the community. However, the problem is that the people themselves have never seen Komodo dragons in person. Education is needed to ensure that the risk of animal and human conflict can be anticipated.

Previously, Tadho was a busy area because it had a famous market. The local government had also built market infrastructure, but now the market is centered in the sub-district, so the market in Tadho is neglected.

The government has also built a fish auction market, but there is no sustainability, and it is no longer functioning. It should be reorganized, revive the market and become a place of recreation because there are potential beaches around the Tadho area.

In terms of economic development, the village government and BUMDES can reorganize the market and the management of tourist attractions. Our area also has traditional woven crafts carried out by women's groups. In addition, Tadho has strong traditions and often performs rituals regularly from year to year, such as a series of traditional hunting, traditional *goong,* and traditional boxing. The tourism potential of traditional rituals can be developed so that the culture is maintained and known by the wider community. In the Tadho area, there are also traditional village sites whose heritage is still complete, such as forts and stone fences. But now, it is no longer occupied, but the traditional site still exists. The community can be facilitated by developing culture and rituals through this program.

In connection with other issues, there was information about a company that entered Riung to develop several islands, but there was no communication with the community. Several islands have sites that local people use for the cultural places of the Tadho people. The company should discuss with the public about the investment. So that the community can feel the positive impact, there is room for community movement. Don't let people's movement space be limited.

Response: Regarding the potential for *adat,* and it is still being practiced consistently, it can become a tourism potential, coupled with the presence of Komodo dragons or other species, which will attract people to come to Tadho. Input related to the market, and community economic development, such as handicrafts, will be included as part of the project later.

c. Stariuslaus Kangging (Community Figure)

So that there is no conflict with the Komodo, we can help with land use updates. Because some of the Tadho areas are included in the Nature Reserve area (CA), which we used to be able to be use, now we can't anymore. In coastal areas, there are also marine parks (TWA) that can no longer be used. We have *adat* activities that include fishing, but because it is in TWA, it cannot be used anymore. If possible, this program can reorganize land use, dividing which areas can be utilized and which are regulated for conservation.

d. Marmilianus O. (Adat Stakholder)

In the course of people's lives, we maintain the term "*Moku pada lele jawa, satengu wole tel*u" which means that we humans have obedience and stand on 3 principles, namely custom, religion, and government.

e. Chrsitoporus D. (Head of BPD)

In the Tadho area, there are 3 types of animals protected by the BKSDA, namely Mbau (Komodo), monkey, and bat. It is necessary to socialize the protected species. We understand that when three types of animals are found in CA, they are protected, but when they enter people's yards, they can be killed. This needs to be straightened out. Regarding the improvement of the community's economy, to pay special attention to several groups, such as the ikat group and the weaving group, it would be good if this program reaches this group and groups of traditional artists.

f. Rosalia Imbo (Community leader)

Weaving is part of the Tadho culture. There is basic material for weaving such as using burned coral to blacken the thread. In the past, people used to use wood, but now because there is a CA, they find it difficult to use firewood because it is forbidden. Even though they used to take it from their parents' garden, now it's included in the CA and it can't be used anymore.

g. Supianus Bando (Head of Dusun III)

According to the local community, there are Komodo dragons that live in the mangroves. Please note that there is mangroves and there is a need for reforestation.

h. Fransiskus X. Jiling (Director of BUMDES)

The Tadho area is an area that also borders the sea. If the tide is high, the seawater can reach the settlements. If possible, a barrier wall is proposed, so sea water does not reach residents' settlements because there are often high tides. Regarding the causeway from Tadho to Riung, where there is an area that has been included

in the CA Area, the community does not dare to cut down trees to fix the road. There needs to be the further explanation regarding the maintenance of the road that goes into the CA Area. It is hoped that a review can be carried out on several locations that can be used by the community, which were previously used as community gardens, which are now included in the CA Area.

i. **Marselius Reong (Community Figure)**

We had past disappointments when our gardens were incorporated into the CA, and we couldn't use them anymore. We regret that we were not involved in determining the CA's boundaries. Community gardens currently in CA should be returned to the community.

7. Acceptance

At the end of the consultation, an interview session and acceptance from the community were held. The purpose of this session was to summarize and compile the ideas that have been discussed with the participants and for community consent if this project continues. Ridwan A. Majid, Head of Tadho community, on his behalf and representing the community, explained that this project is good and will impact the community economy of Tadho Community. So, with some notes, we accept that the approaches need to involve the community so as not to cause local conflicts with certain parties and will not cause misery for the community.

8. Closing

The village head delivered the closing remarks for this meeting. Talk about inputs from the community if this program is implemented. He also stated that he would involve in the program.

4. Summary of the stakeholder engagement activities

No	Activities	Location and date	Stakeholder targeted	Method	Engagement Material	Issues raised	Report back
1	Initial Coordination	Jakarta, 6-13 Aug 2021	Ministry of Environment and Forestry, DG KSDAE – Directorate KKH, KK, PIKA	Group meeting (online)	Proposed PPG workplan, draft ToR Inception Workshop	Timeline for PPG activities, Inception Workshop preparation, communication and coordination mechanism	Minutes
2	Initial Coordination	Labuan Bajo, Borong, Bajawa, 6 – 13 Aug 2021	Planning Agency, FMU, KSDA, Environment Agency, Tourism Agency, Village empowerment Agency, contact person of targeted community	One on one meeting	Summary of PIF, ToR for inception workshop	Project implementation must consider involvement of local stakeholder	Minutes
3	Inception Workshop	Jakarta & online (hybrid), 21 Oct 2021	71 parties ranging from several Ministries, province and district government departments, university, CSO, private sectors	Presentation, Q and A, feedback/input presentation, discussions	Summary of PIF, project site map, PPG planning	Project should be developed and consulted to the three pillars: government, community, religious leaders; project should be aligned with other ministries/agencies planning.	Minutes, photo
4	Field Consultation	Sambinasi, 30 Oct 2021	Village government, customary leaders, women group, community leader, representative of youth group	Presentation, Q and A, Focused Group Discussion, field observation	Summary of PIF, Project site map	Community based management, tenure conflict resolution, human wildlife conflict, environment friendly investor, women participation, local wisdom in nature resources management	Minutes, photo, video
5	Field Consultation	Bajawa, 1 Nov 2021	Planning Agency, Tourism, Agriculture, Livestock, Industry and Cooperative, Village Empowerment, General Affairs and Spatial Planning, Forest Management Unit	Presentation, Q and A, Focused Group Discussion	Summary of PIF, Project site map	Coordination among stakeholders, consistency in spatial planning, community participation, budget support, land speculation	Minutes, photo, video
6	Field Consultation	Borong, 5 Nov 2021	Planning Agency, Tourism, Disaster mitigation, Agriculture, National Land Authority, Environment Agency, Forest Management Unit	Presentation, Q and A, Focused Group Discussion	Summary of PIF, Project site map	Coordination among stakeholders, consistency in spatial planning, budget support, land speculation, agriculture biodiversity friendly	Minutes, photo, video
7	Field Consultation	Pota, 8 Nov 2021	Representative from Pota, Nanga Baras, Nanga Mbaling, Nanga Mbaur, Golo Lijun, Nanga Logo, Nampar Sepang, and also community leader surrounding Pota	Presentation, Q and A, Focused Group Discussion, field observation	Summary of PIF, Project site map	Human wildlife conflict, capacity in business development, high dependence on seeds from outside (onion, corn, rice), agriculture biodiversity friendly, local wisdom in nature resources management, women participation in development.	Minutes, photo, video
8	Field Consultation	Labuan Bajo, 11 Nov 2021	Tourism, Planning Agency, Village Empowerment, Environment Agency, Industry and Cooperative, Disaster Mitigation, Agriculture, Livestock Agency, Forest Management Unit	Presentation, Q and A, Focused Group Discussion	Summary of PIF, Project site map	Coordination among stakeholders, consistency in spatial planning, budget support, land speculation.	Minutes, photo, video
9	Field Consultation	Longos, 13 Nov 2021	Representative from Nanga Kantor Barat Village and Pontianak Village	Presentation, Q and A, Focused Group Discussion	Summary of PIF, Project site map	Access and control of community to nature resources, access for fisheries activities, negative experience related to conservation area management, community based resources management, human wildlife conflict	Minutes, photo, video

No	Activities	Location and date	Stakeholder targeted	Method	Engagement Material	Issues raised	Report back
10	Field Consultation	Bajawa, 2 Nov 2021	Head of National Land Authority of Ngada	Interview	Summary of PIF, Map of project site	Aspiration of Sambinasi Village in terms of land certificate and nature reserve boundary. National Land Authority has received some land certificate proposal for any location in Riung, included Watu Mitong but could not be processed because the location is inside of Nature Reserve Boundary.	Recording
11	Field Consultation	Bajawa, 2 Nov 2021	Head of Environment Agency of Ngada and staff	Interview, Discussion	Summary of PIF	Biodiversity conservation is presented in organization structure but there no budget allocated. Lack of consistency in spatial planning implementation.	Minutes
12	Field Consultation	Bajawa, 2 Nov 2021	Head of Forest Management Unit of Ngada	Discussion	Site project map	Still lack of capacity, lack of budget support from Provincial Forestry Agency, Social Forestry Program, forest area boundary and conflict with community, forest patrol and monitoring, integration of biodiversity conservation in Long Term Forest Management Plan.	Minutes, photo
13	Field Consultation	Bajawa, 2 Nov 2021	Village Empowerment Agency of Ngada	Interview, discussion	Summary of PIF	Community participation in development, gender mainstreaming through gender focal point, opportunity to encourage village government to integrate conservation issue into village development program, village business unit as potential to support communities' business	Minute, photo, video
14	Field Consultation	Borong, 4 Nov 2021	Planning Agency of Manggarai Timur District	Interview, Discussion	Project site map	Land speculation in Pota and surrounding, biodiversity has been integrated in the district plan but there is no significant program in the ground due to budget limited, conservation is important but district government still focus on improvement of infrastructure.	Minutes, photo
15	Field Consultation	Borong, 4 Nov 2021	Forest Management Unit of Manggarai Timur	Discussion	Summary of PIF, project site map	Biodiversity conservation is part of forest protection, Long-term Forest Management Plan has included biodiversity issues, lack of budget support, lack of capacity in forest monitoring, tenure conflict, Social Forestry Program is quite stagnant, communities' acceptance to the Social Forestry Program still low	Minutes, photo
16	Field Consultation	Ruteng, 6 Nov 2021	Coordinator of JPIC of SVD Ruteng	Interview	Summary of PIF	Cooperative could be used also as media for discuss and share information regarding biodiversity conservation, biodiversity friendly business, acknowledgement of local communities' rights. Conservation must be integrated with economic development program.	Minutes, photo, video

No	Activities	Location and date	Stakeholder targeted	Method	Engagement Material	Issues raised	Report back
17	Field Consultation	Pota, 8 Nov 2021	Chair of Women Group	Interview	Summary of PIF	Economic activities that is specific for women is weaving, organic vegetable growing, participation of women in village development	Minutes, video
18	Field Consultation	Pota, 9 Nov 2021	Field staff of The District Tourism Agency of Manggarai Timur	Interview	Summary of PIF	Engagement program that has been conducted (impact and strategy), community perception on komodo, distribution of komodo, human wildlife conflict	Minutes, video
19	Field Consultation	Labuan Bajo, 12 Nov 2021	Staff Forest Management Unit of Manggarai Barat	Interview	Summary of PIF	FMU have not had final version of Long-term Forest Management Plan document as review of older version of the document, lack of budget support, lack of capacity in forest and biodiversity monitoring, have initiate development of natural tourism, sustainable use of non-timber forest product.	Minutes
20	Field Consultation	Labuan Bajo, 12 Nov 2021	Village Empowerment Agency of Manggarai Barat	Interview	Summary of PIF	There is an opportunity encourage village government to integrate conservation issue into village government development. Village government is also required to mainstream SDGs in village development program.	Minutes, recording
21	Field Consultation	Labuan bajo, 16 Nov 2021	BPO Labuan Bajo Flores (Labuan Bajo Flores Authority)	Interview	Summary of PIF, project site map	BPO concern to improve the infrastructure to support tourism activity. BPO concern to consider biodiversity and habitat protection in developing infrastructure. Planning for road contraction to support Specific Economic Development Area need to be adjusted considering habitat of Komodo. The same case with improvement of high way in the northern part, need to consider the protection of Komodo and its habitat in the north.	Minutes
22	Ministerial Consultation	Jakarta & online (hybrid), 16 Dec 2021	Ministry of Marine Affairs & Fisheries – represented by the Kupang National Marine Conservation Area	Presentation, discussion	Summary of PIF, project site map	Overlap area of Komodo habitat with the jurisdiction of Kupang National Marine Conservation Area, opportunities for collaboration.	Minutes
23	Ministerial Consultation	Jakarta & online (hybrid), 7-8 Dec 2021	Ministry of Environment & Forestry – Directorate KKH, Directorate KK, NTT Conservation Agency, Komodo National Park	Focused Group Discussion	METT, GEF-7 Indicator format	METT score & topics such as personnel, capacity, equipment, and other concern related to managing protected/conservation area.	GEF-7 Indicator format completed
24	Ministerial Consultation	Bogor & online (hybrid), 20 Dec 2021	National Planning Agency (BAPPENAS) – Directorate of Forestry and Water Resources Conservation	Presentation, discussion	Summary of PIF, project site map	Draft log-frame in relation to national planning, OECM as the Government of Indonesia target & IN-FLORES is expected to bring result/achieve the OECM pilot. BAPPENAS agree with IN-FLORES project design.	Minutes

No	Activities	Location and date	Stakeholder targeted	Method	Engagement Material	Issues raised	Report back
25	Ministerial Consultation	Bogor & online (hybrid), 20 Dec 2021	Ministry of Villages, Poor Disadvantaged Regions, & Transmigration - Directorate General of Village and Rural Development	Presentation, discussion	Summary of PIF, project site map, summary of DG Village & Rural Development policy	Potential synergy with the Ministry through the policy on Village SDGs and program Tourism Village & Digital Village	Minutes
26	Ministerial Consultation	Bogor & online (hybrid), 20 Dec 2021	Ministry of Public Works and Settlements – Integrated Management Tourism Plan team	Presentation, discussion	Summary of PIF, project site map, summary of ITMP progress & content	Data sharing is needed for better infrastructure planning particularly on the habitat area, ecological aspect, and risks. ITMP is open for further discussion and to take into account the ecological aspect and IN-FLORES concern.	Minutes
27	Ministerial Consultation	Bogor & online (hybrid), 20 Dec 2021	Cooperatives and SMEs - Deputy for Entrepreneurship	Presentation, discussion	Summary of PIF, project site map	Potential synergy with the Ministry through the program under Deputy for Entrepreneurship, which is business accompaniment for local champion. Other deputy also potential for synergy, such as the Deputy for Micro-Business.	Minutes
28	Ministerial Consultation	Jakarta, 27 Dec 2021	Ministry of Environment and Forestry – various directorate under DG KSDAE	Presentation, discussion	Draft Pro-DOC, log-frame & budget, safeguard	Inputs on the activities for revision, timeline to finalize the documents. In principles, the MoEF agree with the log-frame & budget, just needed minor revision.	Minutes
29	Validation Workshop	Jakarta & online (hybrid), 7 Jan 2022	24 parties ranging from several Ministries, province and district government departments, university, CSO, private sectors	Presentation, Q and A, feedback/input presentation, discussions	Summary of project component & activities, landscape profile & project site map, safeguard issue, project organogram	Clarification on the activities, inputs for the village selection, inputs for OECM, clarification on project organogram & beneficiaries	Minutes, recording
30	Field Consultation	Lengkosambi, 28 June 2022	Village government, customary leaders, women group, community leader, representative of youth group	Presentation, discussion, interview	Summary of PIF	Human welfare, water spring protection, nature reserve boundary	Minutes, photo, video
31	Field Consultation	Tadho, 30 June 2022	Village government, customary leaders, women group, community leader	Presentation, discussion, interview	Summary of PIF	Economic development through BUMDES and women group (weaving, handicraft, etc.), tourism potential such as adat ritual, ecotourism; nature reserve boundary	Minutes, photo, video

5. List of participants

No	Name	Gender		Institution / Affiliation	Position	Contact Number	Activity			
		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
	Ministries									
1	Ir. Wiratno	1		Ministry of Environment & Forestry	Director General KSDAE (Directorate General of Natural Resources and Ecosystem Conservation)		1			
2	Anton E. Satrio	1		Ministry of Environment & Forestry	Head of Section, KSDAE	0816567845	1			
3	Erna Ristiyanti		1	Ministry of Environment & Forestry	Data Analyst, KSDAE	081384435355	1			
4	Rini Fitrah Entebe		1	Ministry of Environment & Forestry	Data Analyst, KSDAE		1			
5	Yohan Hendratmoko	1		Ministry of Environment & Forestry	Head of Section, KSDAE		1			
6	Ratna Kusuma Sari		1	Ministry of Environment & Forestry	Analyst, Sekretariat KSDAE	081310006737	1			
7	Retno Suratri		1	Ministry of Environment & Forestry	Staff, KSDAE	081225887747			1	1
8	Roby Rajani Nurzaini	1		Ministry of Environment & Forestry	Perencana Muda, KSDAE	085231761988			1	
9	Hilman T. Sukma	1		Ministry of Environment & Forestry	Analis Kerja Sama Teknik, KSDAE	081281917437				1
10	drh. Indra Exploitasia		1	Ministry of Environment & Forestry	Director KKH (Directorate of Biodiversity Conservation)		1			1
11	Krismanto Padang	1		Ministry of Environment & Forestry	Head of Section, KKH	08127865493	1			1
12	Lulu Agustina		1	Ministry of Environment & Forestry	Act Head of Sub-directorate, KKH		1		1	1
13	Fifin Nopiansyah	1		Ministry of Environment & Forestry	Head of Section, KKH	08126752952	1	1	1	1
14	Adam Bahtiar	1		Ministry of Environment & Forestry	Staff, KKH	087770417151	1	1	1	1
15	Desy Satya		1	Ministry of Environment & Forestry	Staff, KKH	08129542679	1	1	1	1
16	Novirin Razanah J.		1	Ministry of Environment & Forestry	Staff, KKH	081806343586	1			1
17	Praniti Herma		1	Ministry of Environment & Forestry	Staff, KKH	081220991283	1			1
18	Eka Rahmawati		1	Ministry of Environment & Forestry	Staff, KKH	081294222463	1		1	1

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		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
19	Siti Nurjanah		1	Ministry of Environment & Forestry	Staff, KKH	081212791258	1		1	1
20	Ika Widyaningrum		1	Ministry of Environment & Forestry	Staff, KKH	08129392756	1	1	1	1
21	Jefry Susyafrianto	1		Ministry of Environment & Forestry	Director of Conservation Area Planning	081281952459			1	
22	Jefry Susyafrianto	1		Ministry of Environment & Forestry	Analyst, of Conservation Area Planning	085691845466			1	
23	Marionni A Hanoum	1		Ministry of Environment & Forestry	Head of Nature Conservation Inventory Section	08127946715			1	
24	Ikeu Sri Rejeki		1	Ministry of Environment & Forestry	Data Analyst	081311525432	1		1	1
25	Rasyidah		1	Ministry of Environment & Forestry	Head of Section	081382151285	1	1		
26	Imam Fauzi	1		Ministry of Marine & Fisheries	Head of Kupang National Marine Conservation Area	081317898464			1	
27	Rahmad Hidayat	1		Ministry of Marine & Fisheries	Young Expert Coastal and Marine Ecosystem Management, Kupang National Marine Conservation Area	081378257070			1	
28	Sudrajat	1		Ministry of Villages, PDT and Transmigration	Sesditjen PEID (Directorate General of Economic Development and Investment in Villages, Disadvantaged Regions, and Transmigration)	081311224564	1			
29	Rini Nuraini		1	Ministry of Villages, PDT and Transmigration	Analyst, Directorate General of Village and Rural Development	081290351707			1	
30	Luh Ayu P.		1	Ministry of Villages, PDT and Transmigration	Analis Tata Usaha		1			
31	Abdul Hamid	1		Ministry of Villages, PDT and Transmigration	Staff		1			
32	Aditya Pradana	1		Ministry of Agrarian and Spatial Planning,	Staff, Directorate of Regional Spatial Planning Development II	082226668312				1
33	Rhefita Ardhana		1	Ministry of Agrarian and Spatial Planning,	Staff, Directorate of Regional Spatial Planning Development II	083871799658	1			

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		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
34	Caesar Adi Nugroho	1		Ministry of Agrarian and Spatial Planning,	Coordinator, Directorate of Regional Spatial Planning Development II	087882326526	1			
35	Suriadi	1		Ministry of Agrarian and Spatial Planning,	Staff	081245994614				1
36	Noor Ulfati Fatimah		1	Ministry of Agrarian and Spatial Planning,	Staff	085603777306				1
37	Dessy Kurnia		1	Ministry of Agrarian and Spatial Planning,	Coordinator	081388691098				1
38	Sulistyaningsih		1	Ministry of Social Affairs	Coordinator Program, Directorate of Remote Indigenous Community Empowerment	082112939921				1
39	Adi Daen Fahmi	1		Ministry of Cooperatives and SMEs	Head of Business Assistance, Deputy for Entrepreneurship	0818681655			1	
40	Laurentinus Dwi K.	1		Ministry of Cooperatives and SMEs	Staff, Deputy for Entrepreneurship	081235667850			1	
41	Nadia Wulandari		1	Ministry of Cooperatives and SMEs	Head of Sub-section, Deputy of Micro-business		1			
42	Nenni Naomi		1	Ministry of Cooperatives and SMEs	Secretary, Deputy of Micro-business					1
43	Martinus Kerau	1		Ministry of Cooperatives and SMEs	Head of SMEs	082247066856		1		
44	Naelly		1	Ministry of Finance	Staff		1			
45	Pungky Widiyaryanto	1		BAPPENAS	Deputy Director, Directorate of Forestry and Water Resources Conservation				1	
46	February Ramadhan	1		BAPPENAS	Staff				1	
47	Martha Theresia J Siregar		1	BAPPENAS	Staff	082364787975	1			1
48	Dwitantian		1	BAPPENAS	Staff		1			
49	Murti Lestari		1	Ministry of Public Works and Human Settlements	Co Team Leader, Integrated Tourism Management Plan Labuan Bajo	08122942190	1		1	1
50	Juanita Mandagi		1	Minitry of Public Works and Human Settlements	Marine Biologist/Ecologist, Integrated Tourism Management Plan Labuan Bajo	08128531891	1		1	1
51	Iswan	1		Minitry of Public Works and Human Settlements	Public Policy Specialist, Integrated Tourism Management Plan Labuan Bajo	08111189652			1	1

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		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
52	Joni Aldilla Fajri	1		Minitry of Public Works and Human Settlements	Consultant, Integrated Tourism Management Plan Labuan Bajo	085238210097			1	1
53	Rizal Budiawan	1		Minitry of Public Works and Human Settlements	Area & Urban Planner	081383434254	1			
	Regional Government									
54	Arief Mahmud	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Head of BBKSDA		1	1	1	1
55	Kriswoyo	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Head of Sub-Section	081391555569	1		1	
56	Dewi Indriasari		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Penyuluh	081353891517			1	
57	Saturnino Xavier, S.P., M.Si.	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Fungsional PEH Muda	085266681813			1	
58	Ida Mustikaningrum, S.Hut		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH	082242819198			1	
59	Sahudin	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH	08113829229	1		1	
60	Susana Enggelina Bunga Koli, A.Md		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Polhut	08590929675			1	
61	David Daing	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Pengolah Data	081239856086	1		1	
62	Imanuel Ndowen	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Head of Administration			1		
63	Elisa Iswandono	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH Madya	081334707201	1			
66	Herniwati		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH Pertama	081339363363	1			
67	Heri Suheri	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Kabid KSDA Wil II	081313505740	1		1	1
68	Juna Mardani	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH	081285128503	1			
69	Koko Suwandi	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH		1			

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		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
70	Pieter R.E. Didok	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Head of Section Wil IV	085253042224	1			
71	Marliana Chrismiawati		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH		1			
72	Benedictus Marianus	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Penyuluh Kehutanan Muda	081339274939	1			
73	Maria Angelica		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Polhut	085371133189	1			
74	Sindi Nursiamdini		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH	082111448828	1			
75	Siprianus Janggur	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Pengolah Data		1			
76	Oktan Poy	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH	082236394261	1			
77	Yeni Tris S.		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	PEH	085337676989	1			
78	Rizky Novita		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Penyuluh	081904091814	1			
79	Trisapdrah		1	Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Polhut	08114211115	1			
80	Sahudin	1		Center for Conservation of Natural Resources NTT (BBKSDA NTT)	Head of Labuan Bajo Conservation Resort			1		
81	Awang Lukito	1		Komodo National Park	Head of NP		1	1	1	1
82	Gatot Kuncoro Edi	1		Komodo National Park	Head of Section	085234025515	1		1	1
83	Muhammad Ikbal Putera	1		Komodo National Park	PEH Pertama	081310300678			1	1
84	Fabrianus R. Koda	1		FMU Ngada	Planning staff	‘081237433015		1		
85	Christianus Say	1		FMU Ngada	Head	‘081339455306		1		1
86	Ary Khrun Loke	1		FMU Ngada	Head of Planning Section	081353703555		1		
87	Kontantinus Ama	1		FMU East Manggarai	Staff	082359429599		1		
88	Marselus Ndeu	1		FMU East Manggarai	Head of FMU			1		
89	Bernadus Palus	1		FMU East Manggarai	Head of Section	081237016084		1		
90	Doni Nggaro	1		FMU East Manggarai	Head of Section			1		
91	Stefanus Nali	1		FMU West Manggarai	Head			1		

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		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
92	Muhamad Nurdin	1		FMU West Manggarai	Staff	081236426942		1		
93	Stef Ova	1		FMU West Manggarai	Staff	081230121112		1		
94	Johannis A. E.	1		Environmental and Forestry Service, NTT Province	Head of Section	081237162682	1			
95	Sulastri H. I. Rasyid		1	Environmental and Forestry Service, NTT Province	Head of Section	081327942100	1			
96	Rudi	1		Environmental and Forestry Service, NTT Province				1		
97	Bernabas Angkak	1		Environmental and Forestry Service, West Manggarai District	Head of PK Departement	081337624745		1		
98	Suwardi	1		Environmental and Forestry Service, West Manggarai District		081339175425		1		
99	Jayadi A. Lando	1		Environmental and Forestry Service, West Manggarai District	Head of section	082144384532		1		
100	Bona Ardin	1		Environmental and Forestry Service, West Manggarai District	Act Head of Service	0821450857070	1			
101	Emanuel Kora	1		Environmental Service, Ngada District	Head	081339332094		1		
102	Flaviana Halifa		1	Environmental Service, Ngada District	Section Head	085253420638		1		
103	Sherly Wila Huki		1	Development Planning Agency at Sub-National Level of NTT Province				1		
104	Shana Fatina		1	Labuan Bajo Flores Authority (BPOLBJF)	Director		1	1		1
105	Desvita		1	Labuan Bajo Flores Authority (BPOLBJF)	Staff	081222208947	1			
106	Stefania Helmon		1	Labuan Bajo Flores Authority (BPOLBJF)	Staff		1			
107	Buyung Arif Nugroho	1		Labuan Bajo Flores Authority (BPOLBJF)	Kadiv Aksesibilitas dan Infrastruktur		1			
108	Rudi Laismono	1						1		
109	Antonius P. Ngal	1		Animal Husbandry Service, Ngada District	Secretary	‘082111706228	1	1		

No	Name	Gender		Institution / Affiliation	Position	Contact Number	Activity			
		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
110	Abdul Karim Dato	1		PUPR Service, Ngada District	Head of Natural Resources Section	‘08123899902		1		
111	Johanes Ch.Selu	1		PUPR Service, Ngada District	Head of Public Housing Creation	‘081339683801		1		
112	Sherley Wila		1	Bappelitbangda, NTT Province	Kabid Perencanaan Pengendalian dan Evaluasi Pembangunan Daerah		1			1
113	Zakaria A. Kedang	1		BAPPEDA, East Manggarai District	Fungsional Perencana Muda	082146810101		1		1
114	Merlisye W. Doy		1	BAPPEDA, West Manggarai District	Fungsional Perencana	085237908194				1
115	Maria H. Susanti		1	BAPPEDA, West Manggarai District	Staff	081297989882		1		
116	Agustinus Gias	1		BAPPEDA, West Manggarai District	Head of Economics		1	1		
117	Nyoman Saniambara	1		Bappelitbangda	Head of Sub-section	08123907507	1			
118	Nuryadin	1		Regional Planning, Research & Development Agency (Bappelitbang), Ngada District	Head of Sub-Sector of Economics & Natural Resources	‘0812617260		1		1
119	Hendrikus A.L. Begu	1		Regional Planning, Research & Development Agency (Bappelitbang), Ngada District	Head of General & Personnel Sub-Section	‘081339636784		1		
120	Zakarias A. Kedy	1		BAPPEDA, East Manggarai District	Head of Sub-Sector of Tourism Economy	082146810101		1		
121	Agustinus Jagur	1		BAPPEDA, East Manggarai District	Head of Sub Division	082268136807		1		
122	Mansuetus G. Isi	1		Cooperatives & MSME Office, Ngada District	Head of Cooperative Management	‘081223131388		1		
123	Asterius Keo	1		PMDP3A Office (Village Community Empowerment, Empowerment & Protection of Women & Children), Ngada District	Head of sub-section	‘085234007434	1	1		
124	Agustinus Naru	1		PMDP3A Office (Village Community Empowerment, Empowerment & Protection of Women & Children), Ngada District	Head of the Village & Urban Community Economic Business Division	082236841751	1	1		

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125	Mathilde Paulina Laban		1	PMDP3A Office (Village Community Empowerment, Empowerment & Protection of Women & Children), Ngada District	Head of Women's Empowerment & Child Protection			1		
126	Maria Petrasia Mukujawa		1	PMDP3A Office (Village Community Empowerment, Empowerment & Protection of Women & Children), Ngada District	Head of Women's Empowerment Section	081337753788		1		
127	Fabianus Sebastian D	1		PMDP3A Office (Village Community Empowerment, Empowerment & Protection of Women & Children), Ngada District	Secretary	'082339477445		1		
128	Korsin Wea	1		Fisheries Department, Ngada District	Head of Service	081350193707		1		
129	Primus M. Rea	1		Fisheries Department, Ngada District	Secretary	082330529999		1		
130	Abidin	1		National Land Agency (BPN/ATR) Ngada	Head			1		
131	Naar Antonius Hardy Surya	1		National Land Agency (BPN/ATR) Ngada	Head of Arrangement and Management Section	087883701977	1	1		
132	Dwi Arif Aprianto	1		National Land Agency (BPN/ATR) Manggarai Timur	Staff	081249652758		1		
133	Richard W. Polin	1		National Land Agency (BPN/ATR) Manggarai Timur	Staff	081239247715		1		
134	Wilhelm A. Hermanus	1		NTT Provincial Tourism & Creative Economy Office	Head of Tourism Destinations	082147758855				1
135	Drs. Thobias A. Messakh	1		NTT Provincial Tourism & Creative Economy Office	Head of Bidang	081339026603	1			
136	Ivan Botha	1		Department of Tourism and Culture, Ngada District	Secretary	081314004311		1		1
137	Chrispin Mesima		1	Department of Tourism, Creative Economy & Culture, Manggarai Barat district	Secretary	081339285717				1
138	Petrus A.N.E. Dola	1		Department of Tourism and Culture, Manggarai Timur District	Head of Division	081338554117		1		

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139	Antonius Cangkung	1		Department of Tourism and Culture, Manggarai Timur District	Section Head	081337597168		1		
140	Benediktus K Rato	1		Department of Tourism and Culture, Ngada District	Head of Institutional Division	‘081339144296		1		
141	M. Oktavian Botha	1		Department of Tourism and Culture, Ngada District	Secretary	‘081314004311	1	1		
142	Martinus M. Reo	1		Department of Tourism and Culture, Ngada District	Head of Service	081236444536	1			
143	Primus Jehaur	1		Tourism and Culture Office	Staff	085338242560		1		
144	Inosensius Padua	1		Tourism and Culture Office	Staff	081353136987		1		
145	Ir. Steven Th. Lay, MM	1		Department of Agriculture and Food Security of NTT Province	Head of Food Security and Counseling	08113810441				1
146	drh. Donbosko Mariano	1		Department of Agriculture, East Manggarai District	Head of Sub-bag	085216214716	1	1		
147	Yohanes Sentis	1		Department of Agriculture, East Manggarai District	Head of Department	081287721725		1		
148	D.A. Jedadu	1		Department of Agriculture, East Manggarai District	Staff	081238370657		1		
149	Aloysius Gerem	1		Department of Agriculture, East Manggarai District	Staff	082144396733		1		
150	Dionisius Robiwan	1		Department of Agriculture, West Manggarai District	Head	085253520148		1		
151	Liventinus Amur	1		Department of Agriculture, West Manggarai District	Fungsional Ahli Muda	081339898140				1
152	Harlinda Bate		1	Department of Agriculture, Ngada District	Head of Human Resources & Infrastructure	‘081339166426		1		
153	Ignas J. Sebo	1		Department of Agriculture, Ngada District	Head of PPHP section	‘081332942626		1		
154	Sivester Salman	1		Department of Agriculture, Ngada District	Head of Division	081246640553		1		
155	Albertus N. Modas	1		Department of Agriculture, Ngada District	Section Head	08123820549		1		

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156	Edy Tardi	1		Regional Community Empowerment Service, West Manggarai District	Head of Planning	081225512065		1		
157	Anton Negong	1		Regional Community Empowerment Service, West Manggarai District	Staff	085205596845		1		
158	Kasim Bura	1		Disaster Management Agency, West Manggarai District	Secretary	081383032108	1	1		
159	Kamilus Pance	1		Livestock and Animal Health Service, West Manggarai District	Staff	081241748623	1	1		
160	Kristoforus	1		Livestock and Animal Health Service, West Manggarai District	Staff	081338916862		1		
161	Theresia P. Asmon		1	Livestock and Animal Health Service	Head of Service		1			
162	Bafona Indah		1	SME Cooperative Industry	Staff	085337674606		1		
163	Kristin P. Serly		1	SME Cooperative Industry	Staff	081337470024		1		
164		1		PMD Office (Village Community Empowerment), West Manggarai District	Head of Cooperation & Empowerment			1		
165		1		PMD Office (Village Community Empowerment), West Manggarai District	Head of BUMDES			1		
166	Gabriel Adu	1		Regional Research and Development Agency for East Nusa Tenggara Province	Head of Sub-directorate	08113820517				1
167	Stanislaus Gampong	1		Department of Highways, Construction & Transportation Development West Manggarai District	Road & Bridge Technical Functional	081266854820				1
168	Yitzhak S. Rihi	1		Department of Highways, BKBT and West Manggarai Transportation	Staff	081212202637				1
169	Salitha Santani		1	Kanwil BPN NTT Province	Penata Pertahanan		1			

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170										
	Villages/Community									
171	Saimin Halid	1		Sambinasi village, Baar tribe, Ngada District	Village Government			1		
171	Muhamad Said	1		Central Sambinasi Village Government - administrative village in preparation, Ngada District	Village Government			1		
172	Muhammad G Ibrahim	1		Baar tribe, Ngada District	Deputy Chairman of BPD			1		
173	Zakaria Syahari	1		Baar tribe, Ngada District	Customary Local Institutions			1		
174	Hasan Abas	1		Baar tribe, Ngada District	Customary Local Institutions			1		
175	Mohdar Gambar	1		Baar tribe, Ngada District	Customary Local Institutions			1		
176	Hajirin Rendo	1		Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
177	Faidal Rahman	1		Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
178	Rasyid Nggeo	1		Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
179	Ali Daming	1		Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
180	Ali Hanafi	1		Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
181	Siti Hajar Aswat		1	Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
182	Abdul Azis L	1		Sambinasi Barat village, Baar tribe, Ngada District	Torong Padang Community-based Tourism Group			1		
183	Hawari Wangkung		1	Sambinasi Barat village, Baar tribe, Ngada District	Women Figure			1		
184	Umiati		1	Sambinasi Barat village, Baar tribe, Ngada District	Housewife representative			1		
185	Jubiati		1	Sambinasi Barat village, Baar tribe, Ngada District	Housewife representative			1		
186	Alias Noa	1		Baar tribe, Ngada District	Community Figure			1		

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187	Abdul Syarif	1		Baar tribe, Ngada District	Community Figure			1		
188	Anshari Asar	1		Baar tribe, Ngada District	Community Figure			1		
189	Arulan Naga	1		Baar tribe, Ngada District	Community Figure			1		
190	Lukman Raza	1		Baar tribe, Ngada District	Community Figure			1		
191	Stanislaus Nda	1		Pota Village, Manggarai Timur district	Head			1		
192	Arsyad	1		Pota Village, Manggarai Timur district	Temporer staf of Tourism Department, Community figure			1		
193	Oswaldus Safay	1		Pota Village, Manggarai Timur district	Community figure			1		
194	Zulfikar	1		Pota Village, Manggarai Timur district	Community figure			1		
195	Damianus Tampas	1		Pota Village, Manggarai Timur district	Community figure			1		
196	Edi Kurniawan	1		Pota Village, Manggarai Timur district	Youth figure			1		
197	Zulkarnain	1		Pota Village, Manggarai Timur district	Youth figure			1		
198	Darmiyanto, SH	1		Pota Village, Manggarai Timur district	Youth figure			1		
199	Frans B. Jehudi	1		Pota Village, Manggarai Timur district	Head of Social Welfare			1		
200	Muhamad Tahir	1		Pota Village, Manggarai Timur district	Community figure			1		
201	Basry	1		Pota Village, Manggarai Timur district	Civil service police			1		
202	Jainudin	1		Pota Village, Manggarai Timur district	Civil service police			1		
203	Haris H. Djafar	1		Nanga Logo Village, Manggarai Timur district	Act Head			1		
204	Caecilia		1	Namparsepang Village, Manggarai Timur district	weaving business			1		
205	Abdullah Masjiban	1		Nampar Sepang Village, Manggarai Timur district	BUMDES Director			1		

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206	Muhammad Rizal	1		P3MD, Manggarai Timur district	Village Facilitator			1		
207	Sudarmin	1		Nanga Baling Village, Manggarai Timur district	Head			1		
208	Ponsianus Suji	1		Nanga Baras Village, Manggarai Timur district	Staff			1		
209	Adriana Meme		1	Nanga Baras Village, Manggarai Timur district	Head			1		
210	Harmadi	1		Sambi Rampas Sub-District office, Manggarai Timur district	Head of PMD			1		
211	Abubakar	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
212	Nikolaus Runcak	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
213	Fabianus Duhandi	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
214	Mustafa,A.Md	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
215	Siti Ari		1	Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
216	Salwia		1	Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
217	Rafael Muksin	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
218	Andi Hamid	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
219	Yohana Farida		1	Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
220	Siti Shofuriati		1	Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
221	Hafsah		1	Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
222	Stefansi Mahendara	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		

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223	Amran F.J.A. Imang	1		Sambi Rampas Sub-District office, Manggarai Timur district	Staff			1		
224	Sipring	1		Pontianak Village, Manggarai Barat district	Head of Consultative Body (BPD)	081339828750		1		
225	Baharudin Naga, Spd	1		Pontianak Village, Manggarai Barat district	Consultative Body (BPD)	081339845213		1		
226	Syarifuddin, S.Ag	1		Pontianak Village, Manggarai Barat district	Head of village	081239559700		1		
227	Chairuddin, S.Pd	1		Pontianak Village, Manggarai Barat district	Planning Officer	082247309455		1		
228	Sutrisno Mandala Putra, S.Pd	1		Pontianak Village, Manggarai Barat district	youth cadres	081236535382		1		
229	H.Mansur	1		Pontianak Village, Manggarai Barat district	community leaders			1		
230	Yuliana Lias		1	Nanga Kantor Barat village, Manggarai Barat district	Act Head of village	081239214035		1		
231	Abubakar	1		Nanga Kantor Barat village, Manggarai Barat district	Chairman of the BPD	082146037241		1		
232	Zofinaus Sutardin	1		Nanga Kantor Barat village, Manggarai Barat district	Head of affairs			1		
233	Irianto	1		Nanga Kantor Barat village, Manggarai Barat district	Deputy Chairman of the BPD	081352281830		1		
234	Hardiyanti S, S.Pd		1	Nanga Kantor Barat village, Manggarai Barat district	Member of the BPD	082147186904		1		
235	Ruslan	1		Nanga Kantor Barat village, Manggarai Barat district	Head of section	08123643033		1		
236	Salahudin	1		Longos Island, Manggarai Barat district	Community figure	0813906222		1		
237	Sumarlin	1		Longos Island, Manggarai Barat district	Community figure			1		
238	Safri	1		Longos Island, Manggarai Barat district	Community figure	081256842408		1		
239	Hasbullah	1		Longos Island, Manggarai Barat district	Community figure	081236850807		1		
240	Galdius Madi	1		Longos Island, Manggarai Barat district	Community figure	082147347299		1		

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241	Sahirman, S.Pd	1		Longos Island, Manggarai Barat district	Community figure			1		
242	Arif, S.Pd	1		Longos Island, Manggarai Barat district	Youth figure			1		
243	Ahmad Karno	1		Longos Island, Manggarai Barat district	Youth figure	081339021717		1		
244	Adimulyadi	1		Longos Island, Manggarai Barat district	Youth figure	081245385127		1		
245	Sarina		1	Longos Island, Manggarai Barat district	Women figure	081237603507		1		
246	Muhamad Irwan, S.Pd	1		Longos Island, Manggarai Barat district	Member of BPD	081237471226		1		
247	Saharudin	1		Longos Island, Manggarai Barat district	Head of RT 03			1		
248	Romaswati		1	Longos Island, Manggarai Barat district	Kasie Kesra	081238193695		1		
249	Atun Muliatun	1		Longos Island, Manggarai Barat district	Head of hamlet	085337063800		1		
250	Ishaka, S.Pd	1		Longos Island, Manggarai Barat district	Head of hamlet	082339952598		1		
251	Syamsul	1		Longos Island, Manggarai Barat district	Member of BPD			1		
252	Rudi Hartono	1		Longos Island, Manggarai Barat district	Education figure			1		
253	Abdollah	1		Warloka Village, Manggarai Barat district	Head			1		
254	Jamaludin	1		Macang Tanggar Village, Manggarai Barat district	Head			1		
255	Wilhelmino Seneng		1	Lengkosambi Village, Riung Sub-district, Ngada District	Member of Village Consultative Body (BPD)			1		
256	Ferdinandus Demu	1		Lengkosambi Village, Riung Sub-district, Ngada District	Member of Village Community Empowerment Institute (LPMD)			1		
257	Ignasius Da Cunha	1		Lengkosambi Village, Riung Sub-district, Ngada District	Member of LPMD			1		
258	Ignasius T. Raja	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Sub-village (Dusun)			1		
259	Fransiskus K.	1		Lengkosambi Village, Riung Sub-district, Ngada District	Member of BPD			1		

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260	Arnold Jansen Lali	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Economic Development Section of LPMD			1		
261	Yohanes Nuwa	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Dusun			1		
262	Benediktus Bhena	1		Lengkosambi Village, Riung Sub-district, Ngada District	Vice Chairman of BPD			1		
263	Maria Tima		1	Lengkosambi Village, Riung Sub-district, Ngada District	Head of Section			1		
264	Bernadeta Benga		1	Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
265	Lambo Yosef	1		Lengkosambi Village, Riung Sub-district, Ngada District	Community Figure			1		
266	Matias M.	1		Lengkosambi Village, Riung Sub-district, Ngada District	Member of Adat Stakeholder Institutions (LPA)			1		
267	Kristoforus W.	1		Lengkosambi Village, Riung Sub-district, Ngada District	Community Figure			1		
268	Marianus Y. M.	1		Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
269	Theobaldus Sue	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Dusun			1		
270	Wirentius T.	1		Lengkosambi Village, Riung Sub-district, Ngada District	Member of Village Apparatus			1		
271	Evaristus Rasa	1		Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
272	Aprimus Tiba	1		Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
273	Fulgensius Ndona	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Dusun			1		
274	Alfrencus Goa	1		Lengkosambi Village, Riung Sub-district, Ngada District	Member of LPA			1		
275	Zainal Arifin	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Village			1		
276	Mariana Igo		1	Lengkosambi Village, Riung Sub-district, Ngada District	Member of BPD			1		

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277	Clemensianus R.	1		Lengkosambi Village, Riung Sub-district, Ngada District	Head of Village Administration			1		
278	Spolonic P.		1	Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
279	Markina Siwal		1	Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
280	Soria Onteng		1	Lengkosambi Village, Riung Sub-district, Ngada District	Community			1		
281	Ridwan A. Majid	1		Tadho Village, Riung Sub-district, Ngada District	Head of Village			1		
282	Christophorus D.	1		Tadho Village, Riung Sub-district, Ngada District	Head of BPD			1		
283	Fransiskus X. Jiling	1		Tadho Village, Riung Sub-district, Ngada District	Director of Village-owned Enterprise (BUMDES)			1		
284	Ignasius Sinda	1		Tadho Village, Riung Sub-district, Ngada District	Member of LPA			1		
285	Yoh. B. Djuku	1		Tadho Village, Riung Sub-district, Ngada District	Head of Dusun 1			1		
286	Rosalia Imbo		1	Tadho Village, Riung Sub-district, Ngada District	Community			1		
287	Roslinda Nggaing		1	Tadho Village, Riung Sub-district, Ngada District	Community			1		
288	Viktoria Mapung		1	Tadho Village, Riung Sub-district, Ngada District	Community			1		
289	Helena Sumanto Kleden		1	Tadho Village, Riung Sub-district, Ngada District	Community			1		
290	Muhlis Guru	1		Tadho Village, Riung Sub-district, Ngada District	Member of LPA			1		
291	Ambrosius Mbae	1		Tadho Village, Riung Sub-district, Ngada District	Community			1		
292	Ros Intan		1	Tadho Village, Riung Sub-district, Ngada District	Adat Community Leader (Kaur)			1		
293	Abdul Kasim S.	1		Tadho Village, Riung Sub-district, Ngada District	Head of Village Empowerment Section			1		

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294	Marcelius Reog	1		Tadho Village, Riung Sub-district, Ngada District	Community Figure			1		
295	Kanisius Doko	1		Tadho Village, Riung Sub-district, Ngada District	Member of LPA			1		
296	Stavislaus Kangging	1		Tadho Village, Riung Sub-district, Ngada District	Community Figure			1		
297	Marmilianus Oje	1		Tadho Village, Riung Sub-district, Ngada District	Member of LPA			1		
298	Laurensius Nojeng	1		Tadho Village, Riung Sub-district, Ngada District	Member of LPA			1		
299	Polikarpus Papo	1		Tadho Village, Riung Sub-district, Ngada District	Kaur			1		
300	Suprianus Bandee	1		Tadho Village, Riung Sub-district, Ngada District	Head of Dusun III			1		
301	Laurensius Ebo	1		Tadho Village, Riung Sub-district, Ngada District	Village Secretary			1		
302	Maria D. Arung		1	Tadho Village, Riung Sub-district, Ngada District	Head of Service Section			1		
303	Julrati		1	Tadho Village, Riung Sub-district, Ngada District	Head of Public Welfare Section			1		
304	Krisbiyanto M. T.	1		Tadho Village, Riung Sub-district, Ngada District	Community			1		
	University, CSO, Private Sector									
305	NTT Council on Creative Economy	1		NTT Council on Creative Economy				1		
306	Bank BRI	1		Branch NTT Provice				1		
307	Bank BRI	1		Branch Ngada District				1		
308	Bank BRI	1		Branch East Manggarai District				1		
309	Bank BRI	1		Branch West Manggarai District				1		
310	Bank NTT	1		Bank NTT				1		
311	Lorenso Andri	1		Bank NTT Bajawa Branch	Head of Branch		1			
312	Bank BNI	1		Branch NTT Province				1		
313	Bank BNI	1		Branch District				1		

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314	Bank BNI	1		Branch District				1		
315	Deni Purwandana	1		Komodo Survival Program	Coordinator	08121746012	1			1
316	Puspita Insan Kamil		1		Researcher	085212773798	1			1
317	Achmad Ariefiandy	1			Researcher		1			
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		M	F				Inception Workshop (21 Oct 2021)	Field Consultations (25 Oct - 18 Nov 2021 and 25 & 30 June 2022)	Ministerial Consultations (16-27 Dec 2021)	Validation Workshop (7 Jan 2022)
		M	F							
		246	93				94	170	36	54

Draft Environmental and Social Management Framework (ESMF) and Indigenous Peoples Planning Framework (IPPF)

Project Title: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)		
Country: Indonesia	**Implementing Agency:** United Nations Development Programme (UNDP)	**Executing Agency**: Ministry of Environment and Forestry (MoEF)
Contributing Outcomes: Component 1: Strengthened management and protection of multiple use landscapes-seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape Component 3: Knowledge management, safeguards management, coordination, and project monitoring & evaluation		
UNDP Social and Environmental Screening Category: HIGH	**UNDP Gender Marker:** GEN2	
Atlas Award ID:	**Atlas Project/Output ID:**	
UNDP-GEF PIMS ID number: 6506	**GEF Project ID number:** 10728	

Table of Contents

Executive Summary 4
Abbreviations and Acronyms....6
1 Introduction 8
1.1 Project Description 8
1.2 Purpose and Scope of ESMF 14
1.3 Potential Social and Environmental Impacts 15
2 Legal and Institutional Framework 19
2.1 National Legislation, Policies and Regulations 19
2.1.1 Biodiversity Conservation and Protected Areas 19
2.1.2 Forest and Land Designation and Tenure 19
2.1.3 Indigenous laws and customs pertaining to land use and tenure 20
2.1.4 Spatial arrangements for land use 21
2.1.6 Climate Change and Disaster Risk 21
2.1.7 International Agreements and Treaties 22
2.2 UNDP's Social and Environmental Standards 22
2.3 Gaps in policy framework 24
3 Procedures for Screening, Assessing and Managing Social and Environmental Impacts 24
3.1 Additional Screening....24
3.1.1 Strategic Environmental and Social Assessment for Upstream Activities (SESA) 25
3.1.2 Environmental and Social Impact Assessment (ESIA) 27
3.3 Management 28
3.3.1 Environmental and Social Management Plan 28
3.3.2 Other relevant assessments and plans 28
3.4 Chance Find Procedure 30
3.5 Indigenous Peoples Planning Framework....31
4 Stakeholder engagement and information disclosure....31
5. Institutional arrangements and capacity building 32
5.1 Roles and responsibilities for safeguards management 32
5.2 Capacity Building....35
6 Accountability and Grievance Redress Mechanisms 36
6.1 UNDP's Accountability Mechanisms....36
6.2 Project-level Grievance Redress Mechanism (GRM) 36
7. Budget for implementation Action Plan for ESMF implementation 37
8. Monitoring and evaluation arrangements 38
9. Indigenous Peoples Planning Framework....40
10. Indicative Outline of Environmental and Social Impact Assessment (ESIA)/ Report 67
11. Indicative outline of an Environmental and Social Management Plan (ESMP) 69
12. Indicative outline of Action Matrix for SESA....71
13. Indicative Outline and Elements of a Biodiversity Action Plan 72

14. Indicative Outline of Indigenous Peoples Plan (IPP) 73
15. Labour Management Procedures Template 75
16. ESMF M&E Plan 78

Executive Summary

This Environmental and Social Management Framework (ESMF) has been prepared for the submission of the UNDP-supported, GEF-financed project "Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)". The purpose of the ESMF is to assist in the assessment and management of potential environmental and social impacts. The framework forms the basis upon which and Environmental and Social Management Plan and other management plans will be developed, so as to ensure full compliance with the requirements of UNDP's Social and Environmental Standards. The project and the ESMPs will implemented by the Ministry of Environment and Forestry and overseen by the Project Manager and Safeguards Officer and monitored throughout the duration of the project.

This ESMF has been prepared based on the social and environment screening procedure (UNDP's SESP) that was completed as part of the project design phase, and consultations and preliminary FPICs carried out on behalf of UNDP during the project preparation phase with the project partner and stakeholders in government, local communities and civil society entities. The ESMF has been developed on the basis of the project risk categorisation and to outline the processes that will be undertaken during the project inception/implementation phases for the additional assessment of potential impacts, and identification and development of appropriate risk management measures, consistent with UNDP's Social and Environmental Standards (SES).[1] It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the project activities.

The ESMF identifies the steps that will be followed during the inception/implementation phases for the completion of stand-alone management plans as justified based on the results of the SESP for the moderate and high risks identified, including Environmental and Social Impact Assessments (ESIAs), Environment and Social Management Plans (ESMPs), Stakeholder Engagement Plan and Indigenous Peoples Plan (IPP), and an effective project-level Grievance Redress Mechanism (GRM). The Indigenous Peoples Planning Framework (IPPF), which will form the basis for the IPP is found in Section 9. The ESMF also details the roles and responsibilities for its implementation and includes a detailed budget and monitoring and evaluation plan, and guidelines for Terms of Reference to be used to guide the development of the required assessments and management plans (see Annexes).

The UNDP Social and Environmental Screening Procedure (SESP) identified 15 potential social and environmental risks associated with this Project. Eight risks have been assessed as Moderate while six were rated Substantial and one High; hence overall SESP risk categorization rating for the project is "High".

High risks identified with the Project are:

- Risk 1: The project may exacerbate tensions between the Adat communities and local authorities regarding unresolved land tenure issues in the North Flores landscape-seascape.

Substantial risks identified within the Project are:

- Risk 2: The project may exacerbate tensions between the Adat communities and local authorities in the West Flores landscape-seascape.
- Risk 3: Local communities' access rights to resources could be restricted which may lead to economic displacement and marginalization.
- Risk 5: Project interventions in terms of community livelihoods and community-based enterprises (e.g., ecotourism and natural resources based value addition, etc.) may have adverse impacts on species and habitats if not well implemented.
- Risk 8: Local people involved in project activities, project team members, and service providers may be at a heightened risk of exposure to COVID 19 through the stakeholder consultation meetings, workshops and field visits, etc.

[1] https://www.undp.org/accountability/social-and-environmental-responsibility/social-and-environmental-standards

- Risk 10: Field- and policy-level activities related to community-based organizations and business enterprises could inadvertently support child labor, and other violations of international labor standards.
- Risk 13: With the designated areas in the landscape being selected as tourism destinations by the Government, associated activities such as ecotourism and biodiversity friendly businesses are bound to emerge in the areas. The project intends to support small scale investments in ecotourism at the same time protecting the conservation areas of the Komodo dragon. With the increase of ecotourism and other types of biodiversity friendly businesses, pollution in terms of noise, increase of foot traffic, water, soil and generation of solid and domestic waste are expected to increase.

Moderate risks identified the Project are:

- Risk 4: Women (Adat community and rural women in particular) and other marginalized groups may not be fully involved in planning, implementation and monitoring of project interventions (decision making processes) related to improving management effectiveness of protected areas and establishment of OECMs to enhance conservation outcomes and sustainable livelihoods. As a consequence, women might not benefit from such initiatives, rather, influential leaders and/or groups at the local level may have more control on local level decision-making.
- Risk 6: Natural disasters and climate change may affect the implementation and results of project initiatives
- Risk 7: Restoration interventions and agroecological livelihood activities may involve the use of agrochemicals (e.g., chemical fertilizers or pesticides), posing a health risk to workers and farmers handling the agrochemicals and an environmental risk through potential inadvertent release of pollutants.
- Risk 9: The cultural identity of the Adat community groups might not be respected and/or their traditional knowledge (or other forms of cultural heritage, including tangible forms) might be inadvertently harmed during project activities that intend to preserve and/or utilize it.
- Risk 11: Poorly designed or executed project activities could exacerbate illegal wildlife trade.
- Risk 12: Poorly designed or executed project activities could damage critical or sensitive habitats, including through the introduction of invasive alien species (IAS) during forest restoration-rehabilitation activities.
- Risk 14: Activities funded under low-value grant assistance delivery mechanisms may be carried out without full adherence to UDNP SES.
- Risk 15: The use of security personnel may reduce access to some areas for security reasons, possibly resulting in violence to or from the security personnel who might wear arms with the risk of misusing them

The project document includes the SESP template that details the specific environmental and social risks identified and included in Annex 4: UNDP Social and Environmental Screening Procedure to the ProDoc.

Abbreviations and Acronyms

APL	Area for other purposes (*Areal Penggunaan Lain*)
ATR-BPN	Ministry of Agrarian Affairs and Spatial Planning-National Land Agency
AMAN	*Adat* Peoples' Alliance of the Archipelago (*Aliansi Masyarakat Adat Nusantara*)
AWP	Annual Work Plan
BD	Biodiversity
BAPPEDA	Provincial/District Development Planning Agency
BAPPENAS	Ministry of National Development Planning
BBKSDA	Natural Resources Conservation Agency (*Balai Konservasi Sumber Daya Alam*)
BNPB	National Disaster Management Agency *(Badan Nasional Penanggulangan Bencana)*
BPOLBF	Labuan Bajo Flores Tourism Authority
CC	Climate Change
CCA	Climate Change Adaptation
DRR	Disaster Risk Reduction
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free, Prior, and Informed Consent
FMU	Forest Management Unit (*Kesatuan Pengelolahan Hutan*)
GAAP	Gender Analysis and Gender Action Plan
HCVA	High Biodiversity Conservation Value Areas (*Kawasan Bernilai Keanekaraman Hayati Tinggi*)
HWC	Human-Wildlife Conflict
IPPF	Indigenous Peoples Planning Framework
IPP	Indigenous Peoples Plan
IUCN	International Union for Conservation of Nature
KAP	Knowledge, Attitudes and Practices
KBA	Key Biodiversity Area
KKH	Directorate of Biodiversity Conservation (*Direktorat Konservasi Keanekaragaman Hayati*)
KSDAE	Directorate General of Natural Resources and Ecosystem Conservation (*Direktorat Jenderal Konservasi Sumber Daya Alam dan Ekosistem*)
KSLH	Environmental Strategic Areas (*Strategi dan Rencana Aksi Konservasi*)
M&E	Monitoring and Evaluation
MoEF	Ministry of Environment and Forestry
MTR	Mid-term Review
NBSAP	National Biodiversity Strategy and Action Plan
NGO	Non-Governmental Organization
NTT	East Nusa Tenggara (*Nusa Tenggara Timur*)
NP	National Park
OECM	Other Effective Area-based Conservation Measure
OJK	Financial Service Authority of Indonesia (*Otoritas Jasa Keuangan*)
PA	Protected Area
PIR	Project Implementation Report
PMU	Project Management Unit
PPG	Project Preparation Grant
PPP	Public Private Partnership
RPJMN	National Medium-Term Development Plan (*Rencana Pembangunan Jangka Menengah Nasional*)
SES	Social and Environmental Standards (UNDP)

SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Procedure (UNDP)
STAP	Scientific and Technical Advisory Panel (GEF)
SRAK	Komodo Dragon Strategic Action Plan (*Strategi dan Rencana Aksi Konservasi*)
TE	Terminal Evaluation
UNDP	United Nations Development Programme
USD	United States dollar
WDPA	World Database on Protected Areas

List of Tables

Table 1: Summary Table of IN-FLORES Project Risks

Table 2: Community Forest Schemes

Table 3: International Frameworks

Table 4: Risk Significance

1 Introduction

This Environmental and Social Management Framework (ESMF) has been prepared for the UNDP-supported, GEF-financed project "Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)".

UNDP is the GEF Agency for the project to which this ESMF applies. The Ministry of Environment and Forestry (MoEF) is the Implementing Partner (Executing Agency) for the project. The UNDP Social and Environmental Standards are the applicable standards for this management framework.

1.1 Project Description

The objective of this project is to strengthen conservation of Komodo dragon and other globally threatened species in Flores through integrated approaches across multiple use landscapes-seascapes.

The target landscapes-seascapes encompass terrestrial and marine protected areas, forest areas (protection forests, production forests convertible forests, and other production areas) and marine areas that have important values for the conservation of the Komodo dragon (*Varanus komodoensis*; IUCN Red List: Endangered EN), the Flores Hawk-eagle (*Nisaetus floris*; IUCN Red List: Critically Endangered CR), Yellow-crested Cockatoo (*Cacatua sulphurea*; IUCN Red List: CR), and other endangered marine and terrestrial species. Studies conducted by the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE) and the Komodo Survival Program show that large numbers of Komodo dragons on Flores Island are located in production landscapes-seascapes and in community areas where there is potential for human-wildlife conflicts. Therefore, in addition to the emphasis on improving management effectiveness of the Komodo National Park and other protected areas in the target landscapes-seascapes, the project will focus on enhancing biodiversity conservation in habitats within and outside protected areas.

This project is expected to achieve conservation, human development goals and at the same time provide the development of governance and protection of the Komodo dragon and other globally threatened species. Implementation of this project will be applied on the island of Flores in East Nusa Tenggara (NTT) Province, Indonesia.

A broad overview of the project components, outcomes, and indicative activities is presented below:

Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management

Outcome 1: Effective conservation of the Komodo dragon and globally threatened terrestrial and marine species within and outside conservation areas

Output 1.1. Functional governance capacities developed and coordination mechanisms strengthened to support dialogue, information flow and decision-making between key stakeholders (within government and non-government sectors), private enterprise and community groups for facilitating integrated landscape and seascape planning and management

Indicative activities:

1.1.1. In collaboration with provincial and district stakeholders, develop terms of reference for two multi-stakeholder coordination platforms for guiding the West and North Flores integrated landscape-seascape approaches.

1.1.2. Conduct FPIC consultations and obtain FPIC for having representation of *Adat* communities included in the multi-stakeholder coordination platforms.

1.1.3. Convene regular multi-stakeholder platform meetings, including cross-learning exchanges between the two landscapes-seascapes

1.1.4. Deliver training to the platform members on UNDP and government social and environmental safeguards and procedures, and the results of the Strategic Environmental and Social Assessment (SESA) completed under Output 1.2.

1.1.5. Provide capacity building on biodiversity mainstreaming, multi-stakeholder governance, participatory conservation and restoration processes, and other relevant topics.

1.1.6. Convene gender mainstreaming working group sessions to facilitate achievement of gender equality and women's empowerment objectives.

1.1.7. Convene annual joint planning sessions with the management entities of the protected areas in the West and North Flores landscapes-seascapes, to allow other key stakeholders to provide feedback in the review of management plans and annual work programming.

1.1.8. Design and deliver a series of workshops on strengthening climate change resilience in development planning, natural resource management, and biodiversity conservation.

1.1.9. Advocate for institutionalizing the platforms at the provincial and/or district level.

Output 1.2: Integrated ecosystem management frameworks developed for the West and North Flores landscapes-seascapes, with supplemental guidelines produced on biodiversity mainstreaming and restoration of degraded habitats in the tourism, livestock management, fisheries, agriculture, transportation infrastructure and other production sectors

Indicative activities:

1.2.1. Building upon the baseline studies completed during the PPG phase, support the BKSDA (Conservation Agency) East Nusa Tenggara in carrying out participatory assessments to identify and verify high biodiversity value areas (Kawasan Bernilai Keanekaraman Hayati Tinggi) in the West and Flores landscapes-seascapes.

1.2.2. Conduct FPIC and a Strategic Environmental and Social Assessment (SESA) to support the development of the integrated management frameworks.

1.2.3. Based on the results of the participatory assessments and the SESA, develop integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligning with the SRAK and other existing strategies and plans and including priority actions for mainstreaming biodiversity conservation across the key development sectors, including livestock management, fisheries, agriculture, transportation infrastructure, and others.

1.2.4. Socialize the integrated ecosystem management frameworks through convening workshops and meetings hosted by the landscape-seascape multi-stakeholder coordination mechanisms, and obtain FPIC from Adat representatives for the management frameworks.

1.2.5. Develop guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors including livestock management, fisheries, agriculture, transportation infrastructure and others.

1.2.6. Disseminate and promote the biodiversity mainstreaming and restoration guidelines among governmental entities, civil society organizations, private sector enterprises, and other practitioners through online and offline webinars and seminars.

Output 1.3: Management of the West and North Flores landscapes-seascapes improved through establishment and/or recognition of other effective area-based conservation measures (OECMs)

Indicative activities:

1.3.1. Using the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes as part of the integrated ecosystem management frameworks, to improve connectivity of Komodo habitats and expand stakeholder involvement in achievement of conservation outcomes.

1.3.2. Deliver training on establishment of OECMs to management and staff of protected areas, forest management units, local government entities, and community-based organizations.

1.3.3. Conduct community consultations, including FPIC consultations, with communities in villages where potential OECMs have been identified, and obtain consent and FPIC for the establishment and governance of the OECMs.

1.3.4. Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands continuing FPIC as needed.

1.3.5. In collaboration with protected area management entities and local government units in the West and North Flores landscapes-seascapes, design and establish OECMs which have incorporated the FPIC findings that complement conservation objectives by increasing connectivity across fragmented habitats, e.g., through wildlife corridors.

1.3.6. Working with West Mangarai, East Mangarai and Ngada forest management units (KPH) in the landscapes-seascapes, design and establish OECMs through FPIC in protection and production forest areas.

1.3.7. In collaboration with the FMU-OECMs, provide technical assistance and conduct FPIC in developing and initiating implementation of restoration plans of degraded Komodo dragon forest habitats.

1.3.8. Design and deliver a series of capacity building workshops on risks and best practice management measures related to zoonotic diseases, human-wildlife conflicts, illegal wildlife trade, captive breeding, and other emerging issues.

1.3.9. Utilizing the OECM Assessment Methodology, conduct assessments of the OECMs at least twice during the project implementation timeframe, and assist in the submission of OECM data to the World Database on Protected Areas (WDPA).

Output 1.4: Monitoring and enforcement capacities, systems, coverage, and partnerships strengthened to enhance the knowledge base on population dynamics and variability of Komodo dragon and other species, enabling more informed management decisions in the West and North Flores landscapes-seascapes

Indicative activities:

1.4.1. Support the Komodo National Park (NP) and Natural Resources Conservation Agency of NTT Province (BBKSDA-NTT) in updating and strengthening the monitoring plans for the Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes.

1.4.2. Deliver training to protected area management and staff on emerging monitoring approaches and technologies, emphasizing monitoring of marine ecosystems and threats.

1.4.3. In collaboration with the Komodo NP, the BBKSDA-NTT, NGOs and scientific partners, conduct a study on population distribution and the ecological carrying capacity of Komodo dragon in the North and West Flores landscapes-seascapes.

1.4.4. Provide investment assistance in expanding and implementing monitoring equipment for protected areas in the West and North Flores landscapes-seascapes, supporting the monitoring of Komodo dragon, Flores hawk eagle, Yellow-crested cockatoo, and other globally threatened species, including marine species.

1.4.5. Conduct FPIC and develop monitoring plan for two of the OECMs established in Output 1.3, provide technical and investment assistance for deploying the monitoring systems, deliver training to local governance units, and support baseline and annual monitoring surveys.

1.4.6. Conduct FPIC, design and implement baseline and regular surveys on phenotypic variability of Komodo dragon across distribution areas in the North and West Flores landscapes-seascapes.

1.4.7. Conduct FPIC and deliver training on innovative approaches for monitoring and combatting illegal wildlife trade.

Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape

Outcome 2: Alternative new economic models and nature-supportive livelihood activities for financial sustainability of conservation efforts and benefit to surrounding communities building and supporting the lessons from BIOFIN

Output 2.1: Financial and business development frameworks and other enabling strategies and financing instruments developed for conservation and sustainable management of the North and West Flores landscapes-seascapes

Indicative activities:

2.1.1. Develop financial and business development frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes based on SESA, promoting innovative tools, practices, and financing instruments.

2.1.2. Based on the financial and business development frameworks, develop financial strategies based on SESA for each of the three districts in the project landscapes, in line with the environmental and socioeconomic development priorities of the districts.

2.1.3. Provide legal and technical assistance to the Public Agency for Environment Fund Management (BPDLH) for drafting a revolving/pooling fund regulation/instrument specifically oriented towards Komodo dragon conservation and other globally threatened species.

2.1.4. In collaboration with financial institutions, including co-financing partners, strengthen financial instruments available for biodiversity-friendly livelihood and business enterprises.

2.1.5. Convene a series of stakeholder workshops, promoting fund-raising increased financing for conservation and sustainable management in the North and West Flores landscapes-seascapes.

Output 2.2: Financial sustainability of the protected areas in the North and West Flores landscapes strengthened through conducting financial analyses, delivering capacity building, developing business plans, strengthening tourism concession guidelines, and pilot testing new revenue-generating options

Indicative activities:

2.2.1. Building upon the baseline studies carried out as part of the project preparation phase, conduct an analysis of the financial sustainability of the protected area system in the North and West Flores landscapes-seascapes.

2.2.2. Deliver capacity building to protected area managers and staff on sustainable financing.

2.2.3. Based on the results of the financial sustainability analyses, develop updated or new business plans based on SESA for the Komodo NP and the Riung 17 Islands Tourism Park.

2.2.4. Develop and/or strengthen tourism concession guidelines to promote tourism and diversified offerings within and outside protected areas.

2.2.5. Conduct FPIC and provide technical assistance and low-value grant support for initiating trial implementation of one (two total) new or improved revenue-generating options in the Komodo National Park and the Riung 17 Islands Tourism Park..

2.2.6. Carry out surveys of visitor spending and visitor feedback, and analyzing findings to support adaptive management measures for achieving sustainable financing objectives.

Output 2.3: Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes-seascapes, with particular focus on vulnerable communities including those affected by the COVID-19 pandemic

Indicative activities:

2.3.1. Building upon the baseline analyses prepared and FPIC during the project preparation phase, carry out an assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in the North and Flores landscapes, focusing on vulnerable communities, including these affected by the COVID-19 pandemic.

2.3.2. Conduct market analyses for potentially viable livelihood and business models, (including both land-based and marine and coastal options, such as mariculture and seaweed cultivation), considering economic feasibility, partnership opportunities, potential financing available, etc.

2.3.3. In connection with the financial and business development frameworks developed under Output 2.1, prepare business plans post undertaking SESA for feasible livelihood and business models, linking with existing initiatives, including village enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., and ensuring ecologically sensitive design of products and services in adherence to social and environmental safeguards through the ESMP monitoring activities.

2.3.4. Conduct FPIC and deliver capacity building to community-based organizations and local business enterprises on financial management, marketing, sustainable certification, skills training, etc.

2.3.5. Provide targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups.

2.3.6. Conduct FPIC and provide technical and low-value grant assistance for community-based organizations and business enterprises for testing and piloting biodiversity-friendly livelihood and business ventures included in the business plans.

2.3.7. Convene partnership workshops, linking community-based organizations and business enterprises with financial institutions, private sector enterprises, NGOs, etc.

2.3.8. Organize promotional events, such as trade fairs, to promote the products and services of the innovative livelihood and business models developed among the community based OECMs.

2.3.9. Organize learning exchanges for community-based organizations and business enterprises to other locations in the province and elsewhere in the country to share experiences and lessons from operating biodiversity-friendly livelihood and business models.

Output 2.4: Ecotourism capacities and offerings strengthened to enhance conservation Komodo dragon and other globally threatened species and to contribute towards achievement of sustainable development in the North and West Flores landscapes-seascapes

Indicative activities:

2.4.1. Supporting the Labuan Bajo Flores Tourism Authority (BPOLBF) develop a plan for strengthening Komodo dragon focused ecotourism experiences into the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo.

2.4.2. Conduct FPIC and deliver capacity building to local tourism operators on sustainability certification and other voluntary standards, human-wildlife conflict management, best practices in ecotourism experiences, gender mainstreaming, traditional knowledge and cultural heritage.

2.4.3. Working with the local tourism operators, through FPIC, develop and promote a Flores Ecotourism Code of Practice.

2.4.4. In coordination with the BPOLBF and in collaboration with existing initiatives (e.g., coalition of water supply companies), promote increased conservation financing associated with tourism related development and operations in Flores.

2.4.5. In connection with implementation of the business plans developed under Output 2.2 for the Komodo NP and the Riung 17 Islands Nature Tourism Park, conduct FPIC and provide technical and low-value grant assistance for pilot testing tourism concession models with local operators.

2.4.6. Organize and deliver domestic and international knowledge exchange transfer trainings (in-person and/or virtual) and FPIC to share experiences and lessons on ecotourism, HWC management, tourism concessions, etc.

2.4.7. Convene stakeholder workshops to sensitize stakeholders including the MoEF, Komodo NP, BBKSDA-NTT, local government units, NGOs, private sector, financial institutions, etc. on the role of ecotourism in the conservation of Komodo dragon and other globally threatened species and contributions towards achievement of sustainable development objectives.

Component 3: Knowledge management, safeguards management, coordination, and project monitoring & evaluation

Outcome 3: Improved awareness and knowledge amongst stakeholders through development and knowledge sharing platform, and integrated research center on Komodo dragons and their habitat

Output 3.1: Project coordination overseen by a representative Project Board, safeguard management plans developed and implemented, and a sustainability plan formulated and implementation initiated

Indicative activities:

3.1.1. Convene Project Board meetings, including visits to the project sites in the target landscapes-seascapes.

3.1.2. Organize annual project review stakeholder workshops, sharing progress and supporting preparation of annual work plans

3.1.3. Conduct Environmental and Social Impact Assessments (ESIAs) for the project, develop Environmental and Social Management Plans (ESMPs) and other safeguard management plans as warranted.

3.1.4. Based on M&E feedback from activities completed under Output 3.4, carry out regular reviews and prepare updates of the SESP, ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans as warranted.

3.1.5. Deliver regular training on gender mainstreaming, social inclusion, and other social and environmental standards.

3.1.6. Develop and initiate the implementation of the project sustainability plan.

Output 3.2: Knowledge management and communications plan developed and implemented, facilitating adaptive management and upscaling of participatory conservation approaches elsewhere in the country

Indicative activities:

3.2.1. Design, administer and interpret baseline and end-of-project knowledge, attitudes and practices (KAP) surveys, assessing knowledge, attitudes regarding biodiversity conservation in the project landscapes-seascapes.

3.2.2. Based on the results of the baseline KAP survey of this project, develop and oversee the implementation of a knowledge management and communications plan.

3.2.3. Establish and maintain information and knowledge sharing systems for the project, including internet platforms, social media, etc.

3.2.4. In collaboration with the MoEF, create an online portal, possibly connected with the ministry's website, to share best practices from the project, as well as other initiatives involving the conservation of the Komodo dragon and other globally threatened species in Flores.

3.2.5. Organize awareness and advocacy campaigns, focused on specific themes and aimed at defined target groups, such as women's groups, *Adat* communities, through methods identified in the knowledge management and communications plan, e.g., social media (e.g., Facebook, Instagram, WhatsApp, TikTok, etc.), print media, radio, local television, etc., and supported by advocacy materials, such as short videos, factsheets, guide books, photo exhibits, etc.

3.2.6. Collaborate with protected area management entities, local government units, academic institutions, and civil society in delivering nature education on biodiversity conservation and promoting citizen science in Flores.

3.2.7 Advocate the global environmental benefits generated through the project by participating in national, regional and international conferences, workshops, seminars and other events

3.2.8. Develop and disseminate case studies, including lessons learned, on innovative approaches implemented on the project, e.g., integrated landscape-seascape management, establishment of OECMs, community participation, sustainable finance options, species and site conservation, etc.

3.2.9. Produce and promote case studies on women's role in participatory conservation and resource management.

3.2.10. In collaboration with *Adat* communities and upon obtaining FPIC, document traditional knowledge in biodiversity conservation using culturally appropriate methods in line with Standard 4 on Cultural Heritage.

Output 3.3: Increased benefits of innovative conservation measures through scientific partnerships and strengthening of national and international scientific collaboration networks

Indicative activities:

3.3.1. Establish and/or strengthen partnerships with domestic scientific institutions on status, genetic diversity, environmental tolerances (including climate change), ecological habitats, of the Komodo dragon and other globally threatened species in Flores.

3.3.2. Organize two scientific forums to share results of research and innovative conservation measures associated with the Komodo dragon and other globally threatened species.

3.3.3. Support a study on potential impacts of climate change on the distribution of Komodo dragon and other globally threatened species in the West and North Flores landscapes-seascapes contributing towards the development of the integrated ecosystem management frameworks under Output 1.2.

3.3.4. Organize knowledge transfer and learning exchanges with international scientific partners.

3.3.5. Through a competitive process in partnership with national and international research and academic partners, provide low-value grant support for university graduate level applied research on the Komodo dragon and other globally threatened species in the target landscapes-seascapes analyses of topics that would provide substantive contributions towards the conservation measures being implemented in the target landscapes-seascapes.

Output 3.4: Project performance and results monitored and evaluated, and progress and M&E reports produced

Indicative activities:

3.4.1. Design and convene the project inception workshop and prepare the inception report.

3.4.2. Carry out regular monitoring and evaluation of the GEF core indicators (including the midterm and terminal METT assessments) and other metrics included in the project results framework.

3.4.3. Prepare the GEF Project Implementation Reports (PIRs) and other progress reports.

3.4.4. Conduct regular monitoring and evaluation of the ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans.

3.4.5. Conduct supervision and learning missions.

3.4.6. Procure and support the independent midterm review (MTR) and terminal evaluation (TE) of the project.

3.4.7. Procure and support the terminal evaluation (TE) of the project.

3.4.8. Prepare the final report for the project, including the PIR for the last year of implementation, the terminal evaluation report, and the management response to the terminal evaluation report.

1.2 Purpose and Scope of ESMF

This ESMF is a management tool to assist in managing potential adverse social and environmental impacts associated with project activities, in line with the requirements of UNDP's Social and Environmental Standards. The Implementing Partner of the project and the relevant members of the Project Management Unit will follow this ESMF during the start of the project implementation to ensure the environmental and social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant project activities.

This ESMF has been developed based on the project risk categorization conducted for the SESP. Its purpose is to outline the processes that will be undertaken during the project implementation phase, for the additional assessment of potential impacts, and the identification and development of appropriate risk management measures. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts. The risks herein apply to all Outputs and Activities under the three project Components.

This ESMF identifies the steps for detailed screening and assessment of the project's potential, currently identified social and environmental risks, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing the identified adverse impacts of this project. It also sets out the additional safeguards measures that apply to the project during the

inception phase including, but not limited to, the screening of project activities and specific interventions/outputs not yet fully specified, to confirm the overall risk rating for the project i.e., that no planned activities will result in adverse social or environmental impacts that are significant or irreversible, or which raise significant concerns among potentially affected communities and individuals as expressed during the FPIC and stakeholder engagement process.

The ESMF also sets out the additional safeguards measures that apply to the project during the inception phase, including but not limited to:

I. Conducting Environmental and Social Impact Assessments (ESIAs), to assess "downstream" impacts of on-the-ground activities identified in the SESP, paying particular attention to impacts on poor and marginalized individuals, groups and communities.
II. Conducting a Strategic Environmental and Social Assessment (SESA), targeted at impacts associated with "upstream" aspects of the project involving planning support, policy advice and reform, and/or capacity building
III. Screening of project activities and specific interventions/outputs not yet fully specified, using the SESP, to ensure that associated impacts are adequately managed.

This ESMF will be publicly disclosed in line with UNDP's Information Disclosure Policy and SES. Free, Prior Informed Consent (FPIC) will be applied for any identified activities which may affect the rights and interests, lands, territories, and resources of indigenous groups, including but not limited to the implementation of the ESMF.

At this stage, on-the-ground activities and specific locations have not been fully specified, they cannot be fully assessed for all potential social and environmental risks and impacts. As such, this ESMF has been prepared to set out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the project as they are developed and designed**.**

1.3 Potential Social and Environmental Impacts

The UNDP Social and Environmental Screening Procedure (SESP) was used to identify potential social and environmental risks associated with this Project (Refer to Annex 4 of the UNDP PRODOC). The screening highlighted the Project intentions as they related to mainstreaming human rights, gender equality and women's empowerment, accountability and transparency and environmental sustainability. A screening was undertaken using the UNDP Social and Environmental Screening Procedure to assess the probability and the impact of the risk. From the scoring of likelihood and impact, a significance value of low, moderate or high was attributed to the potential impact of these risks.

In terms of risks, the SESP identified a total of fifteen risks, eight have been assessed as Moderate while six were rated Substantial and one High; hence overall SESP risk categorization rating for the project is "High".

High Risk: is defined by UNDP's SES as Projects that include activities with potential significant adverse social and environmental risks and impacts that are irreversible, unprecedented, and/or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. High Risk activities may involve significant adverse impacts on physical, biological, socioeconomic, or cultural resources. High Risk projects may have the potential to aggravate existing situations of fragility or conflict, adversely affect human rights and/or lead to extensive environmental degradation. Comprehensive forms of assessment and management plans are required.

In terms of positive impacts, the project is designed to conserve globally important species, including the Komodo dragon and other threatened species and their habitats in Flores while integrating biodiversity conservation in land and seascapes, in particular, in those areas outside protected areas. The project will uphold human rights principles of the most affected groups (rural and Adat community women and men, and other disadvantaged groups) by ensuring that the two groups of human rights stakeholders (i.e. primary duty bearers, and rights holders) commit to uphold a set of human rights principles and understand their importance for project implementation.

The following are the project risks and their significance as identified in the completed SESP found in Annex 9:

High risks identified with the Project are:

- Risk 1: The project may exacerbate tensions between the Adat communities and local authorities regarding unresolved land tenure issues in the North Flores landscape-seascape.

Related to / stemming from Outputs 1.1, 1.2, 1.3

Substantial risks identified within the Project are:

- Risk 2: The project may exacerbate tensions between the Adat communities and local authorities in the West Flores landscape-seascape.

Related to / stemming from Outputs 1.1, 1.2, 1.3

- Risk 3: Local communities' access rights to resources could be restricted which may lead to economic displacement and marginalization.
- Outputs: 1.1, 1.2, 1.3, 1.4, 2.1, 2.3
- Risk 5: Project interventions in terms of community livelihoods and community-based enterprises (e.g., ecotourism and natural resources based value addition, etc.) may have adverse impacts on species and habitats if not well implemented.
- Outputs: 1.1, 1.2, 1.3, 2.2, 2.3, 2.4, 3.4
- Risk 8: Local people involved in project activities, project team members, and service providers may be at a heightened risk of exposure to COVID 19 through the stakeholder consultation meetings, workshops and field visits, etc.
- Outputs: 1.3; 2.2, 2.3, 2.4
- Risk 10: Field- and policy-level activities related to community-based organizations and business enterprises could inadvertently support child labor, and other violations of international labor standards.
- Outputs: 2.3, 2.4
- Risk 13: With the designated areas in the landscape being selected as tourism destinations by the Government, associated activities such as ecotourism and biodiversity friendly businesses are bound to emerge in the areas. The project intends to support small scale investments in ecotourism at the same time protecting the conservation areas of the Komodo dragon. With the increase of ecotourism and other types of biodiversity friendly businesses, pollution in terms of noise, increase of foot traffic, water, soil and generation of solid and domestic waste are expected to increase.
- Outputs 2.3, 2.4

Moderate risks identified the Project are:

- Risk 4: Women (Adat community and rural women in particular) and other marginalized groups may not be fully involved in planning, implementation and monitoring of project interventions (decision making processes) related to improving management effectiveness of protected areas and establishment of OECMs to enhance conservation outcomes and sustainable livelihoods. As a consequence, women might not benefit from such initiatives, rather, influential leaders and/or groups at the local level may have more control on local level decision-making.
- Outputs: 1.1, 1.2, 1.3, 2.2, 2.3, 2.4, 3.4
- Risk 6: Natural disasters and climate change may affect the implementation and results of project initiatives
- Outputs: 1.1, 1.3, 1.4, 2.3, 2.4, 3.2, 3.3, 3.4
- Risk 7: Restoration interventions and agroecological livelihood activities may involve the use of agrochemicals (e.g., chemical fertilizers or pesticides), posing a health risk to workers and farmers

handling the agrochemicals and an environmental risk through potential inadvertent release of pollutants.

- Outputs: 1.1, 1.3, 2.3
- Risk 9: The cultural identity of the Adat community groups might not be respected and/or their traditional knowledge (or other forms of cultural heritage, including tangible forms) might be inadvertently harmed during project activities that intend to preserve and/or utilize it.
- Outputs: 1.1, 1.3, 2.3, 2.4
- Risk 11: Poorly designed or executed project activities could exacerbate illegal wildlife trade.
- Outputs: 1.3, 2.3, 2.4
- Risk 12: Poorly designed or executed project activities could damage critical or sensitive habitats, including through the introduction of invasive alien species (IAS) during forest restoration-rehabilitation activities.
- Outputs: 1.3
- Risk 14: Activities funded under low-value grant assistance delivery mechanisms may be carried out without full adherence to UDNP SES.
- Outputs: 2.2, 2.3, 2.4, 3.3
- Risk 15: The use of security personnel may reduce access to some areas for security reasons, possibly resulting in violence to or from the security personnel who might wear arms with the risk of misusing them
- Output: 1.3

Management:

Landscape specific and activity specific ESIAs will be prepared and all thematic safeguards management plans (e.g., Indigenous Peoples Plan (IPP), etc.) will be prepared as part of the ESMP during project implementation, per the ESMF. The IPP developed during the PPG phase (including FPIC procedures) will be implemented to ensure that community concerns are addressed and to safeguard the interests of *Adat* and other vulnerable communities. The PMU will recruit one or more FPIC specialists to facilitate the FPIC consultations through collaboration with the project's full-time Safeguards Officer, ensuring that *Adat* community concerns are adequately addressed and monitored, as well as providing training to staff and key stakeholders, providing advice in the development of key regulatory frameworks and work programs on conservation and sustainable land use. The full FPIC will be carried out prior to the project implementation phase.

The multi-stakeholder coordination platform established under Output 1.1 for the West Flores landscapes-seascape will have representation of *Adat* communities. The platform will oversee the development of the integrated ecosystem management framework in Output 1.2. The ecosystem management framework is an "upstream" activity and will be developed in line with the SESA. FPIC will be obtained under Output 1.1 (*Adat* representation on the coordination platform), Output 1.2 (approval/consent of the integrated ecosystem management framework), and as part of establishing OECMs involving *Adat* communities in Output 1.3, and *Adat* communities will be represented on the OECM governance mechanisms. The multi-stakeholder coordination platform and OECM governance forums will also provide additional opportunities for improved dialogue regarding land tenure issues.

Moreover, under Output 1.1, the project will facilitate joint planning sessions between the management entities of protected areas in the target landscape-seascape and other stakeholders, including Adat community representatives, thus facilitating improved communication and dialogue on topical issues.

During project preparation phase, the project was screened using UNDP's Social and Environmental Screening Procedure (SESP). The analysis identified a range of potential social and environmental risks associated with the project activities that include:

Overarching Principle: Leave No One Behind

- Human Rights
    - Potential inequitable or discriminatory adverse impacts on affected populations.
    - Potentially rights-holders do not have the capacity to claim their rights.
    - Possible affect upon land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources.
    - Potentially duty-bearers do not have the capacity to meet their obligations.

- Gender Equality and Women's Empowerment

- Potential adverse impacts on gender equality.
- Potential discrimination against women based on gender, limiting access to opportunities and benefits with the project.

- Accountability
  - Potential for exclusion of potentially affected stakeholders, in particular marginalized groups and excluded individuals from fully participating in decisions that affect them.
  - Potential to lead to grievances or objections from potentially affected stakeholders.

Project-Level Standards

- Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management
  - Potential adverse impacts to habitats.
  - Potential risk of introducing invasive alien species.
  - Project involves reforestation/rehabilitation.

- Standard 2: Climate Change and Disaster Risks
  - Potential outcomes of the project could be sensitive or vulnerable to potential impacts of climate change.
  - Potential for the project to increases in vulnerability to climate change impacts or disaster risks now or in the future.

- Standard 3: Community Health, Safety and Security
  - Potential health risks from vector-borne diseases (COVID-19).

- Standard 4: Cultural Heritage
  - activities adjacent to or within a Cultural Heritage site?
  - Potential for project adversely impact sites, structures, or objects with religious values.
  - alterations to landscapes and natural features with cultural significance?
  - utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes

- Standard 5: Displacement and Resettlement
  - Potential economic displacement due to loss of access to resources due to land acquisition or access restriction.
  - Possible affect upon land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources.

- Standard 6: Indigenous Peoples
  - *Adat* communities present in the Project area.
  - Activities located on lands and territories claimed by *Adat* communities
  - Potential for economic displacement of *Adat* communities through access restrictions to lands.
  - Impacts (positive or negative) to the human rights, lands, natural resources, territories, and livelihoods of indigenous communities.

- Standard 7: Labour and Working Conditions
  - Working conditions that may not meet national labor laws and international commitments.
  - Potential use of child labor

- Standard 8: Pollution Prevention and Resource Efficiency
  - Potential release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local impacts.
  - Potential generation of non-hazardous waste.
  - Potential application of pesticides that may have a negative effect on the environment or human health

2 Legal and Institutional Framework

This section provides a preliminary review of the policy, legal and institutional framework related to the potential risks and benefits of the proposed project and prospective activities to be implemented with the use of the funding received. The framework underpins how social and environmental safeguards will be addressed and respected. The section includes (a) the country's applicable policy framework (e.g. national laws and regulations) relating to relevant social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; and (b) likely applicable requirements under UNDP's SES.

2.1 National Legislation, Policies and Regulations

The following provisions are key to the environmental and social management of the project, and their provisions must be reflected in the ESMPs. Further examination of the impact and significance of national legislation will be contained in the SESA.

2.1.1 Biodiversity Conservation and Protected Areas

One-third of Indonesia's 75,000 villages, home to 32 million people, lie within or adjacent to land dedicated by the government for forestry or conservation. In 1993, the Ministry of National Development Planning (BAPPENAS) produced the first Biodiversity Action Plan for Indonesia. The document was published prior to CBD ratification in 1994. The Biodiversity Action Plan prioritized in-situ conservation measures, both inside and outside protected areas, as well as ex-situ conservation. Biodiversity issues have been integrated into the sectoral strategic plans of the Ministry of Environment and Forestry, Ministry of Marine Affairs and Fisheries, Ministry of Agriculture, Ministry of Agrarian Affairs and Spatial Planning – National Land Agency, the Coordinating Ministry for Economic Affairs, among others. The National Biodiversity Strategic Action Plan (NBSAP) was produced in 2003 for the period 2003-2020. Parts of the NBSAP were updated in 2015, when a renewed version was published covering the period of 2015-2020. The updated NBSAP includes emerging issues related to the challenges of protecting biodiversity, potential impacts of climate change, and the need for improved information management, as well as institutional and managerial resources.

2.1.2 Forest and Land Designation and Tenure

Based on Government Regulation No. 23 of 2021 on *Forestry Implementation*, Indonesia's official forest area designation is divided into two categories: state forest and customary forest areas. *Adat* communities have rights to manage their traditional forest areas as along as their customary law remain exist and recognized by the state. All forest areas, state and non-state, are subject to zoning by the Ministry of Environment and Forestry to integrate production, protection, and conservation functions. Beyond the categorization of forest areas, Indonesia recognizes three types of forests based on the legal status. These are: state forest, entitled forest, and *Adat* forest.

The Indonesia's Forestry Law (No.41/1999 and its amendments), classifies forest functions within the designated state forest areas into: production, conservation, and protection. The production forest areas have been designated mainly for timber production. Conservation forest areas are set aside for wildlife and ecosystems conservation. Protection forest areas are primarily for watershed protection. The Ministry of Environment and Forestry issues forestry concessionaire licenses for private companies and state-owned companies within the production forest zone of state forest lands. State forest lands defined as serving conservation purposes are managed by conservation agencies and national park authorities within the Ministry of Environment and Forestry, while state forest lands allocated for protection purposes are managed by the local governments.

Non-forest areas, also known as the area for other purposes *(Areal Penggunaan Lain, APL),* are under the administration of the National Land Agency *(Badan Pertanahan Nasional)*. Around 30% of non-forest areas is formally titled (as privately owned lands).

A change in designation from forest to non-forest is allowed for the purposes of a development project which excludes forestry activities on a permanent basis, the removal of an enclave in order to simplify the management of area of forest, or improvement of boundaries of a forest area. A change in the principle function of an area of forest permits changes between conservation forest, protected and production forests, following an evaluation by the MoEF. Activities such as mining, logging, and clearing forest land for plantations require a series of permits from various government agencies and various tiers of government depending on the activity and the

land for which it is planned. For a license to be allocated, the landowner and the local community must be consulted. Change of use, or the granting of legal land ownership rights requires actions by a number of key government agencies, including the MoEF, regional and local governments, the land agency (BPN), legislative and law enforcement agencies and the judiciary.

Based on Law Number 41 of 1999 on *Forestry*, all forest lands (production, protection and conservation) must be divided into and managed under forest management units (FMUs). The units are located on forest land with the function of implementing forest management activities. The forest management units, especially production and protection forest management units, are further regulated under Government Regulation 23/2021 on forest administration. In achieving FMU's management objectives for the best benefits of the community, the government will administer the forest through conducting the following services: forestry planning; forest management; forestry research and development, education and training, and extension; and supervision.

Community-based land and forest management mechanisms:

Approximately 10% of the total area of Indonesia's forest area is set aside for Community Forests (HKm), Village Forests (HD), Community Plantation Forests (HTR), *Adat* Forests (HA), and partnerships. A summary of relevant schemes is included in Table 2 below.

Table 2: Community Forest Schemes

Scheme	Location	Authority and Permits	Applicant	Applicant
HD	Protection forest and production forest areas	HPHD (Village Forest Management Right)	Village cooperative (koperasi) and BUMDes (Village Owned Business Entity)	35 years and can be extended
HKm	Protection forest and production forest areas	IUPHKm	Community Group	
HTR	Production Forest areas	IUPHHK-HTR	Individual/ group and cooperation	
Forestry Partnership	Protection forest, conservation Forest and production forest areas	Agreement	Community and group	
HA	Communal Lands	Decree recognition and protection	Communal community	Control right and property right *(Hak menguasai dan hak memiliki)*

Source: Regulation of Ministry of Environment and Forestry No. P.9 of 2021 on Social Forestry.

2.1.3 Indigenous laws and customs pertaining to land use and tenure

The Basic Agrarian Law No. 5 of 1960 governs the use of land in Indonesia. This law forms part of the Constitution of Indonesia, guarantees land rights to *Adat* communities, and guarantees that recognized customary land, used by *Adat* people, cannot be transferred to private ownership.

The third amendment to the Indonesian Constitution recognizes the rights of *Adat* peoples in Article 18b-2. In more recent legislation, there is an implicit recognition of some rights of the *Adat* peoples known as *Masyarakat Adat* or *Masyarakat hukum Adat*, which include Law 5/1960 on Basic Agrarian Regulation, Law 39/1999 on Human Rights and the Decree of MPR No. X / 2001 on Agrarian Reform.

Law 27/2007 on the Management of Coastal and Small Islands and Law No. 32/2009 on the Environmental Protection and Management, clearly use the term *Masyarakat Adat* or *Adat* Communities and use the practical definition of the *Adat* Peoples' Alliance of the Archipelago (AMAN). The Constitutional Court confirmed the constitutional rights of *Ada*t communities over their lands and territories in May 2013, including their collective rights over *Adat* forests.

Established in 2008, Indonesia's social forestry programme allocates 12.7 million hectares of Indonesia's State Forest, or 10 % of total State Forest land, has been designated for *Adat* and local community management. The programme formalizes respect for customary or collective tenure rights and provides funding for sustainable forest management, community-based conservation initiatives and forest and landscape restoration activities, among others.

2.1.4 Spatial arrangements for land use

Land use designations are further governed under spatial planning regulations and in accordance with Law No. 26 of 2007 on Spatial Planning (UUTR). This law governs the coordination and implementation of national spatial planning strategies and coordinates the formulation and implementation of cross-sectoral and cross-border spatial planning at national, provincial and district levels. The general national spatial plan is a policy direction and strategy for the use of national spatial areas which are prepared to ensure a balance of development activities across sectors, and harmony between the natural and built environments.

Law 26/2007 assigns responsibility for spatial planning to the regions, and aims to ensure that land allocations to infrastructure, industry, green open areas, cultivation and sustainable agricultural land, and forest areas are in line with national level priorities. Spatial planning regulations delineate protected areas for protection and cultivation areas for development, and the central government has authority to regulate, empower and supervise the national spatial plan, and facilitate cooperation among the provinces.

In Law 26/2007 there is a conservation concept called Environmental Strategic Area (KSLH). KSLH is one of the categories defined in Law 26/2007 and provides a legal framework for integration of the proposed OECMs into provincial and district planning. KSLH and OECM approaches have different starting points but both promote comprehensive environmental protection at the landscape scale. Law 26/2007 has been used to classify areas for environmental protection and conservation, including the Komodo NP (elucidation of article 5, paragraph 5, Law on Spatial Planning).

In Government Regulation 15/2010, the criteria for KSLH's defined in Article 51 include the following: (1) biodiversity conservation areas, (2) protected areas designated for the protection of ecosystems, flora and/or fauna that are endangered or predicted to be extinct which must be protected and/or conserved, (3) areas that provide protection for the balance of water use that each year have the probability to cause losses, (4) areas that provide protection against macro-climate imbalances, (5) areas that require high priority to improve the quality of the environment, (6) areas prone to natural disasters; or (7) areas that truly determine the change of natural settings and have broad impacts on the continuity of life.

Thus, the spatial planning legal framework provides a basis for proposing KSLH's based on jurisdictional or geographical considerations, whether national, provincial or district/city level. In the spatial planning provisions, it is stated that the district/city government may determine KSLH's, one of which is based on environmental considerations. If the area involves two or more districts, then the province will make the decision. In the case of more than one province, the central government is in charge.

2.1.5 Gender and Development

In Indonesia, gender equality is explicitly guaranteed by the Constitution and has been further promoted through the ratification of the International Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) and ratified it in 1984. This means that Indonesia must implement the provisions of the convention, including Article 14 (Paragraph 2, Point (g)) , which indicates that "States Parties shall take all appropriate measures to eliminate discrimination against women in rural areas in order to ensure, on a basis of equality of men and women, that they participate in and benefit from rural development and, in particular, shall ensure to such women the right: (g) To have access to agricultural credit and loans, marketing facilities, appropriate technology and equal treatment in land and agrarian reform as well as in land resettlement schemes." ". In 2000, Presidential Instruction on Gender Mainstreaming (INPRES No.9/2000) was issued requiring all ministries and government agencies at the national and local levels to include gender mainstreaming in the planning, implementation, monitoring and evaluation of development projects. In 2017, Ministerial Regulation P.31 / 2017 was issued on the implementation of the guidelines on the incorporation of the gender perspective in the environmental and forestry sectors. Although there is a strong legal framework for gender mainstreaming, women's participation in forest management is hampered by social perceptions of separate roles and a person's space by gender, creating a double burden on women, and limiting the role of women in the community. Women tend to play a domestic role in the household, while forest management is still male-dominated.

2.1.6 Climate Change and Disaster Risk

Indonesia is one of the world's biggest greenhouse gas emitters and also a signatory to the 2015 Paris climate agreement. Under that framework, it has committed to reducing emissions by 29% from the business-as-usual scenario by 2030, or 41% with international assistance. The Updated Nationally Determined Contribution (2021) and Long Term Strategy on Low Carbon and Climate Resilience 2050 (LTS-LCCR 2050), emphasizes the country's

plans in sectoral emission reductions and actions to achieve Net Zero Emission by 2060 or sooner. For climate change-related concerns, the government has devised the National Action Plan for Climate Change Adaptation (2013-2025). The National Action Plan for CCA intends to mainstream CCA into national development, provides guidance in cross-sectoral CCA interventions until 2025, supports the identification of immediate adaptation priorities and can be utilized by the local governments to guarantee synergized adaptation action across the country. The plan is part of the wider national development framework, and has been integrated into strategic planning across various ministries. These documents guide the implementation of low emission development in Indonesia.

At the same time, Indonesia is a natural disaster prone nation and according to the country's disaster management agency, BNPB, the intensity of disasters such as floods and droughts have increased in the recent years, from 1,967 cases nationwide in 2014, to 3,721 cases in 2019. There are a number of laws that deal with disaster risk reduction (DRR): Law Number 24 Concerning Disaster Management which recognizes the need to increase hazard awareness and to develop a more systematic and integrated approach to DRR. Other key guiding documents for DRR in Indonesia include the first National Action Plan for Disaster Risk Reduction (BNPB, 2006), the National Guidelines for Disaster Management 2010-2014, and the National Action Plan for Disaster Risk Reduction 2010-2012. The National Medium-Term Development Plan (RPJMN) 2020–2024, launched in early 2020 will ensure that the CCA and DRR strategies are in synergy with priorities in other development domains.

Not to be neglected is the government's response to the COVID-19 pandemic. One of the most important legal instruments is the President's Directives 4/2020 (*Instruksi Presiden Nomor* 4/2020) specifically instructing for refocusing of development activities, reallocation of government budget, and procurement of goods and services for rapid and accelerated response to COVID-19.

2.1.7 International Agreements and Treaties

Indonesia is a signatory to several multilateral agreements and conventions that are relevant to the project. These include, but are not limited to, the following:

Table 3: International Frameworks

1)	Convention on Biological Diversity (1992)
2)	Cartagena Protocol on Biosafety to the Convention on Biological Diversity (2000)
3)	Convention on International Trade in Endangered Species of Wild Fauna and Flora (1973)
4)	Aichi Targets: The Strategic Plan for Biodiversity includes 20 time-bound, measurable targets to be met by the year 2020 (Aichi Biodiversity Targets).
5)	Post 2020 Biodiversity Framework - Convention on Biological Diversity (2020)
6)	The Universal Declaration of Human Rights ('the Universal Declaration'), the International Covenant on Economic, Social and Cultural Rights ('the ECOSOC Covenant')
7)	Covenant on Civil and Political Rights (' the ICCPR') and the Optional Protocol to the ICCPR - exists to define and guarantee the protection of human rights. 2006
8)	CEDAW - Convention on the Elimination of All Forms of Discrimination against Women (1984),
9)	CRC - Convention on the Rights of the Child (1990),

2.2 UNDP's Social and Environmental Standards

UNDP's Social and Environmental Standards (SES), in effect as of 1 January 2021, underpin UNDP's commitment to mainstream social and environmental sustainability in its programs and projects to support sustainable development, and are an integral component of UNDP's quality assurance and risk management approach to programming. Through the SES, UNDP meets the requirements of the GEF's Environmental and Social Safeguards Policy.

The objectives of the SES are to:

1. Strengthen the social and environmental outcomes of Programs and Projects
2. Avoid adverse impacts to people and the environment
3. Minimize, mitigate, and manage adverse impacts where avoidance is not possible
4. Strengthen UNDP and partner capacities for managing social and environmental risks

5. Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

UNDP uses its Social and Environmental Screening Procedure (SESP) to identify potential social and environmental risks and opportunities associated with all proposed projects. The SES underpin UNDP's commitment to mainstream social and environmental sustainability in its Programs and Projects to support sustainable development. Each project is scrutinized as to its type, location, scale, sensitivity and the magnitude of its potential social and environmental impacts. All project components are screened, including planning support, policy advice and capacity-building, as well as site-specific, physical interventions. Activities that will be completed under project co-financing are also included in the scope of the assessment.

Through the GEF Accreditation Process, the SES are acknowledged to be consistent with the GEF's Environment and Social Standards.

Where projects are rated as being High Risk, comprehensive social and environmental assessment is required, together with the identification of management mechanisms to mitigate identified risks. The assessment must be commensurate with the magnitude and severity of foreseen risks.

The nature of the assessment will vary according to the type of risk foreseen. Where potential impacts are foreseen from "upstream" project activities, such as those involving planning support, policy advice and reform, or capacity building, they are typically assessed using forms of Strategic Environmental and Social Assessment (SESA). Risks and impacts associated with projects that have a physical footprint ("downstream" activities) are typically addressed through a full Environmental and Social Impact Assessment (ESIA).

The Social and Environmental Screening Procedure (SESP) has been applied to the project during the project development phase, as required by the UNDP SES. Under this procedure, when a potential risk is identified and assessed as having either a 'moderate' or 'high' risk rating based on its probability of occurrence and magnitude of impact, a standard or principle is triggered. (Risks that are assessed as 'low' do not trigger the related principle or standard).

The SESP identified 16 risks for this project that could have potential negative impacts in the absence of safeguards. Nine risks have been assessed as Moderate while five were rated Substantial and one High; hence overall SESP risk categorization rating for the project is "High". The high risks relate to Principle 1 Human Rights and Standard 6 Indigenous Peoples. A summary of the risk significance under each SES principles and standards, and the project-level safeguard standards triggered by each project is shown in Table 4 below.

Table 4: Risk Significance

Principle / Standard	Risk Rating	SES Requirement
Overarching Principle: Leave No One Behind		
Human Rights	√ **High**	**SESA, ESIA, SEP,**
Gender Equality and Women's Empowerment	√ **Moderate**	**GAP, ESIA**
Sustainability and Resilience		
Accountability	√ **Moderate**	**SESA, ESIA, SEP,**
Project-level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	√ **Substantial**	**Exclusion list, SESA, ESIA, SESP**
Standard 2: Climate Change and Disaster Risks	√ **Moderate**	**Exclusion list, SESP, ESIA, SESA**
Standard 3: Community Health, Safety and Security	√ **Substantial**	**Exclusion list, SESA, ESIA, SESP**
Standard 4: Cultural Heritage	√ **Moderate**	**Exclusion list, SESP, ESIA**
Standard 5: Displacement and Resettlement	√ **Substantial**	**Exclusion list, SESP, ESIA**
Standard 6: Indigenous Peoples	√ **High**	**Exclusion list, SESP, ESIA, SESA**
Standard 7: Labour and Working Conditions	√	**SESA, ESIA**

Principle / Standard	Risk Rating	SES Requirement
	Moderate	
Standard 8: Pollution Prevention and Resource Efficiency	√ **Moderate**	**SESA, ESIA, SESP**
Number of risks in each risk rating category		
High	1	
Substantial	6	
Moderate	9	
Low		
Total number of project risks	16	
Overall Project Risk Categorization	**High**	
Number of safeguard standards triggered	**11**	

2.3 Gaps in policy framework

The Strategic Environmental and Social Assessment (SESA) and Environmental and Social Impact Assessments (ESIAs) will include further analysis of the legal and policy frameworks that apply to the project, identifying gaps and strategies to enable the project's policy-level activities to operate with and alongside national, provincial and district policies.

3 Procedures for Screening, Assessing and Managing Social and Environmental Impacts

In accordance with UNDP SES policy, the Social and Environmental Screening Procedure (SESP) has been applied to the project during the project development phase. Under this policy, a SES principle or standard is triggered when a potential risk is identified and assessed as having either a 'moderate', 'substantial' or 'high' risk rating based on its probability of occurrence and extent of impact. Risks that are assessed as 'low' do not trigger the related principle or standard.

Based on the project risk categorization assigned to the project and its specific risks, the following procedures for screening, assessing and managing those risks must be undertaken during the project implementation. This work will commence during the initiation such that no physical project activity or construction can start before the associated assessment has been undertaken and management plans are in place. They are described in the sections below.

Assessments shall be carried out by commissioning competent qualified, independent local specialists, working under the supervision of the Project Management Unit with support from the UNDP Indonesia Country Office's Safeguards Focal Point. The extent of the assessment will be commensurate with the significance and scale of the impacts envisaged. The Project Management Unit, with support from the UNDP Indonesia Country Office's Safeguards Focal Point, will also be responsible for drafting Terms of Reference for the assessments. Full guidance on the required procedures is available in the Guidance Note on Social and Environmental Assessment. The applicability of SES Standard 6 (on indigenous peoples) will be determined in the course of each assessment (SESAs, ESIAs, etc.) described below; where that Standard is confirmed (based on the UNDP SES), the equivalent of an Indigenous Peoples Plan will be developed and implemented, along with measures for Free, Prior and Informed Consent (FPIC), as needed for compliance with the SES.

3.1 Additional Screening

Screening throughout implementation

During implementation, the project will be re-screened using the UNDP SESP:

As prescribed by the SESA, ESIAs, ESMPs, and other targeted assessments/management plans;

When determined necessary by the Project Manager (after consideration of the advice project' Safeguards Officer), the Project Board, or UNDP; and/or

When project circumstances change in a substantive or relevant way.

Further assessment and management will be undertaken as needed for SES compliance, based on the updated SESP(s).

Screening of activities under outputs for which the potential risks are not yet fully known

- **Output 1.3:** Management of the West and North Flores landscapes-seascapes improved through establishment and/or recognition of other effective area-based conservation measures (OECMs)

- **Output 1.4:** Monitoring and enforcement capacities, systems, coverage, and partnerships strengthened to enhance the knowledge base on population dynamics and variability of Komodo Dragon and other species, enabling more informed management decisions in the West and North Flores landscapes-seascapes

- **Output 2.3:** Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes, with particular focus on vulnerable communities includes those affected by the COVID-19 pandemic

The screening procedures described below will apply to the implementation of project activities under outputs for which the potential risks are not yet fully known:

Prior to the commencement of activities, any location or the sub-project will be individually screened with the UNDP SESP template. Second, activities will be reviewed against the criteria of the Exclusion List (below), i.e., activities will be deemed ineligible for the project if they:

- Involve conversion or degradation of natural habitats
- May cause measurable adverse impacts to environmentally sensitive areas
- Risk the introduction of invasive alien species
- May negatively affect endangered species
- Involve involuntary resettlement or force eviction of people
- Do not comply with technical norms and standards
- Purchase, use or store harmful pesticides or hazardous materials
- Involve forced labor/ child labor
- May cause risk to the cultural heritage (including tangible and intangible cultural heritage)

In summary, project activities under outputs for which the potential risks are not yet fully known will be identified and then individually screened with the SESP template, in order to determine the level of assessment and management measures required. Then, sites and activities will be reviewed against the criteria of the Exclusion List before validation of the final location of each project site. The activities shall not commence prior to these processes and until the assessments have been conducted and the necessary management measures are in place

Assessment

3.1.1 **Strategic Environmental and Social Assessment for Upstream Activities** (SESA)

The SESA will evaluate the effect of policy changes on a broad, cross-sectoral basis with the aim of making policy decisions and other upstream actions more sustainable. The assessment of upstream impacts will integrate environmental and social considerations into policies, plans and programmes and evaluate their interlinkages with economic and sustainability considerations. The SESA process will examine the linkages between the two and anticipate the potentially adverse impacts of policies at the site level.

As a high-level document, the SESA is based on the broad scope of envisaged high-level project activities. As these are already identified and broadly defined, work on the SESA will commence at an early stage. There are upstream issues and potential impacts (positive and negative) that are associated with forest management policies, legislation and practices, conservation management and, financing that are addressed in both Components 1 and 2 of the project.

A Strategic Environmental and Social Assessment (SESA) will be undertaken during the following:

Component 1 will enhance species management for the island of Flores through protecting forests and other critical terrestrial and marine habitats to preserve the Komodo dragon and other threatened species within the broader multi-use landscapes-seascapes, including protected areas and areas outside it through engagement of diverse stakeholders that are currently under different management regimes. While the project will support

investment to strengthen management effectiveness within existing protected areas, it will concurrently also support the OECM approach for terrestrial and marine habitats outside formal PA system—by addressing the main issues of deforestation and terrestrial and marine degradation throughout Flores. A comprehensive study of the Komodo dragon population will be undertaken to better understand the genetic variability of the Komodo dragon population to identify appropriate management approaches to protect these distinctive populations.

A SESA approach will be applied to

Activity 1.1.1. In collaboration with provincial and district stakeholders, develop terms of reference for two multi-stakeholder coordination platforms for guiding the West and North Flores integrated landscape-seascape approaches.

Activity 1.2.1: Develop guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors. The SESA will apply to the development of the guidelines to ensure that the potential social and environmental downstream impacts arising from their implementation are in line with the biodiversity and restoration policy frameworks in the key production sectors.
Activity 1.2.3. Based on the results of the participatory assessments and the SESA, develop integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes, aligning with the SRAK and other existing strategies and plans.

Activity 1.2.5. Develop guidelines on biodiversity mainstreaming and restoration of degraded habitats in key production sectors.

Activity 1.3.1. Using the OECM Screening Tool, identify potential OECMs in the West and North Flores landscapes-seascapes as part of the integrated ecosystem management frameworks, to improve connectivity of Komodo habitats and expand stakeholder involvement in achievement of conservation outcomes.

Activity 1.34: Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands

Activity 1.3.5. In collaboration with protected area management entities and local government units in the West and North Flores landscapes-seascapes, design and establish OECMs that complement conservation objectives by increasing connectivity across fragmented habitats, e.g., through wildlife corridors.

In Component 2, the GEF project will attempt to mobilize the private sector (particularly in the tourism and other potential economic sector) as potential sources of financing and the engagement of community groups as agents for environmental change. In this regard, the project will actively try to address the numerous barriers to expand private sector engagement in conservation, in particular to identify appropriate entry points to engage the private sector through facilitating training and capacity building and provision of technical support to recognize the business benefits of good environmental stewardship and identification a suite of potential financial instruments to support small-scale economic activity.

Activity 2.1.1. Develop financial and business development frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes, promoting innovative tools, practices, and financing instruments.

Activity 2.1.2. Based on the financial and business development frameworks, develop financial strategies for each of the three districts in the project landscapes, in line with the environmental and socioeconomic development priorities of the districts.

2.4.1Supporting the Labuan Bajo Flores Tourism Authority (BPOLBF) develop a plan for strengthening Komodo dragon focused ecotourism experiences into the Integrated Tourism and Development Plan for the Komodo National Park and Labuan Bajo.

The SESAs will be carried out by an independent service provider in accordance with UNDP's SES policy and the UNDP SES Guidance Note on Assessment and Management to identify and assess social and environmental impacts associated with the proposed upstream activities in a participatory manner with stakeholders as follows:

1. Identify social and environmental priorities to be included in planning and policy processes
2. Assess gaps in the institutional, policy, and legal frameworks to address these priorities
3. Identify potential adverse social and environmental impacts associated with policy and planning options
4. Engage decision makers and stakeholders to ensure a common understanding and broad support for implementation
5. Formulate policy and institutional measures needed to close policy and legal gaps, address institutional weaknesses, and avoid adverse social and environmental impacts.

The SESA will be comprised of a concise report that summarizes the main findings and results of SESA, including (a) SESA stakeholder engagement process; (b) Key social and environmental priorities and issues associated with chosen planning activities; (c) Institutional arrangements for coordinating integration of social and environmental issues into chosen plans, policy amendments; (d) Legal, regulatory, policy, institutional and capacity recommendations to address any identified gaps for managing the social and environmental priorities and implementing applicable social and environmental policies; (e) Results of assessment of social and environmental risks/impacts associated with the implementation of the project-supported planning and guideline/legal and policy amendments (f) identification of measures (e.g. policies, institutional strengthening, governance reform) to address and manage anticipated adverse social and environmental risks and impacts, including a summary Action Matrix ; and (g) where applicable, final or advanced draft of ESMF as framework for managing social and environmental risks during implementation of the proposed regulations and plans, and legal amendments supported by the project. As a high-level document, the SESA is based on the broad scope of envisaged high-level project activities.

3.1.2 Environmental and Social Impact Assessment (ESIA)

In accordance with UNDP's SES policy, High Risk projects require an ESIA to be carried out by independent experts in a participatory manner with stakeholders during the inception phase. The ESIA will further identify and assess social and environmental impacts of the project and design appropriate avoidance, mitigation, management, and monitoring measures. It will address all relevant issues related to the SES Overarching Principles and Project-level Standards, providing input into the ESMP.

The ESIA will commence as soon as specific project locations are selected and the related upstream activities are completed. The ESIA will focus on, but not be restricted to the potential impacts identified during the SESP screening process, which are a result of proposed on-the-ground project activities in their location-specific contexts. The ESIA will also address COVID-19 related risks, and specific mitigation measures will be integrated into the ESMP.

The ESIA will be developed and carried out by a contracted independent service provider in a participatory manner with stakeholders during the first six months of the project and as part of the workplan preparatory activities. This will involve stakeholder consultations and engagement, as well as research, fieldwork, and management planning. See also Section 5 below on Stakeholder Engagement and Information Disclosure.

The Implementing Partner (MoEF) will commission the ESIA, in conjunction or separately with the SESA. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. The typical elements and an outline of an ESIA are presented is presented in Section 10 of this ESMF.

The UNDP SES and SESP require that in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts.

The following are subject to ESIA procedure as they may cause adverse social and environmental impacts:

Activity 1.3.3. Conduct community consultations, including FPIC consultations, with communities in villages where potential OECMs have been identified, and obtain consent and FPIC for the establishment and governance of the OECMs.

Activity 1.3.4. Working with selected villages that have high biodiversity value areas outside of the protected areas and forest management units, design and support establishment of OECMs on community lands continuing FPIC as needed.

Activity 1.3.6. Working with West Mangarai, East Mangarai and Ngada forest management units (KPH) in the landscapes-seascapes, design and establish OECMs in protection and production forest areas, incorporating FPIC as needed.

3.3 Management

3.3.1 Environmental and Social Management Plan (ESMP)

The output of the ESIAs will provide a set of avoidance, mitigation, monitoring and institutional measures with an implementation plan to achieve the desired social and environmental sustainability outcomes. Additionally, together with information assessed within the ESIAs, the ESMPs will provide recommendations for Project activities that require activity-specific risk assessment, including reducing or mitigating risks associated with anti-poaching activities. The measures will be adopted and integrated into the project activities, monitoring and reporting framework and budget, and captured in a revised SESP. The ESMPs will take into account the Stakeholder Engagement Plan, Gender Action Plan and be linked with the Indigenous Peoples Plan, including FPIC as required. Additionally, the ESMPs will make operational recommendations regarding the Coronavirus (COVID-19) pandemic, including alignment of the Project with government guidelines and policies, and review cycles within the Project regarding those recommendations. The typical elements and an outline of an ESMP are presented in Section 11 of this ESMF.

Project-affected stakeholders will be consulted on the scope and parameters of the assessment processes and their findings, including proposed mitigation and management measures. It may be necessary to undertake targeted consultations to ensure that marginalized groups and individuals affected by the project have the opportunity to participate. Assessment reports and adoption of appropriate mitigation plans/measures will be completed, disclosed, and discussed with stakeholders prior to initiation of project activities noted in 3.1.2 above that may cause adverse social and environmental impacts.

3.3.2 Other relevant assessments and plans

Additional Plans

Throughout all safeguard procedures, the project's SEP and GAAP will be followed and updated as needed based on the screenings, assessments and management plans. The findings of the SESAs and ESIAs will be used to update the project's Gender Action Plan, Indigenous People Plan and Stakeholder Engagement Plan (SEP) as determined appropriate by the SESA/ESIA/ESMP consultants.

- **Stakeholder Engagement Plan:** Fair, inclusive and gender-responsive stakeholder engagement will be essential for final design of the project, ensuring equitable involvement and inclusion of women, men, youth and elderly people. The Stakeholder Engagement Plan will enable project officers to ensure that selection is carried out in synergy with the related legal and policy governance structure and that the implementation and selection procedures meet the required norms and standards. The plan will specifically consider how to engage marginalized and vulnerable groups equitably and meaningfully (women, women headed households, youth, elderly, rural poor, *Adat* communities and/or any other group deemed to be vulnerable) within the project areas.
- **Gender Analysis and Gender Action Plan (GAAP):** The GAAP proposes gender sensitive activities to address the unequal access to and control over natural resources; lack of participation and involvement in decision making in environmental planning, and management at all levels and unequal access to socio-economic benefits and services such as access to credit and skills training. The gender activities will be implemented and supported by dedicated gender consultant and by the project team.

- **Indigenous Peoples Plan (IPP):** The SESP has identified potential impacts to the rights, lands, territories and traditional livelihood of *Adat* communities. The ESIAs will identify the presence of these people for each of the specific sites, and further establish the nature of the risk(s). An IPP will be developed based on the IPP framework (refer Section 9) and it will include a plan for culturally appropriate consultation with the objective of achieving agreement and Free Prior and Informed Consent. Activities that may adversely affect the existence, value, use or enjoyment of customary rights, resources or territories will be avoided, where possible. Where FPIC is determined to be a requirement, consultations will be carried out with the objective of achieving initial consent from the specific rights-holders, as appropriate and in line with Standard 6 requirements. FPIC consultations will be ongoing and followed up during project implementation, following the measures summarized in the ESMF and in the IPP (refer to Section 13 for the indicative outline of the IPP will be prepared as follow up to the IPPF which is found in Section 9). The IPP will be part of the subsequent ESMP.

During the implementation of the project other safeguard assessments and plans may be required, either as part of the forthcoming ESIA/ESMP(s) and/or as stand-alone plans. Some examples are presented below:

- **Biodiversity Action Plan (BAP).** Proposed project activities in will include a range biodiversity related activities such as species conservation, strengthening of PA networks, extending conservation measures outside of PAs and restoration of degraded habitat. A Biodiversity Action Plan (BAP) can provide a useful means to focus a project's mitigation and management strategy. For project activities in environmentally sensitive areas, including protected areas, UNDP SES Standard 1 ensures that a BAP needs to be in place. Biodiversity plans are highly encouraged when also operating in modified habitats with biodiversity values of importance to conservation. A BAP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP is highly context specific. There is no one widely recognized, cross-sectoral framework for the development of a BAP. Typically a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) and would articulate a management plan where/when adequate information is available for developing appropriate actions.
  Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMPs) or related plans. The action plans will prevent the introduction of non-indigenous species or invasive species that might pose at risk the local ecosystem. The outline of a BAP is presented in **Section 12** to this ESMF.

- **Livelihood Action Plan**: If determined necessary by ESIAs at project sites, a Livelihood Action Plan will be developed in case the project activities will involve or lead to directly or indirectly, economic displacement whereby the livelihoods of individuals or communities are restricted, partially, or fully, in their access to and/or utilization to land or resources to support their economic well-being. The Livelihood Action Plan will address beneficiary participation in economic displacement decision-making, adequate (full and fair) compensation and assistance, as well as risk management to ensure that livelihoods are at least as good as prior to the project implementation and that the livelihoods of poor and marginalized are improved. The plan will include independent monitoring procedures, clarification of land rights consistent with applicable law, and outline capacity development, training, and specific actions targeting beneficiaries' livelihoods. The plan will ensure that UNDP SES requirements, best practice standards, and mitigation measures are met, such that project activities involving economic displacement cannot proceed until completion of the Livelihood Action Plan. Where impacts on the economically displaced population are minor, an abbreviated action plan may be developed that establishes the eligibility criteria for capacity building, skills training, and/or other types of economic compensation for the affected persons.

  Boundaries of the OECMs. The pre-existing geographic boundaries of the proposed OECMs, rules, regulations, protected area management plans and laws may not be known or well understood by local communities or other stakeholders. These will be agreed upon together with local and Adat communities and the local government. The Community Mobilizers will facilitate socialization of the OECMs with local and Adat communities to ensure the boundaries and conservation measures are implemented as agreed. There will be no displacement of local and Adat communities in the establishment of the OECMs.

Labor Management Procedure

Project activities seek to enhance employment promotion benefits, development outcomes and sustainability by ensuring sound worker-management relationships and cooperation in their design and implementation. The risks associated with this aspect will be further assessed as part of the ESIAs.

~~Under Outputs: 1.1, 1.3, 2. the project will support small local businesses to access financing in order to implement local initiatives that will boost their livelihoods.~~

The following activities might create risks to labour:

Activity 2.2.3. Based on the results of the financial sustainability analyses, develop updated or new business plans for the Komodo NP and the Riung 17 Islands Tourism Park;

Activity 2.3.3. In connection with the financial and business development frameworks developed under

Output 2.1, prepare business plans for feasible livelihood and business models, linking with existing initiatives, including village enterprises (BUMDes), social forestry, Indonesia's Guaranteed Microfinance Programme (KUR), etc., and ensuring ecologically sensitive design of products and services in adherence to social and environmental safeguards through the ESMP monitoring activities.

Activity 2.3.6. Provide technical and low-value grant assistance for community-based organizations and business enterprises for strengthening and/or initiating the biodiversity-friendly livelihood and business enterprises included in the business plans.

Restoration interventions and agro-ecological livelihood activities may involve the use of agrochemicals (e.g., chemical fertilizers or pesticides), posing a health risk to workers and farmers handling the agrochemicals and an environmental risk through potential inadvertent release of pollutants. This risk has been screened as Moderate. (see Annex 4: SESP). In this case, S7 requires that "labour management procedures" be established to help identify key project-associated labour issues and risk areas and measures to address them. The Labour Management Procedures template (the LMP is found in **Section 14**) is designed to help ensure compliance with national law, collective agreements and the requirements of S7. As noted earlier, qualified third party experts would be needed to conduct the assessment of labour-related risk areas

The objective of Standards 7 and of the related LMP are:

- To promote, respect and realize fundamental principles and rights at work[5] through:
    - Supporting freedom of association and the effective recognition of the right to collective bargaining
    - Preventing the use of child labour and forced labour
    - Preventing discrimination and promoting equal opportunity of workers.
- To protect and promote the safety and health of workers.
- To ensure applicable parties comply with employment and labour laws, applicable rules and regulations and international commitments.
- To leave no one behind by protecting and supporting workers in disadvantaged and vulnerable situations, including a special focus, as appropriate, on women workers, young workers, migrant workers and workers with disabilities.

3.4 Chance Find Procedure

With the potential of physical cultural resources around the locations the project sites, there is a possibility for chance finds of physical cultural resources during various phases of the project. To prevent unintended impacts of activities of the project on physical cultural resources, an outline of a Chance Find Procedure for physical cultural resources is presented below in line with Indonesia's Cultural Heritage Law 11/2010 as reference guideline. If, during the course of the project implementation, any unmapped physical cultural resources are found, the following procedure will be followed:

1. Stop the activities in the area of the chance find.
2. Delineate and cordon off the discovered site or area.
3. Secure the site to prevent any damage or loss of any removable objects. In cases of removable antiquities or sensitive remains, a night guard may be required until the responsible local authorities take over.
4. Report the discovery of physical cultural resources to the Project Manager and the relevant authorities within 24 hours or less.
5. Local authorities will be in charge of protecting and preserving the site before deciding on the subsequent appropriate actions. A preliminary evaluation of the findings by the Regional Archeology Institute or similar institution may be required.

6. The decision on how to handle the finding(s) shall be taken by the responsible authorities. This may include changes in the layout or timeline of the project to ensure conservation, preservation, restoration, and/or salvage of the resource.
7. Mitigation measures may include changes in the design of the project activities at the site where the resource is found.
8. Construction work on the site will resume only after permission and instructions from the responsible local authorities.

Cultural heritage risks will be further evaluated as part of ESIAs. Project managers will refer to Indonesia's Cultural Heritage Law 11/2010 for guidance as it addresses aspects related to the cultural heritage of the past, such as buildings and structures, sites and areas, as well as cultural landscapes. As required based on the findings of these assessments, the Chance Find Procedure will be elaborated from the outline presented above and integrated into the ESMPs.

3.5 Indigenous Peoples Planning Framework

SES Standard 6 requires that where a project may affect the rights, lands, resources or territories of indigenous peoples (referred to as *Adat* peoples in Indonesia), an Indigenous Peoples' Plan (IPP), must be developed and implemented during the project implementation phase. (See Annex 5 for IPP template). An Indigenous Peoples Plan Framework (IPPF) was developed during the PPG and is incorporated into this ESMF as Section 9. A template for an IPP is presented in Section 13.

4 Stakeholder engagement and information disclosure

Consultations with project stakeholders, including local and *Adat* communities, national, provincial, and district governmental officials, private sector entities, and NGOs took place during the project preparation phase. A record of the PPG phase stakeholders' consultations is annexed to the Project Document. A Stakeholder Engagement Plan and Gender Action Plan have also been developed, both annexed to the Project Document. These plans will be further refined following the SESAs and ESIAs to ensure that stakeholders are engaged in project implementation and particularly in the further assessment of social and environmental impacts and the development of appropriate management measures. Specific stakeholder consultations will be held to ensure that the SESAs and ESIAs processes are inclusive and conducted in a useful way that results in widely accepted ESIA reports and ESMPs. Particular attention will be paid to inclusion of *Adat* communities, women and girls, and other marginalized groups. As part of the stakeholder engagement process, UNDP's SES requires that project stakeholders have access to relevant information. Specifically, the SES (SES, Policy Delivery Process, para. 21) stipulates that, among other disclosures specified by UNDP's policies and procedures, UNDP will ensure that the following information is made available:

- Stakeholder Engagement Plan and summary reports of stakeholder consultations
- Social and environmental screening reports with project documentation
- Draft social and environmental assessments, including any draft management plans
- Final social and environmental assessments and associated management plans
- Social and environmental monitoring & evaluation reports.

The Stakeholder Engagement Plan focuses particularly on those directly and indirectly adversely affected by project activities as well as Government agencies, NGOs, private sectors, individuals, groups, communities that have interest in the project. In accordance with best practice approaches, the implementing agencies will apply the following principles to their stakeholder engagement activities:

- ***Openness:*** Public consultations throughout Project preparation and implementation Project lifecycle will be carried out in an open manner, free of external manipulation, interference, coercion or intimidation. Venues will be easily reachable, and not require long commutes, entrance fees, or preliminary access authorization.
- ***Cultural Appropriateness:*** The format, timing and venue will respect local customs and norms.

- ***Conflict Sensitivity:*** Considering the complex context of Yemen and referring to the humanitarian principles of neutrality and impartiality.
- ***Informed Participation and Feedback*****:** Information will be provided and widely distributed to all Primary stakeholders from the government offices at the central, provincial, and local levels as well as rights holders at the community levels have been identified for the analysis of their meaningful participation in the project design, implementation and monitoring and evaluation of the project.
- ***Inclusivity:*** Consultations will engage all segments of the local society, including disabled persons, the elderly, minorities, and other vulnerable individuals.
- ***Gender Sensitivity:*** Consultations will be organized to ensure that both women and men have equal access to them. As necessary, the implementing agencies will organize separate meetings and focus group discussions for women, girls and boys, engage facilitators of the same gender as the participants.

The Stakeholder Engagement Plan focuses on:

- Identifying direct and indirect adversely affected or may be affected, and who will need additional information to understand the limits of project impacts.
- Mapping the project impact zones and locating the affected communities within a specific geographic area can help define or refine the project's area of influence.
- Engaging and consulting the project's beneficiaries in the planning, implementation, monitoring and reporting process.
- Enhancing participatory approaches in all project cycles by each selected community.
- Ensuring confidentiality and social protection to the disadvantaged and marginalized groups using Grievance Mechanism (GM) that provides an opportunity for the affected people.
- Mainstreaming human rights, women empowerment, full participation, transparency, information disclosure, and environmental sustainability in all project's actions; and
- Building Information System that reflect all activities, and which are implemented in accordance with the project identification and proposal.

This ESMF (and the project SESP) will be disclosed Project Beneficiaries and other Stakeholders in accordance with UNDP SES policy. The subsequent project assessments and stand-alone management plan(s) will also be publicly disclosed once drafted and finalized and adopted only after the required time period for disclosure has elapsed. These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting assessments and any stand-alone management plans.

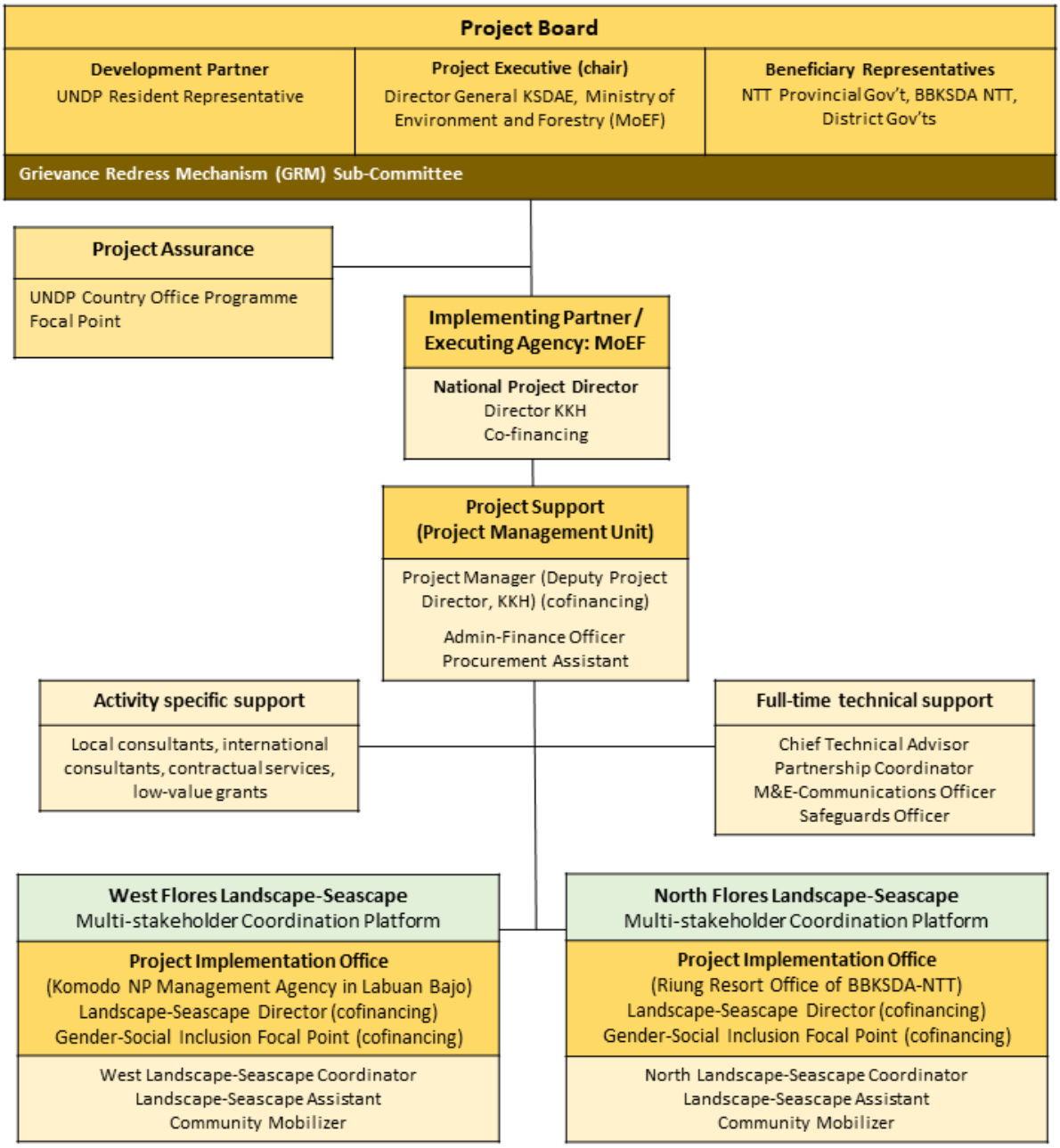
5. Institutional arrangements and capacity building

5.1 Roles and responsibilities for safeguards management

Implementing Partner and Project Board:

The project will be implemented under a National Implementation Modality (NIM), with the Ministry of Environment and Forestry as the Implementing Partner (Executing Agency) and UNDP as the GEF Agency.

As illustrated in the diagram below, the Project Board will be chaired by the Director General of the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE) of the MoEF.



Other members of the Project Board include the Resident Representative of UNDP Indonesia, as the role of Development Partner, representing the interests of parties concerned that provide funding, strategic guidance, and technical expertise to the project. The Beneficiary Representatives on the Project Board, representing the interests of those groups of stakeholders who will ultimately benefit from the project, include the NTT Provincial Government, the Natural Resources Conservation Agency of NTT Province (BBSKDA-NTT), and the district level governments of the three districts where the target landscapes-seascapes are delineated, namely, West Manggarai, East Manggarai, and Ngada.

The Implementing Partner will establish a Grievance Redress Mechanism Sub-Committee, which will convene on an as-needed basis and report to the Project Board.

The roles and responsibilities of the **Project Board** with respect to safeguards management include:

- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
- Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP

compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.

- Address project-level grievances and provide guidance to the GRM Sub-Committee on resolving grievances.
- Agree to the integration of the ESMP and associated management plans into the execution of the project.
- Review project performance against agreed work plans in accordance with the reporting schedule and required formats.

The roles and responsibilities of the **Implementing Partner** with respect to safeguards management include:

- Ensure that the required safeguards assessments (SESA, ESIA, etc.) and required ESMP and other management plans are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation.
- Approve and supervise the work of the Safeguards Officer to oversee the completion of safeguards assessments (SESA, ESIA, etc.) and implementation safeguards frameworks and management plans.
- Ensure requirements of UNDP's SES and national regulatory/policy frameworks and relevant national and international standards have been addressed.
- Hold responsibility and accountability to UNDP for overall management of the project, including compliance with UNDP SES.
- Decision-making for the adoption of necessary measures including full integration of safeguards management measures within the project outputs and annual work plans.
- Establish and support the GRM Sub-Committee to address and resolve grievances.

UNDP:

As the GEF Agency for the project, UNDP is accountable to the GEF for the implementation of the project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures. UNDP has a distinct project assurance role, performing quality assurance and supports the Project Board, Implementing Partner, and Project Management Unit by carrying out objective and independent project oversight and monitoring, including ensuring compliance with the risk management and social and environmental standards of UNDP.

The roles and responsibilities of **UNDP** with respect to safeguards management include:

- Facilitate public disclosure of safeguards management frameworks and plans in accordance with UNDP SES.
- Provide oversight and monitoring on matters related to safeguards;
- Inform all the stakeholders and right-holders involved in, or potentially impacted, positively or negatively, by the GEF-financed projects, about the UNDP's corporate Accountability Mechanism.
- Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the project.
- Provide technical advisory support on implementation safeguards frameworks and management plans, and monitor adherence of the project to UNDP SES.

Project Management Unit (PMU):

The PMU will be set up in the offices of the Directorate of Biodiversity Conservation (KKH), under the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE) at the MoEF. The Director of the KKH will be the National Project Director, funded through governmental co-financing contributions and providing overall guidance for the execution of the project. The Deputy Director of the KKH will be the Project Manager, also funded through co-financing contributions and responsible for the day-to-day execution of the project. The following full-time positions, financed with the GEF project grant, will support the PMU: Chief Technical Advisor, Partnership Coordinator, M&E-Communications Officer, Safeguards Officer, Administration-Finance Officer, and Procurement Assistant.

The roles and responsibilities of the **PMU** with respect to safeguards management include:

- Prepare terms of reference and support procurement of contracted service providers for conducting safeguards assessments and development of safeguards management plans.
- Supervise and manage the safeguards assessments, development of management plans, and implementation of management plans.
- Support the implementation and monitoring and evaluation of safeguards frameworks and management plans, including the ESMF, ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Screening, to ensure that UNDPs SES are fully met, and the reporting requirements are fulfilled.
- Report on project progress against agreed work plans in accordance with the reporting schedule and required formats.
- Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks register.
- Maintain relevant records associated with management of environmental and social risks, including updated SESPs, impact assessments, records of FPIC consultations, a log of grievances together with documentation of management measures implemented.
- Report to the Implementing Partner, UNDP, and the Project Board on the implementation of the safeguards frameworks and management plans.
- Ensure that all service providers are trained in the UNDP SES and informed of their responsibilities for the compliance with the SES.

Project Implementation Units:

Two project implementation units will be established, one in each of the target landscapes-seascapes. In the West Flores Landscape-Seascape, the Komodo NP Management Agency office in Labuan Bajo will host the project implementation unit there, and the Riung Resort Office of the BBKSDA-NTT will host the project implementation unit in the North Flores Landscape-Seascape.

Co-financing contributions will cover the positions of Landscape-Seascape Director and Gender-Social Inclusion Focal Point in the project implementation units. Project funds will support a Landscape-Seascape Coordinator, Landscape-Seascape Assistant, and Community Mobilizer in each of the units.

The roles and responsibilities of the **Project Implementation Units** with respect to safeguards management include:

- Coordinate the SESA and ESIA activities carried out in the project landscapes-seascapes.
- Facilitate and facilitate stakeholder consultations, including FPIC consultations.
- Convene multi-stakeholder coordination platform meetings for reviewing safeguard assessments and management plans.
- Assist with communication and public awareness regarding social and environmental risks and mitigation measures.
- Support monitoring & evaluation of the implementation of the safeguards management plans.
- Provide data and information to the Project Manager and Safeguards Officer for progress reports.

5.2 Capacity Building

A full-time Safeguards Officer with relevant expertise in social and environmental safeguards will be engaged to oversee the implementation and monitoring & evaluation of safeguards assessments and management during the project implementation phase. The Safeguards Officer will develop terms of reference and guide the SESA and ESIA processes, as well as development of the ESMP and other safeguards management plans.. The Safeguards Officer will be embedded with the PMU and will be supported by other members of the PMU, including the Project Manager, Chief Technical Advisor, and M&E-Communications Officer, as well as the project implementation teams in the two target landscapes-seascapes. Contracted service providers (e.g., local consultants, consultancies, institutions, NGOs, etc.) will provide further support, e.g., facilitating FPIC

consultations, conducting the SESA and ESIA, developing the ESMP and other management plans. Resources are also allocated for an international safeguards specialist to provide strategic advisory support to the project team.

Under UNDP's project assurance role on the project, the UNDP Country office, UNDP Asia-Pacific Regional Bureau, and the UNDP-GEF unit will provide independent project oversight and monitoring, ensuring compliance with risk management and social and environmental standards of UNDP.

During implementation of the ESMP, the capacity of institutions at different administrative levels (local, regional, and national) to manage and monitor ESMP implementation will be assessed. Where necessary, capacity building and technical assistance will be delivered to enable proper implementation of the ESMP and monitoring of short term and long term impacts.

6 Accountability and Grievance Redress Mechanisms

6.1 UNDP's Accountability Mechanisms

UNDP's SES recognize that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an Accountability Mechanism with two key components:

1. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and
2. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

UNDP's Accountability Mechanism is available to all of UNDP's project stakeholders.

The Social and Environmental Compliance Unit (SECU) investigates concerns about non-compliance with UNDP's Social and Environmental Standards and Screening Procedure raised by project-affected stakeholders and recommends measures to address findings of non-compliance.

The Stakeholder Response Mechanism helps project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.

Further information, including how to submit a request to SECU or SRM, is found on the UNDP website at: http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/

6.2 Project-level Grievance Redress Mechanism (GRM)

The Implementing Partner will establish and implement, as described in the Project Document, a transparent, fair, and free-to-access project-level Grievance Redress Mechanism (GRM), approved by stakeholders, which will be put in place at the start of implementation. Interested stakeholders may raise a grievance at any time to the Project Management Office, the Executing Agency, Implementing Agency (UNDP), or the GEF.

The mandate of the GRM will be to:

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

The functions of the GRM will be to:

(i) Receive, Log and Track all Grievances received.
(ii) Provide regular status updates on Grievances to Claimants, Project Board (PB) members and other relevant Stakeholders, as applicable.

(iii) Engage the PB members, Government institutions and other relevant Stakeholders in Grievance resolution.
(iv) Process and propose solutions and ways forward related to specific Grievances *within a period not to exceed sixty (60) days* from receipt of the Grievance.
(v) Identify growing trends in Grievances and recommend possible measures to avoid the same.
(vi) Receive and service requests for, and suggest the use of, mediation or facilitation.
(vii) Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings, and outcomes).
(viii) Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process.
(ix) Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed.
(x) Ensure continuing education of PB members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM.
(xi) Monitor the follow up to Grievance resolutions, as appropriate.

Please refer to Annex 8: Stakeholder Engagement Plan for the GRM.

7. Budget for implementation Action Plan for ESMF implementation

The project budget detailed in the Project Document includes costs for safeguards management, including completion of assessments, development of the ESMP and other management plans, implementation of the management plans, and safeguards monitoring & evaluation. A breakdown of safeguards management budgeted costs is presented below.

Activity	Budget (USD)
Safeguards Management: Assessments	
Strategic Environmental and Social Assessment (SESA), includes support for FPIC consultations, travel and other expenses	20,000
Environmental and Social Impact Assessment (ESIA), includes support for FPIC consultations, travel and other expenses (supported by the Safeguards Officer, International Safeguards Specialist)	30,000
Other assessments	15,000
Full-time Safeguards Officer (approx. 29.5% of total cost for this position)	60,203
Advisory support from international safeguards specialist	30,000
Safeguards Management: Development of Management Plans	
Environmental and Social Management Plan (ESMP) (supported by the Safeguards Officer, International Safeguards Specialist)	5,000
Indigenous Peoples Plan (IPP)	5,000
Full-time Safeguards Officer (approx. 29.5% of total cost for this position)	60,203
Other management plans, as determined in ESMP	5,000
Safeguards Management: Implementation	
Full-time Safeguards Officer (approx. 29.5% of total cost for this position)	60,203
Local support, including FPIC, gender mainstreaming, etc.	25,000
Capacity building	10,000
Travel expenses	15,000

Safeguards Management: Monitoring and Evaluation	
Full-time Safeguards Officer (approx. 11.5% of total cost for this position)	22,576
Community Mobilizers	4,971
Local gender-safeguards consultants	18,000
Travel expenses	7,000
Workshop expenses (e.g., community meetings)	1,000
Total:	**394,155**

Apart from the budgeted costs presented above, there are other indirect project contributions to safeguards management, including funding from co-financing partners. For example, the roles and responsibilities outlined in the terms of reference for the Project Manager (governmental co-financing), Chief Technical Advisor, M&E-Communications Officer, Landscape-Seascape Coordinators, and Community Mobilizers include safeguards management items.

8. Monitoring and evaluation arrangements

Reporting on progress and issues in the implementation of the ESMP and associated safeguards management plans will be documented in the project quarterly reports and annual project implementation reports (PIRs). Until the ESMP and other management plans are under active implementation, the Implementing Partner will be responsible for preparing reports on the progress of the safeguards assessments, including the SESA and ESIA, for reporting to the Project Board. Key issues will be presented to the Project Board during each board meeting. Implementation of the ESMP and related plans will be the responsibility of the Project Management Unit and other partners as agreed upon and described in the ESMP. The ESMF monitoring and evaluation plan is presented in **Section 14** to this document.

M&E Oversight and Monitoring Responsibilities:

Project Management Unit (PMU): The Project Manager, supported by the full-time Chief Technical Advisor, Safeguards Officer, and M&E-Communications Officer, is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks through this ESMF and any stand-alone management plans. The Project Manager will ensure that all project staff and contracted service providers maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-NCE GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation to ensure the subsequent adoption of appropriate support and corrective measures.

The Project Manager, with support from the Chief Technical Advisor and other PMU technical support positions, will develop annual work plans based on the multi-year work plan, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the safeguards frameworks and management plans developed to support project implementation (e.g., IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, etc.) occur on a regular basis.

Project Board: The Project Board will take corrective action as necessary to ensure the project achieves the desired results. The Project Board will review performance of the project and appraise and approve the annual work plans. In the project's final year, the Project Board will conduct an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project Terminal Evaluation (TE) report and the management response.

Project Implementing Partner: The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by the Project Management Unit and contracted service providers (e.g., consultants, NGOs, consultancies,

institutes) and is aligned with national systems so that the data used and generated by the project support national systems.

UNDP Country Office: The UNDP Country Office will support the Project Management Unit as necessary, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will oversee key GEF M&E activities including the annual GEF PIR, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP's Programme and Operations Policies and Procedures (POPP). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, monitored, and reported using UNDP corporate systems; the regular updating of the ATLAS risk register; and the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP Results-Oriented Annual Reporting (ROAR). Any quality concerns flagged during these M&E activities (such as the annual GEF PIR quality assessment ratings) should be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

NCE (previously GEF) Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-NCE Regional Technical Advisor and the UNDP-NCE Directorate as needed

9. Indigenous Peoples Planning Framework

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

Executive Summary

This IPPF (The Indigenous Peoples Planning Framework) has been prepared for the project INFLORES (Investing in the Komodo dragon and other globally threatened species in Flores). The document was prepared as part of the INFLORES project's efforts to clarify principles, procedures and implementation arrangements for assessing possible impacts on *adat* communities' lives. The IPPF is also a guideline and procedure that must be followed up to ensure that *adat* communities who receive the impact of social benefits and economic benefits are in accordance with the applied culture. In addition, the IPPF was created as part of an effort to identify events or activities that may arise as a negative impact on *adat* communities as a result of the implementation of the INFLORES project. Thus, the IPPF also simultaneously identifies steps to explain or reduce and or provide compensation if there are losses, damages caused by this project. Furthermore, the IPPF also provides guidelines for the preparation, implementation and process of documentation related to FPIC.

The objective of this project is to strengthen conservation of Komodo dragon and other globally threatened species in Flores through integrated approaches across multiple use landscapes-seascapes. This project has three components; 1) Strengthened management and protection of multiple use landscapes/seascapes for Komodo dragon and other globally significant species in threatened terrestrial and marine habitats in Flores. 2) Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape. 3) Knowledge Management, Gender Mainstreaming, and Project Monitoring and Evaluation.

The INFLORES project will be implemented on the island of Flores, East Nusa Tenggara Province, Indonesia, and will be implemented in areas that are key habitats of Komodo dragons. These areas include Ngada District, West Manggarai District and East Manggarai District. In one of the project sites, an indigenous group known as the Baar live in two villages in the Ngada district. They have been utilizing local resources to support their wellbeing including the habitat of komodo and other globally threatened species of concern.

The preliminary FPIC consultation meeting with the Baar community was followed up by a meeting on March 15 2022 with the Indigenous Peoples' Alliance of the Archipelago (AMAN) which is an independent civil organization of which members are from Indigenous Peoples communities around the archipelago. The meeting was held with the Flores branch of the organization, located in Ende. It is expected that members of AMAN will participate in the stakeholder coordination platforms that will be established in each landscape. Further consultations were held in

An IPPF is therefore developed in accordance with UNDP SES Standard 6.

1. Purpose of the Framework

Adat communities number more than 476 million, living in some 90 countries, representing 6.2% of the world population. The majority of them live in Asia (70.5%), followed by Africa (16.3%), Latin America and the Caribbean (11.5%), North America (1.6%) and Europe and Central Asia (0.1%). *Adat* communities continue to be among the poorest of the poor with an estimated 18.2% living below the threshold of $1.90 a day.

Adat communities continue to face economic, social, political and cultural marginalization – compounded by discrimination and exclusion – resulting in extreme poverty and vulnerability for a disproportionate number of them. Many *adat* communities live in the world's most resource rich areas with long-standing pressures from mining, logging, conservation, agriculture, etc., threaten *adat* communities' lands, territories and resources and thus core facets of their identity.

Too often, *adat* communities' own forms of land and resource management have been undervalued and development projects have been undertaken near to and within their lands. That has often led to environmental degradations and, at times, has undermined their physical and cultural survival, violated their human rights, and excluded them from equitable benefits.

The UNDP Guidance Note on Social and Environmental Standards on Standard 6: Indigenous Peoples, states that an Indigenous Peoples Planning Framework (IPPF) is to be developed for projects that may affect rights, lands, territories and resources of *adat* communities. In general, the framework will help project proponent to design projects not only with the full, effective and meaningful participation of *adat* communities, but also in a manner which aligns with their distinct vision and development priorities in order to build sustainable partnerships with *adat* communities as companions in development and conservation efforts. This implies that projects shall never be planned without support from the *adat* communities concerned.

The purpose of an Indigenous Peoples Planning Framework (IPPF) is to set out the requirements of UNDP SES Standard 6, organizational arrangements, and design criteria to be applied to subprojects or project components that are not yet defined and will be prepared during project implementation.

A key purpose of and IPPF is to outline the procedures for screening, assessment and development of a specific IPP once the project components, subprojects and/or activities have been fully defined and/or assessment is possible.

It is critical to emphasize that any project activities that may adversely affect *adat* communities will not commence until the IPP is developed with the meaningful participation of the affected *adat* communities (and FPIC where required) and appropriate mitigation measures are in place.

The INFLORES project will be implemented on the island of Flores, East Nusa Tenggara Province, Indonesia, will specifically be implemented in areas that are key habitats of endangered animals, namely, Komodo dragons. In one of the project sites around Ngada district, an indigenous group known as the Baar have lived in two villages for generations. They have been utilizing local resources to support their wellbeing including in the areas that overlap with the habitat of komodo and other globally threatened species of concern.

Standard 6 states that for projects/activities with significant impacts (i.e. projects that "may affect the rights, lands, resources or territories of *adat* communities,") and thus also require the FPIC of affected *adat* communities (see above), an IPP needs to be prepared. Moreover, its further notes that where programming activities are designed solely to benefit *adat* communities, a separate action plan may not be required, provided that the programming documentation address the elements of the IPP (hence, the ProDoc may serve as the IPP).

2. Overview of *Adat* communities in Indonesia and Project Sites

Indonesia has a population of approximately 272 million people, and the government recognizes 1,331 ethnic groups. Recent laws and government decrees use the term *Masyarakat Adat* to refer to Indigenous Peoples. Indonesia is the home of an estimated 50 to 70 million *Adat* communities. *Adat* communities in Indonesia increasingly suffer from criminalization and violence, often related to investments in indigenous territories.

The third amendment to the Indonesian Constitution recognizes the rights of *Adat* communities in Article 18b-2. In the most recent legislation, there is an implicit recognition of some rights of the peoples known as

Masyarakat adat or *Masyarakat hukum adat*, which include Law No. 5/1960 on Basic Agrarian Regulation, Law No. 39/1999 on Human Rights and the Decree of MPR No X / 2001 on Agrarian Reform.

Law No. 27/2007 on the management of coastal and small islands and Law No. 32/2010 on the environment clearly use the term *Masyarakat Adat* and use the practical definition of the Indigenous Peoples' Alliance of the Archipelago (AMAN). The Constitutional Court confirmed the constitutional rights of *Adat* communities over their lands and territories in May 2013, including their collective rights over customary forests.

Although Indonesia is a signatory to the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), government officials argue that the concept of *Adat* communities is not applicable, since almost all Indonesians (with the exception of the Chinese) are Indigenous and have the right to the same rights. As a result, the government has rejected calls for the specific needs of groups that identify themselves as Indigenous.

2.1 The Baar, *Adat* community of Northern Ngada

The district of Ngada will become one of the priority areas for the implementation of IN-FLORES project in the northern landscape. The northern Flores landscape covers the area within and around the Riung Nature Reserve, Wolo Tado Nature Reserve and the 17 islands marine tourism park. The assessment of an indigenous group was conducted in the village of Sambinasi which is located in Riung district of Ngada district. The Riung district borders with Flores Sea to the north, with Wolomeze district to the south, with Nagekeo regency to the east, and with Riung Barat district to the west. The area of Riung District is 411.64 sq km with a population of 17,181 people or 3,717 families.

The Baar ethnic group lives in the area that is also the habitat of the Komodo dragon, called Tanjung Torong Padang. The Baar tribe consist of 16 clans that live in: Sambinasi, Sambinasi Barat, Sambinasi Tengah (in administrative preparation to become village), and two villages in East Manggarai District (Kas and Perepa). They have a clear customary structures, governance, and rules. The customary leaders have separate roles and functions, and have an institution to solve communal problems. Next to the Baar tribe, also live another group called Ria-Latung with similar customary rules yet without the hunting tradition. However, Komodo dragons are rarely seen within Ria-Latung area; occasionally they are seen only in two hamlets (Nanga Ular and Ria). Ria-Latung group is considered “younger” than the Baar tribe, so they respect Baar tribe authority and governance.

Tanjung Torong Padang has an area of about 880 ha, which according to Baar people is their customary area (*ulayat*) and is managed collectively. Despite being one of the Komodo’s strongholds on mainland Flores the cape area is not under protection status by the government.

Based on initial discussions with the Barr ethnic group during project preparation in November 2021, there are boundary issues that need to be resolved. They strongly disagree if Torong Padang is to be classified as a protected area. They also stated their disagreement with the decision to include one of the hamlets (Kampung Damu) within the Riung Reserve. According to the community, the people already have land certificates prior to the existence of Riung Reserve. Another concern about land tenure is the rumor of investors planning to manage an area called Watumitong, which is communal land (*ulayat*). Their concerns were based on a copy of letter they had from a cooperative based in Jakarta requesting a permit from the Ministry of Environment and Forestry to develop a business in Watumitong

The Baar people have a long-standing relationship with the Komodo dragon as shown by a local name they gave to the Komodo, *Mbau*. They also share space with the dragon although not on a daily basis. The particular aspect by which Baar people interact with Komodo is one activity which is part of Baar traditions. The Baar people hold annual customary hunting which is conducted in the specific time and place: the peak of dry season and only in Tanjung Torong Padang.

The interesting aspect of this traditional hunting is that the Baar never hunt for the Komodo dragon. The animal targeted by the Baar is deer. The traditional hunting is carried out to complement other traditional activities such as marriage when deer cuisine will be served as traditional menu. For such a purpose, the community performs deer hunting rituals usually for three days a year without targeting the number of animals hunted and is solely dependent on luck.

There are specific rules related to traditional hunting that must be followed: i) never to conceal nor to steal the hunted deer, ii) never disturb Mbau (Komodo dragons), iii) when meeting deer with stripes (believed to be the king of deer) hunting must be stopped. iv) no use of firearms, v) hunting animals other than deer is allowed.

The traditional hunting is carried out only once a year on the Torong Padang Peninsula for three days. Beyond this, no hunting activity is allowed on the peninsula, thus closing the possibility of hunting. Nevertheless, violations have occurred by Baar members or outsiders. For those who violate the rules, there is a fine that must be paid in the form of one container of rice (equivalent to 20 kg) and one goat to be used in a ceremony for all community members. The rule is still being applied up to the present day. Last time a fine was given was in 2017.

The customary rule of the Baar indigenous community recognizes *Pirong* as a form of protection for specified locations and prohibition to carry out certain activities in that specified locations. One of the *Pirong* is in the peninsula of Torang Padang, as such the area also known locally as a pirong region because there are certain rules that apply there, unlike the other areas. The pirong rules that apply in the Torong Padang Peninsula include i) Torong Padang is a traditional hunting location, ii) it is allowed to herd livestock in Torong Padang, iii) no hunting activity is allowed outside of customary hunting times, iv) not allowed to cut down trees and mangroves, v) no building settlements, and vi) no farming is allowed. Another example of *Pirong* is the protection for all water springs in Baar area and prohibition to cut down trees within 500 meters around the water springs. Baar culture value living in harmony with nature and not to disturb wildlife. All members of Baar tribe can monitor and arrest whoever violates *Pirong* including people not from Baar. Sanctions are given by the customary leaders, and go higher for repeated violations.

In the daily life of the Baar, conflicts between Komodo and the people that can be distinguished into two types. One, cases of Komodo preying on livestock, namely goats and cattle. Two, cases of Komodo caming into community settlements, agricultural land, and even accidently being killed. Livestock is considered as the family saving that is being used for children education; it is highly valuable for the community. Hence, cases of livestock being preyed upon would anger the people and nurture negative sentiments towards the Komodo. However, these events usually do not make people hunt down Komodo dragons and kill them. They don't see the value of hunting Komodo dragon, since the meat is not for consumption. After a conservation project in Sambinasi village in 2016 to 2019, the conflicts dropped drastically as shown in reduced cases and number of livestock being preyed upon, and no Komodo were killed[2]. In interviews with the people of Sambinasi Village, people in general have accepted the consequences of living with Komodo dragon; they do not have negative sentiment anymore and just let it happen. They are also aware that the main threat for the livestock are dogs.

Regarding livelihoods, the Baar people are mostly farmers and fishermen. The main commodity in agriculture is cashew, candlenut, coconut, and corn, which are cultivated naturally without any chemicals except for corn. The commodities are sold to middle-men and without any products processing. In the fisheries sector, the fishermen are still using traditional tools for fishing. However, there were destructive fishing practices in the 1980s from people of Palu'e (not Baar) and according to the Fisheries department, destructive fishing practices can still be found. The potential for fisheries are pelagic fish and coral-reel fish; currently people are still fishing for subsistence. The highest income comes from weaving, as much as IDR 1 million (USD 70) per month, which is a traditional women's occupation that that is taught from when they are young girls.

In addition to the Barar, the *Adat* communities, in Lengkosambi and Tadho villages in Ngada district were also consulted in late June 2022. Along with the Toring Adat community, there were representatives from other Adat communities that attended the consultations in Lengkosambi: Cila, Mboang, Maki, Deru, Sopi, and Watu. In Tadho village, the participants were from the Tadho adat community. Initial FPIC consultations were also conducted with the Flores office of the national Adat association "AMAN" (*Adat* Peoples' Alliance of the Archipelago (*Aliansi Masyarakat Adat Nusantara*).

2. Relevant Legal Framework and Regulations Regarding *Adat* communities

Despite there being no one universally accepted definition of *adat* communities, the UNDP SES definition of indigenous communities is in line with that of national regulatory frameworks of Indonesia. There are basic elements to the recognition which can be found in both such as self-identification, maintains distinct group identity, languages, traditional beliefs, customs, laws and institutions.

The policy framework relating to indigenous or customary communities in Indonesia is regulated in the constitution of the Republic of Indonesia and several laws and regulations. On the Article 18B paragraph (2) of the 1945 Constitution of the Republic of Indonesia, the indigenous community referred to as customary law

[2] Technical Report Wallacea Partnership Program "A Multidisciplinary Approach for Conservation of Coastal Forest Habitat and Komodo Dragons on Flores", Komodo Survival Program 2019.

community. The article recognizes them provided (i) As long as they are still alive; (ii) in accordance with societal development; and (iii) in accordance with the basic principles of the Unitary State of the Republic of Indonesia. Furthermore, the constitution later stated that cultural identity and rights of traditional communities are respected in line with development of civilization (article 28I (3)).

Among the earliest laws to acknowledge the rights of the indigenous community is the Agrarian Principles Law 1960 which stipulates the implementation of customary rights and similar rights of customary law community subjects to the following criteria: (i) As long as they are still exist; (ii) must be in accordance with national and state interests; (iii) based on national unity; and (iv) must not contradict the higher laws and regulations.

More progressive ruling is found in Law No. 39/1999 on Human Rights which despite does not mention the definition of *adat* communities, but regulates the protection of the cultural identity of indigenous and customary community, including the protection of customary land rights, in accordance with societal development.

Furthermore, the law on environmental protection (32/2009) and the law on small islands and coastal management (27/2007) both acknowledges the indigenous communities' strong connection with local geography and resources, and thereby adopts certain norms and values inherited from ancestors that are strongly related to their surroundings. Such stipulation is the closest to ideal definition of

Meanwhile, the forestry law specifies the criteria of *adat* communities such as (a) the subject is still in the form of a community of law (rechsgemeenschap); (b) there is an institution such as customary ruler; (c) There is a clear customary law area; (d) there is judiciary institutions such as customary court, which are still being adhered to; and (e) still engaged in activity such as collecting forest products from the surrounding forest areas for daily consumption. The constitution court of the Republic of Indonesia has ammended the forestry law on article regarding customary forest, which now excluded from state's forest.

There are several other laws which stipulate the identity, criteria and rights of indigenous group with more or less attribution mentioned in the preceding bylaws. Those are for example the law on water resources (7/2004), plantation estates (18/2007), national education system (30/2003), village (6/2014) and regional autonomy (23/2014).

There are local regulations that also address the indigenous communities such as district regulation of East Manggarai No. 1/2018 on recognition, protection and empowerment of indigenous communities. The regulation covers quite broad aspects of indigenous community, from definition, characteristics, rights and obligations to recognition, empowerment, dispute settlement and their partnership with local government and other stakeholders. Meanwhile, the district of Ngada in its midterm development planning 2021-2026 allocates a specific budget for the empowerment of indigenous communities.

Overall, the definition, recognition and fulfilment of indigenous communuity and their rights in Indonesia's legal framework varies widely among laws and regulations. This is perhaps coming as the results of the purposes of the laws and regulations themselves. However, when reflecting on the existing state of indigenous communities' fulfilment of rights the higher standard that the SES has provided will be adopted.

3. Potential Impacts

The IN-FLORES project aims to promote the conservation of Komodo dragon and other globally threatened species in Flores through strengthened and integrated management of multiple use landscapes and seascapes. It has three components namely, 1), Strengthened management and protection of multiple use landscapes/seascapes for Komodo dragon and other globally significant species in threatened terrestrial and marine habitats in Flores. 2), Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape. 3) Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation.

When screening for potential risks and impacts to *adat* communities, we consider:

(i) All results and activities outlined in the project Results and Resources Framework – whether originating within or outside of *adat* communities lands and territories – were screened and reviewed for potential direct and indirect impacts in the project's area of influence, and

(ii) Project activities be screened for potential social and environmental risks prior to the application of planned mitigation and management measures in order to form a clear picture of potential risks, in the event that mitigation measures are not implemented or fail.

Several potential risks were evaluated against project components and activities, typically those that will lead to:

(i) impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of *adat* communities (regardless of whether *adat* communities possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the *adat* communities are recognized as *adat* communities by the country in question).
(ii) the utilization and/or commercial development of natural resources on lands and territories claimed by *adat* communities.
(iii) adverse impacts on the development priorities of *adat* communities as defined by them.
(iv) risks to the physical and cultural survival of *adat* communities.
(v) impacts on the Cultural Heritage of *adat* communities, including through the commercialization or use of their traditional knowledge and practices.

Quoting from the project document, Component One will enhance species management for the island of Flores through protecting forests and other critical habitats to preserve the Komodo dragon and other threatened species within the broader multi-use landscapes, including protected areas and areas outside it through engagement of diverse stakeholders that are currently under different management regimes. Project will not only seek to strengthen management effectiveness within existing protected areas, it will concurrently also support conservation approach for lands outside formal PA system—by addressing the main issues of deforestation and land degradation throughout Flores. This component will in particular have activities that potentially affects the rights, resources and livelihood of the indigenous community. It can also bring the opportunity of a positive engagement and collaboration with indigenous community in conservation endeavors. A careful approach of meaningful consultation as well as free and prior informed consent is therefore required at the onset of the project to ensure positive benefits are optimized and the adverse impacts can be minimized.

Component Two of the project will address the numerous barriers to expand private sector engagement in conservation, in particular to identify appropriate entry points to engage the private sector to recognize the business benefits of good environmental stewardship and identification a suite of potential financial instruments to support small-scale economic activity. In addition, this component will support the promotion of community biodiversity-friendly livelihood and business enterprises to avoid biodiversity loss and lead to natural resources use sustainability. Despite its anticipated positive benefits for local economy, the typical challenges on rural development programs need to be carefully mitigated so that they will not fail, especially for the indigenous group.

Regarding the third component, the project will gather knowledge on the *adat* communities' territory, customs, resources use as well as world view in relation to the modern day life. The project will not miss the opportunity to produce meaningful knowledge about issues as traditional approaches to resource use versus modern conservation approaches. As such, the project will be able to contribute to lessons learned for both the conservation and *adat* community's discourse and advocates.

Details of the assessed impacts that the project might have on Baar indigenous people, their rights, resources as well as customs are outlined in the tables below as potential positive and adverse impacts.

Table 1. Potential Positive Impacts

IN-FLORES Intervention	Potential Positive Impacts
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	• *Adat* communities will have a proportional role and share to be involved in the preparation of integrated forest and marine management planning. • *Adat* communities have the opportunity to take part in the discussion regarding planning documents that also related to their customary areas, be it grazing areas, agricultural and plantation management areas, capture water areas that are their source of livelihood. • *Adat* communities who have land and/or boundary conflicts against areas declared for conservation purpose have the opportunity and space to convey their aspirations to EA.

	• *Adat* communities have the right to provide input on the development of business initiatives, including tourism businesses that utilize the ecosystem to be conserved under IN-FLORES.
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	• *Adat* communities will have the opportunity to participate in the development of tourism potential that is integrated with SRAK Komodo. • *Adat* communities will be one of the beneficiaries of the targeted development of livelihood improvement and economic innovation models • *Adat* communities will be the beneficiaries of investment planning and development activities, as well as participate in providing advice on forms of investment that are in accordance with the conditions of the local *adat* communities.
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	• *Adat* communities become the key actors in knowledge development activities • *Adat* communities' way of life that seek to harmonise between social, economic and ecological values, could potentially be promoted to influence modern society's production and consumption pattern.

Table 2. Potential Adverse Impacts

IN-FLORES Intervention	Potential Adverse Impact
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	• The indigenous communities choose not to take part in project consultation and preparation, or and further in project activities, especially those related to area management, conflict resolution and livelihood promotion. • The community is not appropriately involved in project dissemination and discussion of activity plans • Project implementers failed to identify the most vulnerable groups in the community so the project was mistargeted • The limited space for community movement in utilizing natural resources around the village where the Komodo dragons and their prey are located • Conflicts between managers of conservation areas and other habitats with communities otherwise participatory and inclusive processes do not occur from the start • *Adat* communities are increasingly marginalized and marginalized in their own ulayat areas due to development processes that fail to properly involve them
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	• The community does not want to be involved in its business development activities • Project implementers do not apply participatory methods (instead top-down) thus failing to identify vulnerable groups most in need of support • Project implementers failed to identify the underlying problems that caused the economic marginalization of *adat* communities • Economic opportunities are exploited by external parties, or those who do not need them most

	• Communities do not benefit from investment and entrepreneurial opportunities, and only become spectators of the IN-FLORES investment mobilization • *Adat* communities are becoming increasingly marginalized because project activities do not (effectively) reach them
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	• *Adat* communities refuse to be a source of knowledge in the development of related knowledge products. • The methodology for the involvement and study of *adat* communities is not appropriate so that it does not result in optimum engagement, or does not produce information that is relevant to the objectives. • Our knowledge of *adat* communities and their role for conservation has not increased and/or developed significantly due to the project's failure to develop appropriate approaches to them • There is no significant contribution that the project can make to the policy of protecting and fulfilling the rights of *adat* communities or their active involvement in conservation activities.

Consultations with AMAN March 15 2022

The Alliance of Indigenous Peoples of the Archipelago (AMAN) is an independent community organization with a vision to realize a just and prosperous life for all Indigenous Peoples in Indonesia. AMAN works locally, nationally and internationally to represent and advocate for Indigenous Peoples issues. With about 17 million members from more than 2,300 indigenous communities throughout Indonesia, AMAN supports Indigenous people to have sovereignty over land and natural wealth, socio-cultural life governed by customary law, and customary institutions that maintain the sustainability of their lives as Indigenous communities.

As noted above the meeting with the Baar community was followed up by a one day workshop with the AMAN in Ende on March 15, 2022. Details of the assessed impacts that the project might have on the indigenous people in general, their rights, resources as well as customs are presented in the tables below as potential positive and adverse impacts of the project.

Table 3: Potential Positive Impacts

IN-FLORES Intervention	Potential Positive Impacts
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	1. *Adat* communities participate in the preparation of integrated forest and marine management planning. *2. Adat* communities plan the management of their customary areas, be it grazing areas, agricultural and plantation management areas, watershed areas that are their source of their livelihoods. 3. Adat communities' rights to manage the natural resources is fully recognized. 4. Co-management schemes for conservation and sustainable use are developed where appropriate between adat communities and government agencies. 5. With the participation of *adat* there are improved conservation outcomes such as improved quality of terrestrial and marine habitats and improved management of high biodiversity areas. 6. Strengthened adat institutions and increased political advocacy capacities before the State, both at regional and national levels.

Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. *Adat* communities participate in the development of tourism strategy that is integrated with SRAK Komodo. 2. *Adat* communities' incomes increase due to targeted development of livelihood improvement and economic innovation models. 3. *Adat* communities establish their own biofriendly businesses that are suitable with the conditions of the *adat* communities. 4. The number of female led businesses increase.
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities become the key actors in knowledge development activities 2. *Adat* communities' way of life that seek to harmonise between social, economic and ecological values, could potentially be promoted to influence modern society's production and consumption pattern.

Table 4: Potential Adverse Impacts

IN-FLORES Intervention	Potential Adverse Impacts
Strengthened management and protection of multiple use landscapes/seascapes for Komodo Dragon and other globally significant species in threatened terrestrial and marine habitats in Flores	1. The *adat* communities choose not to take part in project consultation and preparation, or in project activities due to unresolved issues or conflicts related to area conservation management and livelihood strategies. 2. The *adat* community is not appropriately involved in project dissemination and discussion of activity plans. 3. Project implementers fail to identify the most vulnerable groups in the community so the project was mistargeted 4. Community access to natural resources is limited through zoning or other regulations around the village where the Komodo dragons and their prey are located and thus having a negative impact on community livelihoods. 5. Conflicts between managers of conservation areas and other habitats with communities due to lack of participatory and inclusive processes for conservation and resource use. *5. Adat* communities are increasingly marginalized and marginalized in their own customary areas due to development processes that fail to properly involve them
Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape/seascape	1. The community does not want to be involved in its business development activities 2. Project implementers do not apply participatory methods (instead top-down) thus failing to identify vulnerable groups most in need of support 3. Project implementers failed to identify the underlying problems that cause the economic marginalization of *adat* communities 4. Economic opportunities are exploited by external parties, or by those who do not need them the most

IN-FLORES Intervention	Potential Adverse Impacts
	5. Adat communities do not benefit from investment and entrepreneurial opportunities, and only become spectators of the INFLORES investment mobilization *6. Adat* communities are increasingly marginalized because project activities do not (effectively) reach them
Knowledge Management, Gender Mainstreaming, and Project Monitoring & Evaluation	1. *Adat* communities refuse to be a source of knowledge in the development of related knowledge products. 2. The methodology for the involvement and study of *adat* communities is not appropriate so that it does not result in optimum engagement, or does not produce information that is relevant to the objectives. 3. Our knowledge of *adat* communities and their role for conservation has not increased and/or developed significantly due to the project's failure to develop appropriate approaches to them. 4. There is no significant contribution that the project can make to policy level issues regarding adat communities or their active involvement in conservation activities.

Initial FPIC Consultation with Lengkosambi village, Riung Subdistrict, Ngada District, 28 June 2022

The format and content of the meeting were similar to the previous consultations. There was however, one small change. At the outset of the consultation, the facilitator requested that the attendance list to be filled in, including identifying the *Adat* or customary community that they are from. They did not want to list, however, their Adat community. In the ensuing discussion, the participants explained that ethnicity/tribes is a sensitive matter and there are many tribes living in the area that they follow a local philosophy of *tana sa watu leleng,* meaning, we are different but we have already become one. They refused to name their Adat community because of previous conflicts over land ownership and do not want it to happen again.

The facilitator then explained why it was necessary to include ethnicity/tribe because this project respects the community's identity and wants to ensure they are informed, but if the community did not agree, that was acceptable. Based on the informal discussions, however, the following Adat communities attended the meeting: Cila, Mboang, Maki, Toring, Deru, Sopi, and Watu.

One of the community members, speaking on behalf of the community, explained that this project is very good and will have a positive impact on the community's economy. So, with some notes, it was accepted. Approaches need to involve the community so as not to cause local conflicts with certain parties and not cause misery for the community.

Initial FPIC Consultation in Tadho village, Riung Subdistrict, Ngada District 30 June 2022

The format and content of the meeting were similar to the previous consultations.

The Head of Tadho community explained that this project is good and will have a positive impact on the economy of Tadho Community. He reminded everyone the importance of involving communities to avoid conflicts and ensure that that project has a positive impact.

A summary of the risks that could lead to negative impacts during Project implementation is presented in Table 4 below. These were identified during the risk assessment as part of the SESP execution (further details can be found in PRODOC Annex 4 SESP). The SESP identified 16 risks for this project that could have potential negative impacts in the absence of safeguards. Nine risks have been assessed as Moderate while six were rated Substantial and one High; hence overall SESP risk categorization rating for the project is "High". The high risks relate to Principle 1 Human Rights and Standard 6 Indigenous Peoples. A summary of the risk significance under each SES principles and standards, and the project-level safeguard standards triggered by each project is shown in Table 4 below.

Table 4: Risk Significance

Principle / Standard	Risk Rating	SES Requirement
Overarching Principle: Leave No One Behind		
Human Rights	√ **High**	**SESA, ESIA, SEP,**
Gender Equality and Women's Empowerment	√ **Moderate**	**GAP, ESIA**
Sustainability and Resilience		
Accountability	√ **Moderate**	**SESA, ESIA, SEP,**
Project-level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	√ **Substantial**	**Exclusion List SESA, ESIA, SESP**
Standard 2: Climate Change and Disaster Risks	√ **Moderate**	**Exclusion List SESP, ESIA, SESA**
Standard 3: Community Health, Safety and Security	√ **Substantial**	**Exclusion List SESA, ESIA, SESP**
Standard 4: Cultural Heritage	√ **Moderate**	**Exclusion list, SESP, ESIA**
Standard 5: Displacement and Resettlement	√ **Substantial**	**Exclusion List SESP, ESIA**
Standard 6: Indigenous Peoples	√ **High**	**Exclusion List SESP, ESIA, SESA**
Standard 7: Labour and Working Conditions	√ **Moderate**	**SESA, ESIA**
Standard 8: Pollution Prevention and Resource Efficiency	√ **Moderate**	**SESA, ESIA, SESP**
Number of risks in each risk rating category		
High	1	
Substantial	5	
Moderate	9	
Low		
Total number of project risks	16	
Overall Project Risk Categorization	**High**	
Number of safeguard standards triggered	**11**	

5. IPPF Procedures

The formulation of this IPPF is conducted through the following procedures referring to the Guidance Notes on SES Standard 6.

This project has been classified as high risk and is characterized by the actual existence of at least one indigenous group in its area of intervention. This means that, from the outset, measures must be taken to ensure that their rights and the standards on indigenous peoples included in the SES are met.

The early draft of the Project Identification Form has indicated that there is indigenous community living in the projected area of intervention. Further investigation through reports from other projects confirms the finding. During field mission to develop the PIF/PIMS a special interview was conducted with the representatives from *adat* communities regarding Komodo dragon and general conservation issues. They highlighted the importance of engaging IP leaders, religious leaders and government leaders.

5.1 Screening for Indigenous People

The screening was conducted in the following manner according to the Guidance Note of SES S.6. Based on the SESP, two risks are classified as high in relation to Indigenous Peoples:

Risk 1 Principal 2: Human Rights, Standard 6: Indigenous Peoples: The project may exacerbate the tensions between the customary communities and local authorities regarding unresolved land tenure issues.

There are unresolved tenure and access and control over natural resources issues that are resulting in government conservation priorities conflicting with the livelihood priorities of the local communities in both the northern and western landscapes. This might create some level of economic displacement (particularly for marginalized people and ethnic groups) if the activities are not well planned and the land tenure issues are not resolved.

Risk 3 Principal 2: Human Rights, Standard 6: Indigenous Peoples: Standard 3: Community Health, Safety and Security. Customary communities access rights to resources could be restricted which may lead to economic displacement and marginalization.

Labuan Bajo is now one of Indonesia's premium tourist destinations. Creating biodiversity corridors and zoning might affect the land/marine tenure arrangements causing hardships to the people living in the area. There is already experience with fisher communities around Komodo National Park being excluded from fishing around the National Park and priority being given to tourist activities.

a. Areas where indigenous peoples are present (including project area of influence)

The district of Ngada will become one of the priority areas for the implementation of IN-FLORES project in the northern landscape. The assessment of indigenous group was conducted in the village of Sambinasi which is located in Riung district of Ngada regency. From the initial assessment it is clear that a group of *adat* communities lives in the project site.

The Baar Adat community lives in the area that is also habitat of Komodo called Tanjung (cape) Torong Padang. The Baar consist of 16 clans that lives in these villages: Sambinasi, Sambinasi Barat, Sambinasi Tengah (in administrative preparation to become village), and two villages in East Manggarai District (Kas and Perepa). The Baar claims the area that is also the habitat of Komodo their customary territory. This refers to a peninsula in the northern part of their village called Tanjung (peninsula) Torong Padang. Tanjung Torong Padang has an area of about 880 ha, which according to Baar people is managed under specific traditional rules. In addition, as noted above there are other Adat communities in Lengkosambi and Tadho villages.

Some questions to be further probed during IPP process includes:

- Are there peoples in the project area of influence that identify themselves as indigenous?
- Is the group and/or their rights recognized in the constitution, legislation, laws?
- What is the general situation of the group compared to the mainstream dominant society?
- Do the people have distinct customs and norms (e.g. practices, language, internal laws)?
- Do they have their own traditional governance systems?
- Does the group appear to have a distinct relationship to the lands and resources they inhabit (e.g. related to their traditional livelihoods or spiritual beliefs)?
- How long have they been using or occupying those lands, and are they using or occupying it for reasons of resettlement and/or displacement?
- Do group(s) that have lost access to lands, territories or resources because of forced severance, conflict, government resettlement, dispossession, natural disasters, or incorporation of lands into urban areas still maintain collective attachment to those lands, territories and/or resources, regardless of their present physical location?
- Were they present on their lands prior to colonization?
- Is the group distinctly reflected in a census or other sociological data?
- Are there indications that the peoples concerned are unaware of the rights that attach to the designation as *adat* communities or that they may fear the implications of calling themselves *adat* communities?

b. Activities located on lands and territories claimed by *adat* communities

The aspect through which the project potentially impacts the lands and territories claimed by the Baar people is one particular activity called customary hunting which is conducted in the specific time and place: three days in

the peak of dry season at the Torong Padang peninsula. The Torong Padang peninsula is one of the Komodo's stronghold in mainland Flores especially in the northern coast of Flores island.

The Baar people never hunt for Komodo dragons, instead they hunt for deer. The activity is carried out to complement other customary activity such as marriage when deer cuisine will be served. The traditional hunting entails specific rules that must be followed, and any offense will have to be sanctioned under customary rule. Beyond traditional hunting period of three days in each year, no hunting activity is allowed on the peninsula. The Baar community imposes a *Pirong* as a form of prohibition to carry out certain activities in the peninsula to maintain its sacred value.

5.2 Assessment and development of the IPP

The initial screening indicates that the indigenous communities are present in targeted project area and that project activities might affect these *Adat* communities. As outlined in Chapter IV Potential Impacts, various project components and activities might affect the territories, lands, and resources claimed by Baar community. This will affect the activities that the indigenous community normally do in the concerned area, including those that are essential to their identity and wellbeing.

As such mechanisms and processes for full, effective participation of *Adat* communities with appropriate mitigation and management measures for the planned activities/subprojects need to be planned. The PPG team has conducted initial consultations that will provide basic information to plan the steps towards full and meaningful participation of *adat* communities, namely free and prior informed consent, Indigenous People Plan (IPP), monitoring and budgeting. The IPPF implementation will follow the Project Implementation arrangement by the executing agency and implementing agency.

The PPG team conducted screening of project components, and upon hearing what the indigenous communities have to say about them, we highlighted several risks that need to be addressed during project implementation. Furthermore, once the project subcomponents are defined, the project executing agency will need to ensure that, as necessary, Social Assessments are undertaken by experts for specific project components. This will likely involve hiring external experts who can conduct a mixture of literature review and field work to assess the groups in the area and lead consultations, among others, as described in this IPPF. Consultations will have to be a continuous process with relevant government agencies, NGOs and IP groups. ESIAs and ESMPs will need to ensure that these groups are invited to relevant meetings and workshops. Based on the Social Assessment and consultations, PMU will need to draft as IPP for specific subcomponents and ensure there is consultation on these plans as well and that they are properly disclosed and made available to IP groups as per the guidelines in this IPPF.

In consultation with relevant agencies and groups, the PMU will need to define the most appropriate monitoring mechanism for IP plans. While the PMU may be tasked with monitoring, it may also be appropriate for IP groups themselves to be involved in monitoring, or NGOs or external experts. As with other matters relating to IPPs, this will need to be defined based on consultations with relevant groups.

Once the Project starts its implementation and a FPIC process is initiated, new information will be gathered to update the SESP findings, to potentially identify and assess new risks, and to establish adequate management measures, which will be considered to develop the Indigenous Peoples Plan (IPP). The FPIC process' primary goal at the beginning of the Project will be to confirm *adat* communities' participation in the implementation of the pilot projects in the sites where these communities could be affected. If the indigenous communities decide not to confirm their participation in the Project, an eligibility process will be carried out to establish alternative pilot interventions -ideally with other *adat* communities' participation-, that comply with the particularities of the pilot intervention and UNDP SES. The initiation of the FPIC process and its findings will also serve to update this Indigenous Peoples Planning Framework to convert it into a comprehensive IPP. The IPP will be carried out in a participatory manner, it will be developed based on a complete analysis about potential social and environmental impacts to the indigenous communities, and will include appropriate management measures to address them.

6. Participation, Consultations and FPIC Processes

6.1 Consultation and Participation

Ensuring full, effective and meaningful participation it is essential to work with indigenous peoples who might be impacted by a project. Standard 6 contains specific requirements regarding participation of, and agreement with *adat* communities throughout the project cycle (see S6, para. 10). Since the project may affect – positively or negatively – *adat* communities' rights and interests, lands, territories, resources, livelihoods, cultural heritage), a FPIC must be sought.

The PPG IN-FLORES team has conducted a series of stakeholder consultations at the district and village levels. The community level consultations were conducted mostly in the villages nearby the Komodo dragon's habitat. It was designed to collect valid information relating to biodiversity, natural resources use by indigenous groups, participation in development processes, as well as current and past projects regarding environmental management and or protection of Komodo dragon and its habitats. The consultation also shared the information regarding IN-FLORES project and its activities, then seek the community response regarding the planned project.

The preliminary FPIC consultation process with potentially affected *Adat* communities was carried out in the end of October-November 2021 with the Baar Adat community in Sambinasi and West Sambinasi villages in Ngada district in the north Flores landscape-seascape – one of the potential areas identified to establish Other Effective Area-based Conservation Measures (OECMs) under the project. The *adat* communities, in Lengkosambi and Tadho villages in Ngada district were also consulted in late June 2022. Along with the Toring adat community, there were representatives from other adat communities that attended the consultations in Lengkosambi: Cila, Mboang, Maki, Deru, Sopi, and Watu. In Tadho village, the participants were from the Tadho adat community.

The participation of indigenous community members in the consultation was under voluntary basis or without coercion. Moreover, the team to the best possible upheld the principle of culturally appropriate consultation. The consultation was conducted collectively by the *adat* communities, not in a one on one interview. The team followed the communities' preference regarding location, time and the chosen representatives, and followed the leadership that applies locally. The team used the same procedures in all community consultations: introduction of the team and of the participants, purpose of the consultation, ask permission for recording and documenting the process, discussion, summary result being presented, and video the key points. Involving the women was a challenge since the Baar tribe still holds traditional gender role. The team attempted to involve women to participate in the communal consultation, yet only few women got involved and most were engaged in preparing meals. The team continued with interviews with women in smaller group. Nevertheless, it was suggested that representation shall be made equal to different groups in the community, such as the women, youth and elderly people, so that it met the internationally accepted standards of inclusiveness.

The flow of the consultations are believed to done in good faith although, at this stage of project preparation, it was not possible to obtain consent regarding implementation arrangements at the time of the consultations. Nevertheless, the meetings were productive and fruitful and the objectives of IN-FLORES project have generally been understood by the attendees. In the case of the Baar, community representatives requested further information regarding the situation in the project site including showing on the map the areas that they believed to be their communal rights (*ulayat*) and customary protected areas (pirong). The community also expressed their opinions about the regulation and the plan on strengthening the management of komodo habitat in their area, with particular notion that it must respect their traditional territory and rights and must be managed by the community.

Regarding opportunities that might arise from project activities, the participants in all of the consultations highlighted potential entrepreneurship programs to help develop their economy. The communities are especially interested in matters relevant and needed by *Adat* communities, such as livelihood improvement (Outcome 2) and boundary issues. Last but not least the mechanism for addressing complaints regarding project implementation was also discussed and will be followed up during FPIC process.

In addition to the consultations with the adat communities in Sambinasi, Lengkosambi and Tadho, a one day workshop was held with AMAN in Ende, Flores on March 15 2022. The meeting was attended by staff of AMAN and representatives from Adat communities. After an explanation of the project, the discussion addressed how social and environmental risks will be managed according to UNDP and national standards and practices. The participants reviewed the safeguard assessment and management measures that have been conducted during project preparation and planned to be implemented during project implementation. As AMAN represents indigenous communities in Flores their support for the project is important. It is expected that representatives from AMAN will participate in the stakeholder forums to be established in each landscape.

6.2 FPIC Process

FPIC is a principle protected by international human rights standards that state, 'all peoples have the right to self-determination' and – linked to the right to self-determination – 'all peoples have the right to freely pursue their economic, social and cultural development'. Backing FPIC are the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), the Convention on Biological Diversity and the International Labour Organization Convention 169, which are the most powerful and comprehensive international instruments that recognize the plights of *Adat* communities and defend their rights.

Per UNDP SES standard 6, the circumstances of the project require FPIC under the first cirteria, namely potential loss, restrictions or modification of rights to and use of lands, territories, resources, and livelihoods. In such case, FPIC needs to be ensured on any matters that may affect the rights to, interests on, and use of lands, resources, territories, etc. (whether titled or untitled to the people in question) as well as livelihoods of affected *adat* communities.

Provided that project component one will result in strengthened management across the habitat of komodo and other globally threatened species, the activities under which potentially affect the indigenous community of Baar. There is evidence suggesting that top-down and strict conservation approach was used while ignoring collaboratation with local interests. Meaningful consultation prior to project implementation is therefore required to ensure the Baar community members fully understand the project activities and their implications on their lands, resources and customs.

In planning the implementation of the IN-FLORES project, FPIC is carried out with the following stages:

1) Identify the *Adat* communities concerned and their representative
2) Document Geographic and Demographic Information through participatory
3) Design Participatory Communication Plan and Carry Out Iterative Discussions Through Which Project Information Will be Disclosed in A Transparent Way
4) Reach Consent, Document *Adat* communities' Needs That Are to be Included into the Project and Agree on A Feedback and Complaints Mechanism
5) Conduct Participatory Monitoring and Evaluation of the Agreement
6) Documenting Lesson Learned

Further on how to implement steps to seek the free, prior and informed consent of the indigenous communities are discussed in annex 2 of this framework.

6.2 Appropriate Benefits

Despite possessing potential risks on indigenous community's territory, rights and identity, when governed in such a participatory and empowering manner, project outcomes and activities could result in potential benefits to the indigenous community.

Outcome 1 seeks to strengthen management across Komodo habitat, especially those outside formal protected area network and in the territories of *adat* communities and local communities. Through a series of meaningful consultation from the beginning and throughout project implementation, supported by free and prior informed consent, the indigenous community's perspective on resource planning and use will be integrated into management plan. For the project to achieve its objectives, particularly in the northern landscape of Flores, land tenure issues will have to be resolved. Once their rights over resources are respected and fulfilled it will allow them to participate in the activities thus will strengthen their identity as the custodian of the territory.

In Outcome 2, the strategy is to link biodiversity conservation with sustainable business development. Piloting alternative livelihood also requires addressing the whole value chains instead of just delivering capacity building or assisting with business capital and permits. Among the key capacity required in contemporary livelihood promotion is entrepreneurship which entails thoughtful business planning, product execution and strategic market penetration. There is however no shortcut can be taken to acquire entrepreneurship skill instead through series of trials and (possibly) errors. A skill that is mostly lacking among rural farmers yet most needed is to help them get out of poverty galvanizing the village economy. The benefits can be summarized as follows:

- Resolution of tenure issues
- Incorporation of *adat* communities' rights in the SAP and initiatives for their social, cultural and economic development.

- Strengthening of indigenous social organization systems and increase of their political advocacy capacities before the State, both at regional and national levels.
- Empowerment of women and their organizations and increase their participation in territorial and regional organizations.
- Increase in the income of indigenous women.
- Increased income of the families participating in the pilot projects and of the communities in general. For example, ecotourism (nature guides, homestays), agriculture, food and beverages.

6.4 Grievance Redress

The SES requires UNDP to ensure that stakeholders who may be adversely affected can communicate their concerns about a project's social and environmental performance through various entry points, scaled to the nature of the activity and its potential impacts. This includes ensuring that an effective project-level grievance mechanism is available for projects that may present potentially significant adverse impacts (e.g. complex Moderate Risk, Substantial Risk, High Risk projects).

UNDP's SES Guidance Note on Stakeholder Engagement and Supplemental Guidance on Grievance Redress Mechanisms in the SES Toolkit provide additional background information on GRMs (https://www.undp.org/social-and-environmental-compliance-review-and-stakeholder-response-mechanism). In addition, UNDP's Accountability Mechanism – the Stakeholder Response Mechanism and the Social and Environmental Compliance Unit – is available to all of UNDP's project stakeholders. Information on how to access UNDP's Accountability Mechanism needs to be shared during the stakeholder engagement process.

Project-level grievance mechanisms need to take into account *adat* communities' customary laws and dispute resolution processes. Traditional dispute mechanisms of affected *adat* communities should be utilized to the largest extent possible. While UNDP aims to use an integrated grievance redress mechanism for all people potentially affected by its interventions, there might be situations where this would result in an unequal access of *adat* communities due to conflicts, power imbalance and cultural and language barriers. In these cases, the project team will need to consider establishing a stand-alone grievance process for *adat* communities.

The SEP/IPP/IPPF will document the proposed structure of the GRM and the results of consultations on this subject with the *adat* communities including their preferences and concerns so that the appropriateness of the chosen approach can be reviewed during monitoring and evaluation.

A more detailed elaboration of the grievance mechanism is provided under Stakeholder Engagement Plan chapter eight.

7. Institutional Arrangements

Institutional arrangements for implementation will likely follow the Government's institutional structure since the project will be executed by the Directorate General Conservation of Ecosystem and Natural Resources (KSDAE) of the Ministry of Environment and Forestry (MOEF) as the executing agency (EA). The EA will establish Project Implementation Team that will include expertise on social safeguards.

Roles and responsibilities in the development of the Indigenous Peoples Plan are described as follows:

Executing Agency

- Plan, coordinate, manage, monitor, evaluate and report on the Project, including measures related to *adat* communities' involvement and consultations.
- Provide all the information and data necessary regarding *adat* communities related activities for presenting timely, complete and evidence-based Project reports.
- Draft terms of reference for services and consultancies that include culturally pertinent indications related to *adat* communities when appropriate, and participate actively in the selection of consultants and/or Project working personnel.
- Manage risks as described in Annex 4a SESP of the PRODOC, including those related to *adat* communities.
- Approve the multi-annual work plan, ensuring the inclusion of activities regarding *adat* communities' involvement when appropriate.

- Ensure that all the UNDP's SES requirements have been addressed as well as the normative frameworks/national policies and relevant international norms.
- Be responsible for rendering accounts to the UNDP for overall Project management, including fulfillment of the UNDP's SES.
- Establish and support the mechanism for the presentation and resolution of complaints.
- Provide strategic guidance for Project implementation, including supervising safeguards and implementation of the *Adat* communities Plan.

Project Steering Committee:

- Provide overall guidance and direction to the Project, including previsions regarding *adat* communities' involvement.
- Address all Project problems as indicated by the National Project Coordinator; o Provide guidance regarding potential new risks related to *adat* communities and agree regarding possible mitigation and management actions to address them;
- Advice regarding minor and major Project modifications, with a focus on potential unforeseen consequences on *adat* communities;
- Review Project progress, evaluate performance and approve the Annual Operational Plan and budget for the following year (Project Implementation Reports- PIRs), with special attention to implication on *adat* communities.
- Provide instructions and recommendations to ensure that the agreed-upon outcomes are achieved in a satisfactory manner in accordance with the plans and in compliance with all the previsions to safeguard *adat* communities' interests;
- Address any complaints on the Project level;

Implementing Agency (UNDP):

- Oversee all matters regarding safeguards, including those on *adat* communities; o Inform all involved interested parties and stakeholders, or parties who could potentially be positively or negatively affected, regarding the UNDP's Accountability Mechanism;
- Ensure that the Social and Environmental Compliance Review and Stakeholder Response Mechanism are operational throughout the Project's duration;
- Offer technical guidance regarding the implementation of risks management measures

Project Management Unit:

- Supervise and manage the implementation of the measures defined in this Plan; o Assign specific responsibilities for the implementation of this Plan, including monitoring;
- Record keeping regarding social and environmental risk management, including up-dated SESP, evidence of consultations and FPIC, complaints and documentation of management measures implemented;
- Inform the Implementing Partner, the Steering Committee and the UNDP regarding the implementation of this Plan;
- Ensure that all suppliers of services and consultants are informed of their responsibilities in the compliance of this Plan and the inclusion of *adat* communities' previsions

8. Monitoring and Reporting

Monitoring of IPP implementation is to be conducted in conjunction with project monitoring. Although the project implementation team might become the lead in monitoring activities, the participation and inputs from stakeholders especially in this regard the indigenous community shall be ensured.

The project implementation team shall also facilitate the delivery of reports that is made available to indigenous community in a culturally appropriate manner, that is among others presented in language they are mastering and in the form that could easily be understood.

Monitoring implementation activities includes the following:

i. progress of implementation of mitigation/management plans required by the SES
ii. review of complaints and grievances from project-affected stakeholders

iii. follow-up on any identified corrective actions, and
iv. completion and disclosure of any required monitoring reports on SES implementation (including on-going reporting to project-affected stakeholders).

9. Budget and Financing

Development of IPPF document is budgeted with the following anticipated expense(s). The budget is provided through the project preparation grant (PPG) made available by UNDP as the implementing agency.

10. List of National Regulatory Frameworks Related to *Adat* communities

No	Laws and regulations	Terms used	Definition and Criteria
1	Article 18B paragraph (2) UUD 1945	Customary law community unit (Kesatuan masyarakat hukum *adat*)	Customary law community units are recognized: (1) As long as they are alive; (2) According to community development; (3) According to principles of the Unitary State of the Republic of Indonesia.
2	Article 28I Paragraph (3) UUD 1945	Traditional Community (Masyarakat tradisional)	Cultural identity and rights of traditional communities respected in line with the times and civilization.
3	Law Number 5 of 1960 concerning Basic Agrarian Regulations	Customary law community unit (Masyarakat hukum *adat*)	Does not regulate community definitions and criteria customary law, but regulates the customary rights of customary law communities: "The implementation of ulayat rights and similar rights of customary law communities with the following criteria: (1) As long as in reality they still exist; (2) Must be in such a way that it is in accordance with national and state interests; (3) Based on unity nation; and (4) it must not conflict with other higher laws and regulations."
4	Law Number 39 of 1999 concerning Human Rights	Customary law community unit (Masyarakat hukum *adat*)	Does not mention the definition of *Adat* communities, but regulates the protection of the cultural identity of *adat* communities, including the protection of customary land rights, in line with the times.
5	Law Number 41 of 1999 concerning Forestry	Customary law community unit (Masyarakat hukum *adat*)	*Adat* communities meet the criteria (a) The community is still in the form of an association (rechsgemeenschap); (b) There is an institution in the form of an apparatus of customary rulers; (c) There is a clear customary law area; (d) There are legal institutions, particularly customary courts, which are still being adhered to; and (e) Still collecting forest products in the surrounding forest areas for fulfillment of daily needs.
6	Law Number 7 of 2004 concerning Water Resources	Customary law community unit (Masyarakat hukum *adat*)	Customary law community is a group of people who are bound by their customary law order as joint citizens of a customary law alliance based on the same place of residence or on the basis of descent.
7	Law Number 18 of 2007 concerning Plantations	Customary law community unit (Masyarakat hukum *adat*)	The customary law community meet the criteria (a) The community is still in the form of an association (Rechtsgememschaft); (b) There is an institution in the form of an apparatus of customary rulers; (c) There is a clear customary law area; (d) There are legal institutions and instruments, especially customary courts that are still being adhered to; and (e) There is confirmation with local regulations .

8	Law Number 27 of 2007 concerning Management of Coastal and Small Islands	Indeginous People, Traditional Community, local Community (Masyarakat *Adat*, masyarakat tradisional, masyarakat local)	This law divides society into three categories: (1) *Adat* communities are Community groups Coastal people who have lived in certain geographic area because of the bond on ancestral origins, the existence of a strong relationship with Coastal Resources and Small Islands, as well as the existence of a value system that determines institutions; (2) Local Communities are community groups that carry out daily life procedures based on habits that have been accepted as generally accepted values but do not completely depend on certain Coastal Resources and Small Islands. (3) Traditional communities are traditional fishing communities whose traditional rights are still recognized in carrying out fishing activities or other legal activities in certain areas located in archipelagic waters in accordance with the rules of international law of the sea.
9	Law Number 21 year 2001 regarding Papua Special Autonomy	*Adat* communities (Masyarakat *Adat*)	*Adat* communities are *adat* communities Papuans who live in the territory and are bound and subject to certain customs with a sense of high solidarity among its members; Customary Law Communities are indigenous Papuan people who since their birth have lived in certain areas and are bound and subject to certain customary laws with a high sense of solidarity among their members; Indigenous Papuans are people who come from the Melanesian racial group consisting of indigenous tribes in the Papua Province and/or people who are accepted and recognized as indigenous Papuans by the Papuan *Adat* communities.
10	Law Number. 30 hyear 2003 regarding System National Education	Culture secluded (Masyarakat *Adat* yang terpencil)	It does not state the definition, but it stipulates: Citizens in remote or underdeveloped areas and remote Culture secluded are entitled to special education services.
11	Law Number 23 of 2014 concerning Regional Government	Customary law community unit (Masyarakat Hukum *Adat*)	Tidak menyebutkan definisi namun mengatur terkait dengan pemberdayaan kelembagaan masayrakat hukum *adat*, Pengakuan keberadaan masyarakat hukum *adat* (MHA), kearifan lokal dan hak MHA yang terkait dengan PPLH
12	Law 32 of 2009 regarding Environment Protection and Management	Customary law community unit (Masyarakat Hukum *Adat*)	Customary law communities are groups society that is hereditary live in a certain geographic area because the existence of ties to ancestral origins, the existence of strong relationship with the environment, and the existence of a value system that determines economic, political, social and legal institutions.
13	Law Number 6 of 2014 concerning Villages	Customary law community unit (Masyarakat Hukum *Adat*)	No mention of definition. Regulate matters relating to the traditional rights of *adat* communities,

14	Ministerial regulation Agrarian Affairs/Head of BPN No. 5 of 1999 concerning Guidelines for the Settlement of Indigenous Law Community Rights Issues	Customary law community unit (Masyarakat Hukum *Adat*)	Customary law communities are a group of people who are bound by their customary law order as joint citizens of a legal alliance because of the similarity of residence or on the basis of descent.
15	Presidential Decree No. 111 of 1999 concerning Coaching Indigenous Community isolated	Indigenous Community Isolated (Komunitas *Adat* Terpencil)	Indegenous Community Isolated or what are known as isolated communities are socio-cultural groups that are local and scattered and are less or not visible in networks and services, both social, economic, and social. as well as politics. The characteristics of Indegenous Community Isolated include: (a) Form a small, closed community, and homogeneous; (b) Social institutions rely on kinship relationship; (c) In general geographically remote and relatively difficult to reach; (d) In general, they still live with a subsistence economic system; (e) The equipment and technology are simple; (f) Dependence on the environment and relatively high local natural resources; (g) Limited access to social, economic and political services.
16	The Draft of Law regarding Protection and Recognition of *Adat* communities (AMAN et al version, 9 March 2012)	*Adat* communities (Masyarakat *Adat*)	*Adat* communities are groups of people who have lived for generations in certain geographic areas in the State of Indonesia because of ties to ancestral origins, strong relationships with land, territories and natural resources in their customary territories, as well as the existence of a value system that determines economic institutions, different political, social and legal aspects, either partially or wholly from society in general.
17	The Draft Law on the Protection of Indigenous Law Community Units (version Regional Representative Council, 2009)	Customary law community unit (Kesatuan Masyarakat Hukum *Adat*)	Customary Law Community Units are groups of people who have lived for generations in certain geographical areas based on ancestral origins, have rights born of a strong relationship with natural resources and the environment, have customs, values, and distinctive cultural identities that determine economic, political, social, and legal institutions enforced by customary institutions. In addition, the criteria for customary law community units are regulated as follows: (a) Is a community group that comes from one ancestor and/or inhabits the same customary area; (b) Have certain customary areas, both cultivated and preserved for generations and are common property; (c) Has its own customary institution; (d) Has its own customs and customary law rules; (e) As long as it exists, it does not conflict with the spirit of national development.
18	Draft Law on Recognition and Rights Protection for Customary law community unit (Plenary Results of People's Representative Assembly, 11 April 2013)	Customary law community (Masyarakat hukum *adat*)	Customary Law Community is a group of people who have lived for generations in certain geographic areas in the State of Indonesia because of ties to ancestral origins, strong relations with land, territory, natural resources, have customary government institutions, and customary law order in their customary territory. . Indigenous Law Communities have the following characteristics:

			(a) A group of people from generation to generation; (b) Living in a certain geographical area; (c) There are ties to ancestral origins; (d) There is a strong relationship with land, territory, natural resources; (e) Have customary government institutions; and The existence of a customary law order in its customary territory.
19	Draft Government Regulation on Procedures for Inauguration of Indigenous Law Communities and Customary Forest Management (MoF version, 2009)	Customary law community (Masyarakat hukum *adat*)	Customary law communities are a group of people who are gathered in one community (rehtsgemeenschap), which have customary institutions, jurisdictions, institutions and customary law instruments that are still adhered to, and are located in State forest areas.
20	East Manggarai District Regulation Number 1 of 2018 concerning Recognition, Protection and Empowerment of Customary Law Communities	Customary Law Communities (Masyarakat hukum *adat*)	Mention the definition of customary law community. Regulate matters relating to the recognition, protection and empowerment of *adat* communities with the scope including; characteristics of customary law communities, rights and obligations of customary law communities, recognition of customary law communities, empowerment of customary law communities, dispute resolution, duties and authorities of local government, customary law community partnerships and funding
21	Ngada District Regulation Number 1 of 2021 concerning the Medium Term Regional Development Plan of the Ngada Regency of 2021 - 2026	Customary Law Communities (Masyarakat Hukum *Adat*)	Does not mention the definition of customary law community. Provide budget allocations for activities to empower *adat* communities.

11. Framework for Developing Free and Prior Informed Consent

A. Background

Adat communities and forest-dependent communities are essential to the success of projects related with forest and natural resources given that the majority of the world's remaining forests in developing countries are located where they live, often within their ancestral and customary lands, and where in most cases they have for centuries played a historical and cultural role in the sustainable management of these forests with relative success, especially in the case of *adat* communities. Inadequate mechanisms for effective participation of *adat* communities and forest-dependent communities in land use decisions could seriously compromise the delivery of both local and global benefits, as well as negatively affect internationally recognized human rights.

In this respect, while citing the Human Rights Committee, the UN Special Rapporteur on the Right to Food explains that "no people's land, including in particular *adat* communities, can have its use changed without prior consultation." He thus recommends that any changes in land use can only take place "with free, prior and informed consent" and emphasizes that this "is particularly important for indigenous communities, in view of the discrimination and marginalization they have been historically subjected to."

International law has now recognized that FPIC is a legal norm imposing clear affirmative duties and obligations on States.[3] FPIC has been described repeatedly as a "right" by among others, the United Nations Human Rights Committee, the UN Committee on Economic, Social, and Cultural Rights, the UN Committee on the Elimination of Racial Discrimination, the UN Expert Mechanism on the Rights of *Adat* communities and the UN Permanent Forum on *Adat* communities. Others feel it is more appropriate to describe FPIC as a "principle." Some have even referred to it both as a "right" and a "principle".

B. Normative Framework: Human Rights-Based Approach

The United Nations follows a human rights-based approach to programming and policy. This approach is outlined in the UN Common Understanding on the Human Rights-Based Approach to Development Cooperation (2003). The Common Understanding reiterates the UN commitment to further the realization of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments by ensuring that these instruments guide all development cooperation and programming. The Common Understanding underlines the essential role of development cooperation in supporting the capacity of duty-bearers (e.g. States) to meet their obligations and of rights-holders to claim their rights (e.g. indigenous peoples and forest-dependent communities). The duty and obligation of States to consult with indigenous peoples and forest-dependent communities with a view to agreement, the requirement to obtain the FPIC of *adat* communities, and the growing call to secure consent from forest-dependent communities as well, is a corollary of a myriad of universally accepted human rights, including the right to self-determination, right to participation, right to property, right to cultural integrity and right to equality, that are contained in numerous international human rights instruments.[4]

Indeed, the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) (2007) includes no less than seven (7) provisions expressly recognizing the duty of States to secure FPIC from *adat* communities in circumstances ranging from population relocations, the taking of "cultural, intellectual, religious and spiritual property," any damages, takings, occupation, confiscation and uses of their lands, territories and resources; before "adopting and implementing legislative or administrative measures;" and "prior to the approval of any project affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources."

State practice and the emerging consensus around FPIC can further be evidenced in the growing number of public statements, reports, guidelines, and policies of multiple UN and other international institutions and special rapporteurs acknowledging FPIC as necessary to protect and give effect to various underlying rights. A number are detailed in the Legal Companion and they include, for instance, the United Nations Development Group (UNDG) Guidelines on Indigenous Peoples Issues (2008) which are based on several existing international instruments regarding *adat* communities, including the UNDRIP and ILO Convention 169. The UNDG Guidelines provide a policy and operational framework for implementing a human rights-based approach to development

[3] Section 1.4 and the Legal Companion to the UN-REDD Programe Guidelines on FPIC

[4] Extensive compilation of these instruments, as well as international jurisprudence and evidence of State practice can be found in the Legal Companion to the UN-REDD Programe Guidelines on FPIC.

for and with *adat* communities. Included as a key result of such an approach is the application of FPIC in development planning and programming.

C. Defining the Elements of FPIC

Free, Prior and Informed Consent is a collective and specific right of *adat* communities recognized in the United Nations Declaration on the Rights of *Adat* communities. Through that consent, *adat* communities can accept or deny their agreement with a project or the activities included in it, which affect them or their territories. FPIC has a regulatory framework that includes the Declaration on the Rights of Indigenous Peoples of the United Nations and the Convention on Biological Diversity, among others, as well as laws at both national levels: XXX (local legislation) on consultation to *Adat* communities and the General Mechanism for Consultation with *Adat* communities, FPIC allows *adat* communities to negotiate the conditions under which policies, plans, programs and projects are formulated, executed, monitored and evaluated and can be withdrawn at any stage of the process.

As defined in the SES Guide for Standard 6: Indigenous Peoples 6, Free, Prior and Informed Consent (FPIC) has the following characteristics:

• **Free** refers to a consent given voluntarily and absent of coercion, intimidation or manipulation. Free refers to a process that is self-directed by the community from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed: Stakeholders determine process, timeline and decision-making structure; information is transparently and objectively offered at stakeholders' request; process is free from coercion, bias, conditions, bribery or rewards; meetings and decisions take place at locations and times and in languages and formats determined by the stakeholders; and all community members are free to participate regardless of gender, age or standing.

• **Prior** means consent is sought sufficiently in advance of any authorization or commencement of activities. Prior refers to a period of time in advance of an activity or process when consent should be sought, as well as the period between when consent is sought and when consent is given or withheld. Prior means at the early stages of a development or investment plan, not only when the need arises to obtain approval from the community: Prior implies that time is provided to understand, access, and analyze information on the proposed activity. The amount of time required will depend on the decision-making processes of the rights-holders; information must be provided before activities can be initiated, at the beginning or initiation of an activity, process or phase of implementation, including conceptualization, design, proposal, information, execution, and following evaluation; and the decision-making timeline established by the rights-holders must be respected, as it reflects the time needed to understand, analyze, and evaluate the activities under consideration in accordance with their own customs.

• **Informed** refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and also as part of the ongoing consent process. Information should: Be accessible, clear, consistent, accurate, constant, and transparent; be delivered in appropriate language and culturally appropriate format (including radio, video, graphics, documentaries, photos, oral presentations); be objective, covering both the positive and negative potential of project activities and consequences of giving or withholding consent; be complete, covering the spectrum of potential social, financial, political, cultural, environmental impacts, including scientific information with access to original sources in appropriate language; be delivered in a manner that strengthens and does not erode indigenous or local cultures; be delivered by culturally appropriate personnel, in culturally appropriate locations, and include capacity building of indigenous or local trainers; be delivered with sufficient time to be understood and verified; reach the most remote, rural communities, women and the marginalized; and • Be provided on an ongoing and continuous basis throughout the FPIC process.

• **Consent** refers to the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community.

Consent is: A freely given decision that may be a "Yes" or a "No," including the option to reconsider if the proposed activities change or if new information relevant to the proposed activities emerges; a collective decision determined by the affected peoples (e.g. consensus, majority, etc.) in accordance with their own customs and traditions; the expression of rights (to self-determination, lands, resources and territories, culture); and given or withheld in phases, over specific periods of time for distinct stages or phases of the project."

While the objective of consultation processes shall be to reach an agreement (consent) between the relevant parties, this does not mean that all FPIC processes will lead to the consent of and approval by the rights-holders in question. At the core of FPIC is the right of the peoples concerned to choose to engage, negotiate and decide to grant or withhold consent, as well as the acknowledgement that under certain circumstances, it must be accepted that the project will not proceed and/or that engagement must be ceased if the affected peoples decide that they do not want to commence or continue with negotiations or if they decide to withhold their consent to the project.

D. Policy on Applying Free, Prior and Informed Consent

When is FPIC Required?

The specific characteristics of the consultation procedure that is required will necessarily vary depending upon the nature of the proposed measure and the degree to which it may impact underlying rights. The UNDRIP recognizes several situations in which the State is under an obligation to not just seek, but secure the consent of the *adat* communities concerned. States must consult and cooperate in good faith with the *adat* communities concerned through their own representative institutions in order to obtain their free and informed consent prior to:

i. Relocating an indigenous population from their lands;
ii. Taking "cultural, intellectual, religious and spiritual property;"
iii. Causing "damages, takings, occupation, confiscation and uses of their lands, territories and resources;"
iv. "Adopting and implementing legislative or administrative measures;" and
v. Approving "any project affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources."

As mentioned above, the relevant UN monitoring bodies have interpreted a number of binding conventions and treaties, including the ICCPR, the ICESCR and the CERD as affirming that States must secure consent from *adat* communities through their own freely identified representatives or institutions, more generally with respect to any decisions "directly relating to their rights and interests" and in connection to: mining and oil and gas operations (extraction of subsurface resources); logging; the establishment of protected areas; construction of dams; development of agro-industrial plantations; resettlement; compulsory takings; and any other decisions affecting the status of their land rights.

The Convention on Biological Diversity provides that FPIC is required before "accessing traditional knowledge, innovations and practices of indigenous and local communities."

In light of the above, a first step for partner countries in determining whether consent should be sought is to carefully consider, in collaboration with relevant rights-holders, whether the proposed activity/policy will impact their rights, lands, territories and/or resources such to trigger one or more of the circumstances described above. In doing so, consistent with international law and jurisprudence such as those cited above, partner countries might consider that what constitutes a significant impact could be that which merely "affects *adat* communities's rights and interests" as opined by the Human Rights Committee as well as the CERD Committee (see Legal Companion).

In terms of determining what lands, territories, and resources might be subject to the consent standard, it is important to recognize that communal property rights based on traditional use, culture, and customary laws must be respected whether or not they are explicitly recognized by the national government. Furthermore, in the case of the Saramaka peoples, the Court was very clear that "until the demarcation and titling of *adat* communities' lands are completed" the State must refrain from acting or authorising others to affect the existence, value, use or enjoyment of such territory "unless the State obtains the free, prior and informed consent of the *adat* communities."

At What Level is FPIC Applied?

Given that an FPIC process often concerns a specific proposed activity with potential impacts on a specific community, and that consent is given or withheld collectively by the community, FPIC is most often applied at the community level. Consent at the national level (such as a national inception workshop) does not remove the State's duty and obligation to secure FPIC at the community level for a specific proposed activity (after the approval of a national REDD+ strategy).

Who Seeks Consent?

The Project Executing Agency is responsible for seeking consent. It should designate more specifically who (e.g. ministry, department, institution, local authority) is responsible for seeking consent for each activity identified as requiring consent in the consultation plan. The duty and responsibility to secure consent ultimately belongs to the State. This obligation cannot be delegated to a third party/private party.

Who Gives Consent?

The Project Executing Agency is required to seek FPIC from rights-holders which will be affected by the decision/policy/activity in question. In determining which communities are indigenous, the partner country should refer to the definitions of *adat* communities as outlined in the IPPF. Such determination shall not be dependent on whether the national government has recognized the subject community an *adat* communities.

The Project Executing Agency should engage the rights-holders through their own representative institutions and those representatives chosen by the peoples themselves in accordance with their own procedures. While respecting the norms, values and customs of the peoples and communities in question and the consultation and decision-making methods they utilize, it is strongly encouraged that all customary and formal rights-holders be represented in the decision-making process, especially women. Note, under human rights law (e.g. the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)) and the UNDRIP, women have the right to equality in the exercise of the right of *adat* communities to participate in both internal and external decision-making processes and institutions.

Outcome of the FPIC Process

The FPIC process and outcome should be well-documented in writing and made publicly available. The written document should clarify if consent was provided or withheld and it should affirm that the decisions therein are binding and enforceable. Note, it is important to document the whole FPIC process, including ideas, questions and concerns raised, so that it is possible to review the whole process in the event a grievance or dispute arises. However, documenting sensitive issues can be difficult. The rights-holders should be asked what is sensitive and what is not, and what it is permissible to document.

It is also important to revert back to the rights-holders to inform them of the outcome of the FPIC consultation. Not all people in the community might have participated in the consultation, yet all community members should be informed of the outcome. The territories and resources of the rights-holders in question which are not subject to the consent should not be included in the proposed project activity.

Rights-holders may choose to grant their consent on the basis of certain conditions (e.g. benefits continue to be derived from the project, restrictions on access to certain areas, limitations on contact with certain sectors of society or members living in voluntary isolation, etc.). If these conditions are not met, the community may review and either reaffirm or refuse consent. This option may be invoked at any stage of programme implementation. Consent is an iterative process.

Given the significant time and resources that may have been invested during the process, the rights-holders should not be able to withdraw consent arbitrarily; thus, if the conditions upon which the original consent was based are being met, ongoing consent is implied. If there is disagreement over whether conditions are being met or not, communities can express their grievance with the relevant national-level grievance mechanism (which may have functions at the community/sub-national level).

E. Operational Framework for Seeking Free, Prior and Informed Consent

Below is an outline of steps that should be undertaken by partner countries when seeking FPIC in a community or territory.

a. Project Executing Agency, in collaboration with relevant rights-holders, and taking into account the duties and obligations under international law, will undertake an FPIC Scoping Review, including the following components:
   - A description of the proposed project or activity;
   - A description of the rights-holders, their governance structures and how they wish to be engaged, including the institutions and individuals that are empowered to represent them;
   - A description of the legal status of the land, territory and resources concerned, including a description of the geographical area under formal, informal and/or customary use by the rights-holders (including

whether women have access to formal, informal and/or customary use of lands and resources), including maps and methodology used to establish the maps;

- An assessment of the social, environmental, and cultural impacts of the proposed policy/ activity on the rights-holders, including the specific impacts that have required the partner country to seek FPIC and how these impacts will be mitigated;
- An assessment of the substantive rights of the peoples concerned, as affirmed in domestic and international law, that may be affected by the proposed policy/activity; and
- Resources allocated for seeking FPIC.

Special attention should be paid by partner countries to supporting community efforts to describe many of these items in their own terms, including traditional uses of their lands, territories and natural resources and community-based property rights.

Consultations on the FPIC Scoping Review should be undertaken until it has been mutually agreed upon.

Once the FPIC Scoping Review has been mutually agreed upon, the Project Executing Agency, in consultation with the rights-holders, should develop an FPIC Proposal that outlines the proposed process to seek FPIC, including the following components:

- Capacity and information needs of the Project Executing Agency and/or rights holders that need to be addressed before the FPIC process can take place;
- A designation of whether the process will require a facilitator and, if so, who it should be;
- Where and how the consultations will take place;
- A timeline for the proposed consultation process to seek FPIC;
- The appropriate language and media for information sharing and distribution;
- How decisions will be taken by the community in accordance with their traditions and customs, and whether special measures have to be adopted to ensure the participation of women and other vulnerable groups within the community;
- The geographical territory and communities that the decision will cover;
- How FPIC will be given, recognized and recorded;
- The role of others in the process (if any), including local government officials, UN agencies, institutions, donors, independent observers (strongly recommended) and other stakeholders;
- Methods of verifying the process including, where relevant, participatory monitoring arrangements;
- Terms and frequency of review of the agreement(s) to ensure that conditions are being upheld; and
- Process for voicing complaints and seeking recourse on the FPIC process and proposed policy or activity.

Mechanisms for ongoing dialogue, participation, decision-making and consent throughout the various phases of the activity or project should be established and identified clearly between the Executing Agency and affected peoples and communities, including how those processes will be maintained throughout, for example, the development, assessment, planning, implementation, oversight, monitoring, dispute resolution, and closure stages of the project. Such processes can avoid misunderstandings in the future.

As long as the rights-holders in question maintain their interest in negotiating (as there is no legal requirement that they negotiate), the consultations on the FPIC Proposal should be undertaken until it has been mutually agreed upon. The FPIC Scoping Review and FPIC Proposal should be combined into one document and signed (or agreed upon in a culturally appropriate manner) by all relevant parties. Once this document has been signed/agreed upon, the FPIC process can proceed as outlined in the Proposal.

b. An independent evaluation should be undertaken by an institution, to be mutually agreed by all relevant rights-holders, to verify that the process was aligned with the definition of each of the terms of the FPIC Process outlined in section 2 above.

10. Indicative Outline of Environmental and Social Impact Assessment (ESIA)/ Report

Please refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

An ESIA report should include the following major elements (not necessarily in the following order):

(1) Executive summary: Concisely discusses significant findings and recommended actions.

(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts. (i.e., area of influence).

(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP's SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

(a) Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[5]

(b) Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

(6) Analysis of alternatives: Systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives' feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability

[5] For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry-specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at www.ifc.org/ehsguidelines.

under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) Mitigation Measures: Summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

(8) Stakeholders. Summarizes and links to project Stakeholder Engagement Plan or ESMP that includes plan for consultations. Includes summary of consultations undertaken for development of ESIA (see appendices).

(9) Conclusions and Recommendations: Succinctly describes conclusion drawn from the assessment and provides recommendations. Includes recommendation regarding the project's anticipated benefits in relation to its social and environmental risks and impacts.

(10) Appendices: (i) List of the individuals or organizations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

11. Indicative outline of an Environmental and Social Management Plan (ESMP)

Please refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

A Targeted ESMP (or stand-alone Management Plan) may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.[6] The content of the ESMP should address the following sections:

(1) Mitigation: Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

(2) Monitoring: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(3) Capacity development and training: To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g., for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) Stakeholder Engagement: Summarizes and links to project Stakeholder Engagement Plan or outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; and (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation. Require documentation of consultations (summaries including presentations, key points raised, and responses provided, participation lists). Include information on project grievance mechanism (below) and on UNDP Accountability Mechanisms (SRM, SECU).

(5) Grievance redress mechanism: Describes effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

Describe mechanisms to provide stakeholders and potential affected communities avenues to provide feedback or grievances, and receive responses, with regard to the implementation of specific activities, policies, or regulations.

[6] This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions.

(6) Implementation action plan (schedule and cost estimates): For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

12. Indicative outline of Action Matrix for SESA

Please refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

Table 9.1. Indicative sample of an action matrix for summarizing SESA recommendations, including measures to address anticipated social and environmental risks and impacts

Strategic Priority 1
Example: Enhance community participation and benefits in sector X

Priority reform area	Short term actions (1- 2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Women's participation and employment in sector X	*Establish mechanisms to enhance women's participation in local government and in negotiations involving companies in sector X*	*Increase participation in negotiations Increase in female employment Female participation in training programmes*	*Awareness programs for women's rights Refine and strengthen mechanisms for women's participation*	*Significant increase in female employment and training programmes*	*Reformed procedures for promoting women's participation in local and regional development*	*Gender differences significantly reduced in sector X and local and regional development processes*
Community disputes with companies in sector X	*Establish a dispute resolution mechanism on social and environmental issues that is accessible to community*	*Disputes between companies in sector X and local communities resolved more speedily with less conflict*	*Strengthen ability of Community representatives in use of mediation to resolve disputes Strengthen ability of local governments and community representatives to investigate and motivate legal procedures against companies in sector X with poor social and environmental performance*	*Increase percentage of satisfactory settlements Time taken to settle disputes declines*	*Extend and adapt dispute resolution system to other industries associated with sector X*	*Disputes reduced and managed effectively*

13. Indicative Outline and Elements of a Biodiversity Action Plan

Please refer to the UNDP SES Guidance Note: Standard 1: Biodiversity Conservation and Sustainable Natural Recourse Management for additional information.

Where biodiversity values of importance to conservation are associated with a project or its area of influence, the preparation of a Biodiversity Action Plan (BAP) provides a useful means to focus a project's mitigation and management strategy. For project activities that may affect natural habitats, critical habitats and protected areas, Standard 1 notes that a BAP needs to be in place. For projects solely designed to strengthen biodiversity and maintain or restore ecosystems in areas of critical habitat, the project document itself would constitute such a plan. Biodiversity plans are highly encouraged when also operating in modified habitats with biodiversity values of importance to conservation.
Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMPs) or related plans. However, a BAP provides focused attention to actions in ecologically critical areas. A BAP may be included as part of a broader ESMP.

As noted in the Section 2.1 of this guidance note, National Biodiversity Strategies and Action Plans (NBSAP) are the primary instruments for implementing the Convention on Biological Diversity at the national level. A BAP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. A BAP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of a BAP. Typically a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) and would articulate a management plan where/when adequate information is available for developing appropriate actions.

General elements of a BAP include the following:

(1) Description of biodiversity context: Identifies national and/or regional biodiversity context; location of projects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.

(2) Objectives and targets biodiversity actions and mitigation: Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g., indigenous peoples, economic displacement).

(3) Implementation action plan (schedule, cost estimates and source of financing): Outlines an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and the capital and recurrent cost estimates and sources of funds for implementing the BAP (i.e., budget). Describes institutional arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.

(4) Stakeholder Engagement: Outlines context-specific plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

(5) Monitoring and reporting: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions. Establishes reporting schedule and format.

14. Indicative Outline of Indigenous Peoples Plan (IPP)

If the proposed project may affect the rights, lands, territories or resources of indigenous peoples, an "Indigenous Peoples Plan" (IPP) needs to be elaborated and included in the project documentation. The IPP is to be elaborated and implemented in a manner consistent with the UNDP Social and Environmental Standards and have a level of detail proportional to the complexity of the nature and scale of the proposed project and its potential impacts on indigenous peoples and their lands, resources and territories. Where the specific project activities, subprojects and/or locations are not yet defined and will be prepared during project implementation, the Indigenous Peoples Planning Framework (IPPF) is to be utilized (see **SECTION 9** in this ESMF).

With the effective and meaningful participation of the affected peoples, the IPP shall be elaborated and contain provisions addressing, at a minimum, the substantive aspects of the following outline:

1. Executive Summary: Concisely describes the critical facts, significant findings, and recommended actions
2. Description of the Project: General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples
3. Description of Indigenous Peoples: A description of affected indigenous people(s) and their locations, including:
    a. description of the community or communities constituting the affected peoples (e.g., names, ethnicities, dialects, estimated numbers, etc.);
    b. description of the lands, territories and resources to be affected and the affected people's connections/ relationship with those lands, territories and resources; and
    c. an identification of any vulnerable groups within the affected peoples (e.g., uncontacted and voluntary isolated peoples, women and girls, persons with disabilities, elderly, others).
4. Summary of Substantive Rights and Legal Framework: A description of the substantive rights of indigenous peoples and the applicable legal framework, including:
    a. An analysis of applicable domestic and international laws affirming and protecting the rights of indigenous peoples (include general assessment of government implementation of the same);
    b. Analysis as to whether the project involves activities that are contingent on establishing legally recognized rights to lands, territories or resources that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 5.1., 5.2), include:
        i. identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and
        ii. list of the activities that are prohibited until the delimitation, demarcation and titling is completed.
    c. Analysis whether the project involves activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Where such contingency exists (see Standard 6 Guidance Note, section 5.2):
        i. identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected indigenous peoples; and
        ii. list of the activities that are prohibited until the recognition is achieved.
5. Summary of Social and Environmental Assessment and Mitigation Measures
    a. A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g., targeted assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, territories and resources. This should include the manner in

which the affected indigenous peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.

b. Where potential risks and adverse impacts to indigenous peoples, their lands, territories and resources are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Include where relevant measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples' internal norms and customs.

6. Participation, Consultation, and FPIC Processes

   a. A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples' which led to the indigenous peoples' support for the project.

   b. A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the project. Identify particular project activities and circumstances that shall require meaningful consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).

7. Appropriate Benefits: An identification of the measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.

8. Capacity support: Description of measures to support social, legal, technical capabilities of indigenous peoples' organizations in the project area to enable them to better represent the affected indigenous peoples more effectively. Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country's duties and obligations under international law with respect to the rights of indigenous peoples.

9. Grievance Redress: A description of the procedures available to address grievances brought by the affected indigenous peoples arising from project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples' customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.

10. Institutional Arrangements: Describe schedule and institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the IPP, including participatory mechanisms of affected indigenous peoples. Describe role of independent, impartial experts to validate, audit, and/or conduct oversight of the project.

11. Monitoring, Reporting, Evaluation: Describe the monitoring framework for the project and key indicators for measuring progress and compliance of requirements and commitments. Include mechanisms and benchmarks appropriate to the project for transparent, participatory joint monitoring, evaluating, and reporting, including a description of how the affected indigenous peoples are involved. Indicate process for participatory review of IPP implementation and any necessary modifications or corrective actions (including where necessary consent processes).

12. Budget and Financing: Include an appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described.

Note: The IPP will be implemented as part of project implementation. However, in no case shall project activities that may adversely affect indigenous peoples take place before the corresponding activities in the IPP are implemented. Such activities should be clearly identified. Where other project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

15. Labour Management Procedures Template

The Labour Management Procedures (LMP) facilitates planning and assists responsible parties to ensure that project implementation adheres to the requirements of SES Standard 7 on Labour and Working Conditions. The LMP (a) sets out the written labour procedures for the project, (b) identifies the main labour requirements and risks associated with the project, and (c) helps the project developer to determine the resources necessary to address project labour issues and risks and sets out an action plan.

The LMP summarizes key labour-related risks and issues and may be supplemented by more targeted analyses and plans (e.g. such as an occupational safety and health action plan, WBG EHS sector specific guidelines, ISO standards, contractor management matrices, etc.). The LMP (as with supporting analyses) should be undertaken by experts with relevant expertise.

The LMP may be prepared as a stand-alone document, or form part of other environmental and social management documents. The LMP is a living document, which is initiated early in project preparation, and is reviewed and updated throughout development and implementation of the project.

In preparing and updating the LMP, project developers should refer to the requirements of national law and S7 and its Guidance Note. The content of the LMP is indicative: some issues may not be relevant to the project while some projects may have other issues that need to be captured from a planning perspective. Where national law addresses requirements of S7 this should be noted in the LMP.

Where project workers under a single project may be engaged under significantly different circumstances (e.g. different regions of a country, different employment arrangements), it may be necessary to ensure that these differences are appropriately addressed in the LMP, or separate LMPs may need to be developed.

For projects utilizing an ESMF given that specific activities and/or subprojects have yet to be defined, the development of the LMP may need to be deferred. The ESMF should address as many potential issues outlined in the LMP as is feasible during project development, and the ESMF should include procedures for undertaking a specific LMP once locations and activities are defined.

A concise and up to date LMP will enable different project-related parties, for example, staff of the project implementing unit, contractors and sub-contractors and project workers, to have a clear understanding of what is required on a specific labour issue. The level of detail contained in the LMP will depend on the type of project and information available. Where relevant information is not available, this should be noted and the LMP should be updated as soon as possible.

Below is an indicative outline of the LMP.

1. **Overview of Labour Use in the Project:** This section describes the following, based on available information:
    a. *Number of Project Workers*: The total number of workers to be employed on the project, and the different types of workers: direct workers, contracted workers, temporary or seasonal workers and community workers. Where numbers are not yet firm, an estimate should be provided.
    b. *Characteristics of Project Workers*: To the extent possible, a broad description and an indication of the likely characteristics of the project workers e.g. local workers, national or international migrants, female workers, workers between the minimum age and 18.
    c. *Timing of Labour Requirements*: The timing and sequencing of the project's labour requirements in terms of numbers, locations, types of jobs and skills required.
    d. *Contracted Workers*: The anticipated or known contracting structure for the project, with numbers and types of contractors/subcontractors and the likely number of project workers to be employed or engaged by each contractor/subcontractor. If it is likely that project workers will be engaged through brokers, intermediaries or agents, this should be noted together with an estimate of the number of workers that are expected to be recruited in this way.
    e. *Migrant Workers*: If it is likely that migrant workers (either domestic or international) are expected to work on the project, this should be noted and details provided.
2. **Assessment of Key Potential Labour Risks*:*** This section describes the following, based on available information:

a. *Project activities*: The type and location of the project, and the different activities the project workers will carry out, including primary supplier(s)

b. *Key Labour Risks:* The key labour risks that may be associated with the project (see, for example, those identified in S7 and the GN). These could include, for example:
    - the conduct of hazardous work, such as working at heights or in confined spaces, use of heavy machinery, or use of hazardous materials
    - likely incidents of child labour or forced labour, with reference to the sector or locality
    - discriminatory policies or practices that deny equal opportunity
    - restrictions on freedom of association and collective bargaining
    - likely presence of migrants or seasonal workers
    - risks of labour influx or gender based violence
    - possible accidents or emergencies, with reference to the sector or locality
    - general understanding and implementation of occupational health and safety requirements

3. Brief overview of labour legislation, agreements and potential gaps with Standard 7:

- **Core Labour Standards:** This section sets out the key aspects of national legislation implementing the ILO fundamental rights at work, i.e. prohibition of child labour/minimum working age; prohibition of forced labour, non-discrimination/equal opportunity; and freedom of association and collective bargaining. The overview should highlight any material gaps between national law and S7.9-19.
- **Terms and Conditions:** This section sets out the *key aspects* of national labour legislation with regards to term and conditions of work, and how national legislation applies to different categories of workers identified in Section 1. The overview focuses on legislation which relates to the items set out in S7, paras.5-8 (i.e. wages, deductions and benefits) and any material gaps with S7. The section should also identify the terms of any existing collective agreements that stipulate workplace terms and conditions.
- **Occupational Safety and Health (OSH):** This section sets out the *key aspects* of the national labour legislation with regards to occupational health and safety, and how national legislation applies to the different categories of workers identified in Section 1. The overview focuses on legislation that relates to the items set out in S7, paras. 20-25 and any material gaps with S7.

4. **Responsible Staff:** This section identifies the functions and/or individuals within the project responsible for (as relevant):
    - engagement and management of project workers
    - engagement and management of contractors/subcontractors
    - occupational safety and health (OSH)
    - training of workers
    - addressing worker grievances

    In some cases, this section will identify functions and/or individuals from contractors or subcontractors, particularly in projects where project workers are employed by third parties.
5. **Policies and Procedures:** This section sets out :
    - **Management systems:** Relevant management systems ***in place*** to implement S7, e.g. human resources policy, anti-harassment policy, staff handbook, grievance procedure, OSH management system, etc. These can be referenced or annexed to the LMP, together with any other supporting documentation. Where relevant, it identifies applicable national legislation.
    - **Age of Employment:** Details regarding (see S7 paras. 16-19 and GN):
        - the minimum age for employment on the project
        - the process that will be followed to verify the age of project workers
        - the procedure that will be followed if underage workers are found working on the project

- the procedure for conducting risk assessments for workers aged between the minimum age and 18
- Where incidences of **child labour** are identified, describe how these will be remediated

- **Forced Labour:** Where the risk of forced labour has been identified, this section outlines how this risk will be mitigated, and how any instances of forced labour will be addressed (see S7 para. 14 and GN).
- **Occupational safety and health:** Where significant health and safety risks have been identified, summarize how these will be addressed in a manner consistent with national labour and employment regulations and the requirements of S7. (Note that a specific OSH plan may be necessary.)
- **Terms and Conditions:** This section sets out details regarding (see S7 paras. 5-8):
  - specific wages, hours and other provisions that apply to the project
  - maximum number of hours that can be worked on the project
  - any collective agreements that apply to the project. When relevant, provide a list of agreements and describe key features and provisions
  - other specific terms and conditions (e.g. benefits)
  - "Beyond compliance" initiatives e.g. to promote local employment or the hiring of traditionally underrepresented groups
- **Grievance Mechanism:** This section sets out details of the grievance mechanism that will be provided for direct and contracted workers, and describes the way in which these workers will be made aware of the mechanism (S7, paras. 26-28).
- **Contractor Management:** This section sets out details regarding (see S7, paras. 29-31 and GN):
  - the selection process for contractors/third parties
  - the contractual provisions that will be put in place relating to contractors for the management of labour issues, including OSH
  - the procedure for managing and monitoring the performance of contractors
- **Community Workers:** Where community workers will be involved in the project, this section sets out details of the terms and conditions of work, and identifies measures to check that community labour is provided on a voluntary basis. It also provides details of the type of agreements that are required and how they will be documented. This section sets out details of the grievance mechanism for community workers and the roles and responsibilities for monitoring such workers.
- **Primary Supply Workers:** Where a significant risk of violations of core labour standards[7] or serious safety issues in relation to primary suppliers has been identified, this section sets out the procedure for monitoring and reporting on primary supply workers (S7 paras. 32-34)

7. Action Plan This section sets out details of actions required to achieve and maintain compliance with national law and S7, including responsibilities, timelines and cost/resource estimates. The Plan will also include monitoring and reporting requirements appropriate to the nature of the project and associated labour risks and impacts. The Action Plan includes the following elements:

- Summary of required measures identified in above sections of the LMP.
- Describe schedule, institutional arrangements, and responsibilities and mechanisms for carrying out the identified measures, indicating who is responsible and when actions will be undertaken.
- Describe the monitoring framework for the project and key indicators for measuring progress in implementing the identified measures.
- Budget and Financing: Include an appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the identified measures.

[7] Child labour, forced labour, non-discrimination and equal opportunity, freedom of association and collective bargaining.

16. ESMF M&E Plan

Activity Being Monitored	Description	Frequency / Timeframe	Expected Action	Responsible parties
Track progress of ESMF implementation	Monitoring and reporting of ESMF implementation, with key results and issues presented to the Project Board on a regular basis	Quarterly, first year only	ESMF requirements are completed for this Project	Project Manager and Safeguards Officer
Development of ESIAs and SESAs and report, and ESMPs (including related plans)	Carried out in a participatory manner, in-depth analysis about potential social and environmental impacts, as well as identification / validation of mitigation measures	Year 1 of project implementation	Risks and potential impacts are assessed with support of external service providers and participation of project team and stakeholders; management actions identified and incorporated into project implementation strategies.	Project Manager, Safeguards Officer, contracted service providers
(a) Implementation of mitigation measures and (b) any impacts, including potential impacts identified in the ESIAs and SESAs reports and the ESMPs	Ongoing and participatory implementation and monitoring of impacts and the effectiveness of mitigation measures, in accordance with the ESMPs	Continuous, once SESAs and ESIAs reports are completed and ESMPs is in place	Implementation of ESMPs; participatory monitoring of ESIAs findings (i.e., identifying indicators, monitoring potential impacts and risks); integration of ESMPs into project implementation strategies; monitoring of environmental and social risks and corresponding management plans as relevant.	Project Manager, Safeguards Officer, M&E-Communications Officer Landscape-Seascape Coordinators, Community Mobilizers
Development of Livelihood Action Plan	Carried out in a participatory manner, targeted analysis of potential impacts and development of a Livelihood Action Plan for potentially economic displaced persons	At the stage when the OECM plans are approved	Potential impacts related to economic displacement; targeted assessment report completed; if justified based on findings of targeted assessment, livelihoods action plans will be developed; management actions will be identified and incorporated into project implementation strategies.	Project Manager, Safeguards Officer, contracted service providers
Potential and actual environmental and social impacts of project interventions	With respect in particular to Standards 5 and 6, (a) environmental and social assessments of all proposed project	Continuous as required throughout the project, as and	A rigorous procedure to be established to screen proposed project interventions before they are included	Project Manager, Safeguards Officer, M&E-Communications Officer

Activity Being Monitored	Description	Frequency / Timeframe	Expected Action	Responsible parties
	interventions before approval under the workplan and (b) tracking of the environmental and social impacts of actual project interventions, making sure to provide for post-project monitoring, and to coordinate with priorities under the cross-cutting Gender Action Plan.	when plans and designs are completed and specific project interventions are formulated.	in the workplan.	
A comprehensive ESMP review of project consultative planning processes - methodology, representativeness, and results.	A review of (a) the OECM process, including proposed activities and outputs, and (b) the landscape-seascape management framework planning process, including proposed activities and outputs,	Year 3	This expected to be included in the ESMP	Chief Technical Advisor, Safeguards Officer, M&E-Communications Officer, contracted service providers
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project teams and used to inform management decisions.	Project Manager, Chief Technical Advisor, Safeguards Officer, M&E-Communications Officer
Annual project quality assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project	Annually	Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance	UNDP
Review and make course corrections	Internal review of data and evidence from monitoring & evaluation actions to inform decision making	At least annually	Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections	Project Board

Activity Being Monitored	Description	Frequency / Timeframe	Expected Action	Responsible parties
Project report	Inclusion of analysis, updates and recommendations regarding risk management in annual progress reports presented to the Project Board and stakeholders	Annually	Updates on progress of ESMF, ESIA and ESMP will be reported in the project's annual GEF PIRs.	Project Manager, Chief Technical Advisor, Safeguards Officer, M&E-Communications Officer

Annex 11. Gender analysis and gender action plan

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

1. Introduction

This document presents a gender analysis and mainstreaming action plan for the UNDP-GEF project investing in the Komodo dragon and other globally threatened species in Flores (IN-FLORES).

1.1 Project Overview

The objective of this project is to promote conservation of Komodo dragon and other globally threatened species in Flores through strengthened and integrated management of multiple use landscapes and seascapes. The target landscapes-seascapes encompass terrestrial and marine protected areas, forest areas (protection forests, production forests convertible forests, and other production areas) and marine areas that have important values for the conservation of the Komodo dragon (*Varanus komodoensis*; IUCN Red List: Endangered EN), the Flores Hawk-eagle (*Nisaetus floris*; IUCN Red List: Critically Endangered CR), Yellow-crested Cockatoo (*Cacatua sulphurea*; IUCN Red List: CR), and other endangered marine and terrestrial species. Studies conducted by the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE) and the Komodo Survival Program show that large numbers of Komodo dragons on Flores Island are located in production landscapes-seascapes and community areas. Therefore, in addition to the emphasis on improving management effectiveness of the Komodo National Park and other protected areas in the target landscapes-seascapes, the project will focuses on enhancing biodiversity conservation in habitats outside protected areas.

This project is expected to achieve conservation, human development goals and at the same time provide the development of governance and protection of the Komodo dragon and other globally threatened species. Implementation of this project will be applied on the island of Flores in East Nusa Tenggara (NTT) Province, Indonesia. Realizing the range of interests across the landscapes, the project is expected to facilitate stakeholders to reach a common vision in realizing the conservation of Komodo and other globally important species in landscapes with diverse functions and designations. This vision requires holistic approaches to natural resource management. The project will be testing the effectiveness of its strategy in harmonizing the various interests of the stakeholders using an approach where the interconnected elements of the landscape can be managed to promote the protection of the Komodo and other globally threatened species.

There are three main components to the project:

Component 1: Strengthening the enabling environment and introducing new governance models for integrated landscape-seascape management

This component will enhance species management for the island of Flores through protecting forests and other critical terrestrial and marine habitats to preserve the Komodo dragon and other threatened species within the broader multi-use landscapes/seascapes, including protected areas and areas outside it through engagement of diverse stakeholders that are currently under different management regimes. While the project will support investment to strengthen management effectiveness within existing protected areas, it will concurrently also support the OECM approach for terrestrial and marine habitats outside formal PA system—by addressing the main issues of deforestation and terrestrial and marine degradation throughout Flores. A comprehensive study of the Komodo dragon population will be undertaken to better understand the genetic variability of the Komodo dragon population to identify appropriate management approaches to protect these distinctive populations.

Component 2: Improved private sector, community engagement and diversified financing for biodiversity conservation and livelihood improvement across the Komodo dragon and threatened species landscape-seascape

Component 2 of the project will address the numerous barriers to expand private sector engagement in conservation, in particular to identify appropriate entry points to engage the private sector to recognize the business benefits of good environmental stewardship and the identification of a suite of potential financial instruments to support small-scale economic activity. In addition, this component will support the promotion of community biodiversity-friendly livelihood and business enterprises to avoid biodiversity loss and lead to sustainable natural resources use. Despite its anticipated

positive benefits for local economy, challenges such as capacity, skills, access to capital and strong local institutions will need to be addressed.

Component 3: Knowledge management, safeguards management, and project monitoring & evaluation

Under this Component, GEF funds will support Communications and Gender Mainstreaming strategies. In order to increase the level of awareness on OECMs and threatened species conservation following an initial assessment of level of awareness through a KAP survey, the project will design communication plans, support knowledge exchange through the development of a Komodo platform and Komodo knowledge center.

1.2 Gender Mainstreaming Strategy for the Project

The gender mainstreaming strategy in the IN-FLORES project is to prioritize the existence of good equality and fairness of roles between men and women which includes the following:

a. encourage a balanced role in terms of business-related activities that are integrated with conservation activities, there is a balance of roles between women and men
b. ensure that there are appropriate methods in terms of Knowledge Management, Communication and Gender Mainstreaming strategies
c. ensure gender equality in carrying out and contributing to regional development plans
d. encourage the financing of gender-based development and conservation activities
e. Ensuring consultation with key women groups on needs and priorities related to project activities and/or interventions;
f. encourage equal access to information related to the INFLORES project between women and men including balanced involvement of men and women in activities

This gender mainstreaming strategy aims at contributing towards achieving the Sustainable Development Goal (SDG) 5, Gender Equality, especially Target 5.5 which is to ensure that all women can participate fully and have equal opportunities for leadership at all levels of decision-making in political, economic and public life. Target 5.6. Point 1, undertake reforms to give women equal rights to economic resources as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national regulation.

1.3 Methodology and Limitations

The methodology utilized for this gender analysis and mainstreaming action plan is in accordance with the UNDP Guidance Note on Gender Analysis, Mainstreaming Gender at the GEF, and Guidance to Advance Gender Equality in GEF Projects and Programs and UNDP Gender Equality Strategy.

1.3.1 Limitations

Field consultations were delayed until November 2021 due to COVID-19 related travel restrictions in September and October. Hence the amount of time to carry out consultations was limited. Community level consultations were limited to only three villages out of a possible twenty-one that may be part of project activities. Consultations were carried out at the district government level but these too were limited due to time constraints.
Disaggregated sex data at the village and district level was often difficult to find and at times the data was inconsistent from one year to the next. To fill this gap data was gathered from the Statistics Indonesia (Badan Pusat Statistik BPS) published by the provincial and national governments. This data was combined with data and information from online media, research journals and some grey literature. At the community level, the limitations found were overcome by conducting direct interviews with women. In the process of conducting direct interviews, women were more open about their concerns and aspirations.

2. Gender Analysis

2.1 Gender Context in Indonesia

In Indonesia, gender equality is explicitly guaranteed by the Constitution and has been further promoted through the ratification of the International Convention on the Elimination of All Forms of Discrimination against Women (CEDAW).

Presidential Instruction No. 9/2000 on Gender Mainstreaming in National Development states that national development should promote gender equality in the family, society, and nation. In 2008, the Ministry of Home Affairs issued Regulation No.15/2008 on Guidelines for Implementing Gender Mainstreaming in the Regions. In 2009, the Ministry of National Development/National Development Planning Agency (BAPPENAS) issued Decree No. KEP.3O/M.PPN/HK/03/2009 establishing a Steering Committee and Technical Team for gender-responsive planning and budgeting. In addition, Regulation No. 119/2009 issued by the Ministry of Finance appointed seven ministries and agencies (ministries of finance, health, education, public works, women and children and BAPPENAS) as pilot institutions for gender-responsive planning and budgeting (GRPB). The gender focus of the mid-term development plan (RPJMN) 2020-2024, adopted the targets of the Sustainable Development Goals (SDGs): 1) increasing quality of life of and role of women in development; 2) the protection of women from violence and trafficking; and 3) improving institutional capacity for gender mainstreaming and protection. See Enclosure 1 for a list of Gender Mainstreaming Policies and Regulations.

Institutional Framework

The State Ministry for Women's Empowerment and Child Protection (SMWC) was established in 1978 as Indonesia's national machinery for gender equality and women's empowerment. The SMWC is responsible for ensuring gender mainstreaming and women's empowerment in government policies and programs at the national and local levels through policy formulation. It also coordinates the implementation process of gender-responsive budgets at the national, regional and sub-national levels and gender working groups have been established in all ministries at all levels of governance. The ministry carries out its functions through six directorates: secretariat, gender mainstreaming, and improvement of women's quality of life, women's protection, child protection, and empowerment of community organizations.

The National Commission on Violence Against Women (Komnas Perempuan) was created in 1998 to advise the executive and the legislature on eliminating violence against women. Komnas Perempuan has carried out its mandate through advocacy, policy and legal drafting and networking. It has monitored the government's performance on gender equality issues while acting as an intermediary between the government and women's rights organizations.

2.2 The Human Development Index and Gender Development Index

According to the 2020 census Indonesia's population is 270.20 million people with a population density of 141 people per km2. The sex ratio of the Indonesian population is 102.3, meaning that the number of male and female population is almost equal namely, 136.661 million males and 133.542 million females (Statistics Indonesia, BPS, 2021).

Indonesia's Human Development Index (HDI)[1] has continued to increase in recent years. In 2020, Indonesia had a score of 71.94 on the HDI. In comparison to the previous year, this was a slight increase. This value put Indonesia in the high human development category, positioning the country at 107 out of 189 countries and territories. Singapore is Southeast Asia's top country at ninth in the ranking, joined by Brunei (43rd) and Malaysia (62nd) in the very high category. At the ASEAN level, Indonesia is ranked 6th.

Indonesia is ranked 85th out of 153 countries on the Global Gender Gap Index, despite a small improvement in its score (70.0, up 1 percentage point). (With a score of 1 being absolute parity and a score of 0 being absolute imparity). The country has closed 70% of its gender gap. The economic gap remains large but has narrowed considerably since 2006. For example, in the last year alone, Indonesia jumped 28 places on the Economic Participation and Opportunity sub-index rankings (68.5%, 68th), constituting one of the most significant improvements on this dimension globally[2].

Indonesia boasts the world's largest share (55%) of senior and leadership roles held by women and is one of the six countries in the world where a majority of such roles are held by women. On the other hand, the low share of women (54%) participating in the labour market and significant difference in income distribution (female earned income is half that of men) continue to weigh on the country's performance on this subindex. Both the educational and health gender gaps have nearly closed (scores of 97.0 and 97.4% on the respective subindexes). However, small imbalances persist in terms of literacy rates (94% among women compared with 97% among men) and primary enrolment rate (91% versus 96%), although levels are extremely high and rising for both sexes. Whereas the trends are overwhelmingly positive in the economic, health and educational spheres, the political gender gap has widened slightly, from a low base (17.2%,

[1] The human development index measures achievements by accounting for disparities in three basic dimensions of human development—health, knowledge and living standards.

[2] Indonesia's Global Gender Gap index score from 2011 to 2020 https://www.statista.com/statistics/973044/global-gender-gap-score-indonesia/ Accessed on 7 September 2021

82nd down 22 places). This results from weaker female representation in parliament (17.4%, down from 19.8%) and in the cabinet (24%, down from 26%). National instruments such as the Gender Development Index[3] and the Gender Empowerment Index[4] confirm these findings.[5]

2.3 Women's Participation in Politics and the Economy

Although women's participation in politics has achieved a number of breakthroughs, there is still much to be done. Affirmative action provisions enshrined in Law 12/2003, Law 10/2008 and Law 5/2012 concerning General Elections for Members of DPR, DPD, and DPRD state that at least 30% of candidates fielded by a political party must be women. Changes in the electoral law were a positive first step for women as they constituted 18.21% and 19.2% of parliamentarians in the 2009-2014 and 2014-2019 electoral cycles respectively. These figures are still insufficient, however as they are dismally below the minimum of 30% government-approved gender quota. Indonesia ranks 114 among 193 countries in the number of women in the National Parliaments of the Inter-Parliamentary Union.

Women in Indonesia still face cultural barriers that have a significant effect on their participation in the workforce and hence their contribution to the economy (Women's World Banking, June 2021). As presented in Table 1 on the following page, the working age population in Indonesia is 203.97 million people with various educational backgrounds as shown in Table 1. As the Table 1 indicates, women make up most students in tertiary education. Yet, 26% of young women were not in employment, education, or training in 2019, compared with 21% of Indonesia's youth overall, a result of persistent gender inequalities.[6]

Table 1. *Working age population by education completed and gender*

highest level of education completed	Gender		Total
	Men	Women	
no education - elementary school	35.840.359	40.786.779	76.627.138
Junior High School	22.216.398	21.776.410	43.992.808
Senior High School	20.804.722	19.387.185	40.191.907
Vocational School	13.314.844	19.387.185	22.365.982
Diplomas	2.036.339	2.931.719	4.968.058
University	7.744.600	8.081.967	15.826.567
Amount	101.957.262	102.015.198	203.972.460

Source: The Indonesian Ministry in Data 2021/Buku Kementerian dalam Data 2021

Women's labor force participation has stagnated, reaching only 55% in February 2020, compared with 84% for males, and a substantial gender wage gap persists. These factors contribute to lower levels of well-being for women and their households and prevent the economy from deploying the full potential of its human capital. Working women still receive lower wages compared to men even though they have the same level education. The average ratio of women's wages compared to men who worked in 2019 is only 77.39 percent.[7] Wage discrimination against women also occurs in the global world, according to UNDP data, women only earn 77 cents for every dollar man earn in the same work (www.undp.org, 2020b). In March 2021, currently, the development of the Indonesian economy has provided better opportunities for women. However, when compared to other countries with the same income, the level of participation of Indonesian women in the economy is still slightly lower.

In the economic field, female labor force participation is still faced with a dilemma between cultural demands for responsibility in the domestic (family) domain or to play a role in the public sphere or the job market. BPS data indicates

[3] Gender Development Index, measures disparities by gender. GDI values are estimated separately for women and men, the ratio of which is the GDI value. The closer the ratio is to 1, the smaller the gap between women and men. Values for the three GDI components—longevity, education (with two indicators) and income per capita—are also presented by gender.

[4] The GEM is an index designed to measure gender equality. It shows how much women are lagging behind their male counterparts in economic and political aspects. The IDG measured by three aspects: the proportion of parliamentary seats occupied by females, decision-making role in workplace, and labor force participation rate.

[5] Indonesia's Global Gender Gap index score from 2011 to 2020 https://www.statista.com/statistics/973044/global-gender-gap-score-indonesia/ accessed on 7 September 2021

[6] Asia Development Bank, 2020

[7] Ministry of Ministry of Women's Empowerment and Child Protection (PPPA), 2020a

that the primary employment status among women and men still fit the stereotyped gender role. Caregiving is still dominated by women, while the type of jobs that are typically considered masculine are the domain of men.[8]

2.4 Gender Issues Associated with Land Use and Forestry Management

The Basic Forest Law 5/1967 (revised as the Forest Law 41/1999) does not incorporate a gender dimension to forest ownership and forest resource management. The incorporation of a gender perspective in the forestry sector began a few years after the presidential directive on the incorporation of a gender perspective that was issued in 2000. It started with the Ministry of Forestry's Decree No. 528/2004 which incorporated a gender perspective into the development directions of the forestry sector. Later, the Ministry issued Ministerial Regulation. The planning and budgeting guidelines decree for the promotion of gender equality in the forestry sector No. 65/2011 of October 11, 2011, were a follow-up to the Decree 528/2004. The regulations emphasize that the forestry sector must "help the poor, promote employment and promote the environment" to achieve national development. Ministerial Decree 528/2004 and Ministerial Regulation 65/2011 were revised in 2017 through Ministerial Regulation 31 / 2017 on the implementation of the guidelines on the incorporation of the gender perspective in the environment and forestry sectors.

Women's participation in forest management is hampered by social perceptions that separate roles and a person's space by gender, creating a double burden on women, and limits roles women in the community. Women tend to play a domestic role in the household, while forest management is synonymous with domain male-dominated public (WRI, 2021).

In Indonesia, institutional forest management is still dominated by men. The role of women in all stages of forest management is still very small. The social, economic and gender dynamics affect access to resources and management regimes. This of course affects their ability to access forest resources. Gender, is very important to understand when implementing social forestry, for example. If there is no protection of gender equality rights, it will have a negative impact on the role of women.[9] This includes indigenous women who still face obstacles, including poverty and discrimination based on gender and ethnicity that prevent indigenous women from participating in development. In contrast, there are positive impacts and results when women's participation taken into account in community forest management.

3. Gender in Social and Economic Development in Flores

Flores is part of the East Nusa Tenggara province. The island along with smaller minor islands are split into eight regencies (local government divisions); from west to east these are: Manggarai Barat (West Manggarai), Manggarai (Central Manggarai), Manggarai Timur (East Manggarai), Ngada, Nagekeo, Ende, Sikka and Flores Timur (East Flores). Flores has 38.3% of the East Nusa Tenggara provincial population as of 2020, and is the largest of all islands in the province, with the greatest population. Table 2 breaks down the population by district and by sex.

***Table 2**: Population of Flores by District*

Name of Districts*	Capital	Area (sq.km)	Population	Female	Male
West Manggarai	Labuan Bajo	3,141.47	264,437	131,107	133,330
Manggarai	Ruteng	2,096.44	312,855	156,460	156,395
East Manggarai	Borong	2,435.70	275,603	136,475	139,128
Ngada	Bajawa	1,620.92	165,254	83,657	81,597
Nagekeo	Mbay	1,416.96	159,732	80,777	78,955
Ende	Ende	1,946.29	132,545	138,218	270,763
Sikka	Maumere	1,731.90	321,953	166,026	155,927
East Flores	Larantuka	1,812.58	257,785	134,555	123,230
Lembata	Lewoleba	1,266.40	145,685	68,208	77,477

**District in Figures 2021*

** Tabel BPS, Jumlah Penduduk Menurut Jenis Kelamin Tahun 2020 https://ntt.bps.go.id/indicator/12/556/1/jumlah-penduduk-menurut-jenis-kelamin.html*

Gender Issues in the project landscapes-seascapes

[8] Ibid.

[9] Setyowati, A.B. 2016. Social Forestry: Where are we now? Jakarta. https://www.thejakartapost.com/academia/2016/09/19/social-forestry-where-are-we-now.html [Accessed 4 September 2021)

Women who participated in consultations at the community level were generally housewives; meanwhile, women who participated in consultations at the district government level are structural employees in the district government. From the results of the consultations in these two categories, several important issues related to the role of women were identified.

There is currently no implementation plan at the district level for gender mainstreaming. Policies related to gender mainstreaming in the environmental and forestry sectors are not understood by most of the staff and structural employees in the district. In addition, most respondents felt that the Presidential Instruction on gender has not yet been implemented. As a result data, disaggregated by sex is inconsistent; there is a lack of policies that specifically accommodate gender mainstreaming; weak gender responsive budgeting and the lack of women's participation in the development planning process.

At the community level, the lack of participation by women was apparent. Some stated that they could not participate because they were not invited to meetings. Others stated that the only women with social positions were given the opportunity to participate. Another issue is the level of understanding of the role of women in decision making. More often than not village level decision making is left to men.

On the issue of household economy, women stated that they had an important role to play. Some respondents also stated that they have special activities in family economic activities, such as processing fish into salted fish, weaving cloth, making coconut oil, and cultivating seaweed. In more detail, matters relating to the situation and gender strategy in the three districts of the IN-FLORES Project area can be seen in this sub-chapter.

Gender Context in Ngada District

Ngada district consists of 12 sub-districts in the northern landscape. Ngada district is classified as a tropical and temperate region with trees such as nutmeg, tamarind, cinnamon, palm as well as rich in fauna, including large animals, small animals, birds, and the Komodo dragon (Varanus Riungensis) in Riung sub-district. Ngada district has a population of 165,254 people consisting of 81,597 male and 83,657 female, with a population growth rate of 1.25% and a life expectancy of 68.04 years. The labor force participation rate is 71.49% and the unemployment rate is 4.69%. The number of poor people is 12.51% and the human development index is 67.88 (BPS Kab. Ngada, 2021)[10].

Field consultations in Ngada were conducted in Sambinasi village, Riung district. This village has an area of 18.65 km2, and is located at an altitude between 750 - 1000 meters above sea level. The total population of Sambinasi village is 534 people, consisting of 251 men and 283 women. People in Sambinasi village are engaged in both agricultural and fisheries activities. Agricultural and plantation commodities include corn, cashew nuts and bananas. Aside from managing the household, women make an income from weaving, locally known as *ikat*. In addition, they are involved in processing and selling fish products. Women's agricultural activities focused on the planting and maintenance of commodities. Women use cultivate bamboo to plant around water springs. There is also a women's group that manage an agroforest with various types of commodities including sugar palm, cassava, banana, areca nut.

In the village development planning process, there are opportunities for women to participate in planning meetings. However, the level of women's participation in Sambinasi village is still very low. Through discussions it became apparent that women were not interested in being involved in meetings organized by the village government. One of the reasons for this disinterest is the assumption that no economic benefits can be derived from these meetings. Women who have participated in the planning process have attended previous meetings, and have even proposed activities. But the proposed activities and budget were not approved. This situation has affected women's interest to re-engage in village level planning meeting activities.

Gender mainstreaming in Ngada district is similar to the other districts that are part of the IN-FLORES project, that is, there is much work to be done. Nevertheless there are examples where the levels of participation have been high in project related activities such as the Programme for Community Empowerment (PNPM) from 2012-2015. At that time, the participation rate of women was 70%. Ngada district also has local regulations protecting women and children from violence.

Gender Context in East Manggarai District

[10] HDI of less than 0.550 for low human development, 0.550–0.699 for medium human development, 0.700–0.799 for high human development and 0.800 or greater for very high human development.

East Manggarai district borders with Ngada district in the east and in the west Manggarai district. The total area of East Manggarai is about 2,435,70 km2 with 9 sub-districts. This district consists of 176 villages. The capital city of this district is Borong. East Manggarai district has a population of 275,603 (139,128 male and 136,475 female). The population growth rate is 1.19% and life expectancy is 71.2 years. The labor force participation rate is 67.3% and the unemployment rate is 5.3%. The majority of the population is engaged in agriculture or fisheries. East Manggarai District has a human development index of 60.47 while the Gender Empowerment Index is 51.62.

Consultations were held in Nanga Rampas village which is located Sambi Rampas sub-district, East Manggarai district. Fisheries is the main economic occupation with the men catching the fish, while women do the processing and selling the fish at the market. Income from the sales is generally managed by women for household needs. When they are not fishing, the villagers are farming. Planting, harvesting and processing of produce are carried out jointly by men and women. The role of women village planning is currently very small. However, women are always given the opportunity to attend and provide input during development planning meetings.

Knowledge about gender mainstreaming polices in the environmental and forestry sectors is limited to the Regional Development Planning Agency (Bappeda). Meanwhile, other government agencies in the East Manggarai District do not yet know anything related to this policy.

In the East Manggarai area there are women's groups active in waste management with the 3R system (Reuse, Reduce, Recycle). In addition, there is also a women's group formed by the District Agency of Agriculture. The strengthening of women's groups in the forestry sector is also recognized by the FMUs and are currently under the guidance of the FMUs for forestry sector businesses. During the district's development planning sessions, female leaders were always given the opportunity to attend and express opinions, but in practice the majority of the women invited did not give their opinion.

Gender Context in West Manggarai District

Total area of West Manggarai is approximately 3,141,47 sq.km and some other large islands such as the islands of Komodo, Rinca, Longos and other small islands.[11] As of 2020, West Manggarai District was divided into 12 subdistricts, 169 villages and 5 urban villages.

West Manggarai District has a population of 264,437 thousand people, consisting of 133,330 men and 131,107 women. The labor force participation rate is 78.52% and the open unemployment rate is 3.72%. The poor population in West Manggarai is 17.71% and West Manggarai's Human Development Index is 63.89.[12]

The West Manggarai district Government is committed to services for women and children. This is in line with their District Regulation 1/2017 concerning services for the protection of women and children. The principles of Service and Protection for Women and Children Victims of Violence are: Respect and recognition of rights and dignity equal and equal humanity; Respect for the rights of victims; gender justice and equality; non-discriminatory; and the best interests of the victim.

The PPG IN-FLORES team collected data in the villages of Tanjung Boleng, Pontianak and Nanga Kantor Barat. Pontianak village has an area of 4.2 km2, Tanjung Boleng village has an area of 101.43 km2 and Nanga Kantor Barat village has an area of 31.28 km2. The total population of Tanjung Boleng village is 2,231 consisting of 1,122 men and 1,109 women. The population of Pontianak Village is 1,187 consisting of 610 Men and 577 Women. The population in Nanga Kantor Barat village is 1,344 people, consisting of 661 women and 683 men.

Women's economic activities centre on agriculture, fisheries, animal husbandry and plantation sectors. The main source of livelihood comes from fisheries. Agricultural activities are limited to growing crops for household needs. Coconut is processed into oil for sale and for daily household needs. Animal husbandry includes goats, chickens, cows and ducks. The household economic activities are managed jointly by men and women. Men do the fishing while the women process and sell the catch in the market. There is also a division of labour in managing the livestock where women manage chickens and ducks, while goats and cows are managed by men. Coconut is sold in the form of fruit and some sell it after being processed into coconut oil. Coconut oil is processed by women, the results are sold and some are for daily household consumption. No weaving was found in this area.

[11] West Manggarai in Figures 2021. (Kabupaten Manggarai Barat 2021)
[12] West Manggarai in Figures 2021. (Kabupaten Manggarai Barat 2021)

The PPG INFLORES team also conducted consultations with district level government stakeholders in West Manggarai. The government agencies included the Forestry Service, Agriculture Service, Village Community Empowerment Service, Cooperative Service, Regional Development Planning Agency (Bappeda), Tourism Office, Industry and Trade Service, forest management unit, Regional Disaster Management Agency, Farmers Group Association, Livestock agency. Participants acknowledged that there was no specific policy related to the involvement of women in natural and biodiversity resource management activities. Also, it was recognized that women's participation in the local parliament is still very low. Nevertheless there are programs targeting women in tourism management, making processed foods as products to be marketed as part of tourism promotion. Programs that target women also exist in other agencies.

4. Gender Action Plan

Output 1.1: Functional governance capacities developed and coordination mechanisms strengthened to support dialogue, information flow and decision-making between key stakeholders (within government and non-government sectors), private enterprise and community groups for facilitating integrated landscape and seascape planning and management

Under Output 1.1, the multi-stakeholder coordination platform will meet regularly to discuss progress and challenges in project implementation. These meetings will be organized and convened by the Landscape-Seascape Coordinator of each landscape. At least once a year, a stakeholder dialogue will be facilitated to allow the two multi-stakeholder forums to have a joint meeting to share lessons learned, discuss strategic concerns and recommend policy directions. This meeting will be organized by the Chief Technical Advisor.

1. Establish gender mainstreaming working group
2. Carry out a gap analysis of policies, strategies, regulations associated with strengthening and improving the role of women in conservation, business development and participation in village development
3. Based on the gap analysis, the gender working group is to prepare a set of recommendations for amending or introducing policies, strategies, and regulations to allow for the mainstreaming of gender related issues in conservation, business development and village development planning.
4. Strengthen the landscape-seascape multi-stakeholder platforms by ensuring active and meaningful participation of women.

Output 1.2: Guidelines and planning frameworks developed and approved for integrating conservation outcomes in tourism, grazing, fisheries, agriculture and other production and restoration activities.

Under Output 1.2, the respective landscape-seascape coordination platforms will oversee the development of an integrated ecosystem management framework. In this regard, the landscape-seascape coordinator will facilitate workshops through a coordination platform to socialize the integrated ecosystem management framework in each landscape. Gender mainstreaming issues will be covered in the SESA and the ecosystem management frameworks.

Output 1.3: Management of the West and North Flores landscapes-seascapes improved through establishment and/or recognition of other effective area-based conservation measures (OECMs)

Under Output 1.3, the OECM governance mechanisms may take the form of: a community driven initiative; an initiative lead by the Forest Management Unit. For those OECMs that may be developed in *adat* community areas, participants in the governance of the site would be composed of adat leaders, religious leaders and representatives of women and youth. For those OECMs that may be developed in FMU locations the management will be led by the FMU. Local communities (villages, traditional leaders, religious leaders) and local government may be invited to participate. Each of the OECMs will have a management plan agreed to by all stakeholders. The Community Mobilizers will facilitate the preparation of this management agreement.

Output 2.1: Financial and business development frameworks and other enabling strategies and financing instruments developed for conservation and sustainable management of the North and West Flores landscapes-seascapes

Under Output 2.1, the Landscape-Seascape Coordinators will hold meetings and discussions with representatives of the government of the districts, banking institutions (Bank BNI, Bank NTT, Bank BRI), to develop and implement a framework for financing conservation and community business development in both landscapes. Meanwhile, the Project Manager and Chief Technical Advisor will approach and discuss with BPDLH to explore opportunities for funding allocation for Komodo dragon conservation. The project will organize a stakeholder workshop to promote efforts to

increase conservation financing in both landscapes. This activity is carried out at least once a year by involving all potential financial institutions, ensuring equitable representation and participation of women.

Output 2.2: Financial sustainability of the protected areas in the North and West Flores landscapes strengthened through conducting financial analyses, delivering capacity building, developing business plans, strengthening tourism concession guidelines, and pilot testing new revenue-generating options
Under Output 2.2

The Landscape-Seascape Coordinators will facilitate stakeholder meetings at the landscape level to provide input on financial sustainability plans for conservation areas in the northern and western landscapes. The Landscape-Seascape Coordinator and the Community Mobilizers to identify the types of investment needed by women, and determine the types of investment development activities that are appropriate. Capacity building will be delivered on proposals and budgeting so that the women are able to access the different funds that are available.

Output 2.3: Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes, with particular focus on vulnerable communities includes those affected by the COVID-19 pandemic

Under Output 2.3, the Landscape-Seascape Coordinators, assisted by the Community Mobilizers will facilitate the assessment of capacities and opportunities for biodiversity-friendly economic development at the OECM level in collaboration with OECM governance institutions.

The Landscape-Seascape Coordinators will coordinate and discuss with financing institutions possible partnerships and develop initiatives such as KUR, BUMDes, tourism villages, and others in order to develop profitable business models and plans that economically and environmentally friendly. Capacity building will be facilitated for business actors in the community to manage their businesses well in order to ensure economic benefits and do not have a negative impact on the environment and biodiversity.

A selection committee will be established to distribute grant funds for business development at the OECM level. The committee will consist of community mobilizers, village government representatives, women and youth representatives. The committee formation will facilitated by the Landscape-Seascape Coordinator. Grant funding opportunities will announced in each landscape through government agencies, customary institutions, religious institutions, and other relevant institutions.

Output 2.4: Ecotourism capacities and offerings strengthened to enhance conservation Komodo dragon and other globally threatened species and to contribute towards achievement of sustainable development in the North and West Flores landscapes-seascapes.

Under Output 2.4, the Landscape-Seascape Coordinators will facilitate cross-landscape workshops by involving all stakeholders, both national and local, to sensitize the role of ecotourism in the conservation of Komodo dragons and other globally threatened species and their contribution to achieving sustainable development goals, with an emphasis on increasing involvement of women.

Output 3.1: Safeguard management plans developed and implemented, and a sustainability plan formulated and implementation initiated

Under Output 3.1 the project will develop gender-sensitive monitoring and evaluation plans, along with gender theory of change and participatory feedback loops. This will help ensure that gender-transformative approaches identified during project design are being implemented. In addition under Outputs 3.1 and 3.2 there will be opportunities to share the lessons learned on gender mainstreaming from the project.

The Landscape-Seascape Coordinators and Safeguard Officer will facilitate the coordination platforms to conduct periodic reviews (at least once a year) on SESP, ESMP, IPP, Gender Action Plan, Stakeholder Engagement Plan, COVID-19 Action Framework, Climate and Disaster Risk Screening, and other safeguards frameworks and management plans.

Output 3.2: Knowledge management and communication strategy developed and implemented, facilitating adaptive management and upscaling of participatory conservation approaches elsewhere in the country

Under Output 3.2, in collaboration with the Community Mobilizers and Landscape-Seascape Coordinators, the M&E-Communication Officer will oversee deployment of awareness activities at the community, local government and private sector levels, and others in accordance with the communication strategy documents that have been prepared. The Partnership Coordinator assisted by M&E-Communication Officer will disseminate important lessons learned in project implementation to relevant parties for replication. Under Output 3.2 there will be opportunities to share the lessons learned on gender mainstreaming from the project.

5. Gender Mainstreaming Framework

The IN-FLORES project is designed to ensure that gender is an integral part of all activities. The engagement based on the results of field consultations will be carried out on two targets, namely at the local government level for the part related to policies, and the second target is at the community level. At the community level it will be directed at equal involvement and participation in a series of project activities. This involvement will also ensure that women have the same opportunities. equal opportunities in terms of developing economic investment, opportunities for capacity building, equal opportunities in terms of providing input and advice during the implementation of planning activities at the village level. The gender mainstreaming framework will include the following considerations:

1) This project is primarily intended for the conservation of the habitat and endangered species, namely the Komodo dragon. In the process of developing the management and protection strategy, this project must identify the relevant forms of women's roles. The role of women at the policy level will be identified and encouraged to develop a gender responsive policy framework.
2) Targeted and specific gender consultation should be carried out in during the implementation of the IN-FLORES project. At the policy level, focused consultation should be carried out by seeking to separate targets from the structural system. This consultation model is expected to be able to produce sound substance related to the formulation of strategies for implementing gender policies, both strengthening existing policies and generating new policy ideas needed in gender responsive policies and gender sensitive development financing and budgeting.
3) Gender consultation at the community level should also be carried out separately from other consultation activities. This will allow for a better understanding of women's aspirations for example, forms of investment development that are in accordance with the characteristics of the community, investments that support the role of women in strengthening the family economy, information related to market needs from the point of view of women and other aspirations related to habitat conservation and protection.
4) In the context of development planning, the role of women was still very minimally involved. This situation must be addressed as one of the strategies for involving women in development planning. With the involvement of women in development planning, the goal of gender justice in development will begin to be understood.
5) The diversity of types of businesses in the landscape and seascapes at the IN-FLORES project sites is also a strong consideration that must be kept in mind. This diversity will of course provide a variety of models and market diversity.
6) Taking into account the diversity of types of businesses based on the landscape-seascape needed by the communities, the IN-FLORES project should consider capacity building activities in the form of trainings that should be followed and provide equal opportunities for women living in these different landscapes.
7) The project should also further identify matters relating to the equal roles of men and women. In the context of formulating an investment model that is suitable for the community, it is necessary to ensure that the model formulated is derived from aspirations that are in accordance with the needs of both parties, men and women.

Gender-responsive metrics are integrated into the project results framework, specifically the following indicators:

- **Indicator 6 (GEF-7 CI 11; IRRF Indicators 4.1.1, 4.2.1): Number of direct project beneficiaries disaggregated by gender as a co-benefit of GEF investment** (individual people)
- **Indicator 13 (IRRF Indicators 4.1.1, 4.2.1): Sustainable livelihood opportunities for local communities expanded,** as measured by the number of households (disaggregated by gender and *Adat* communities) achieving increased and diversified income from biodiversity-friendly livelihood ventures
- **Indicator 14 (IRRF Indicators 4.1.1, 4.2.1): Increased access to and availability of conservation finance instruments**, as measured by the number of community-based organizations and small business (disaggregated by gender) in the target landscapes-seascapes obtaining funding from conservation finance instruments

- **Indicator 15: Key stakeholder groups' levels of knowledge, attitudes and practices regarding OECMs and threatened species conservation in the project landscapes-seascapes improved**, as measured by results of knowledge, attitude and practices (KAP) surveys (disaggregated by women and *Adat* communities), among the following stakeholder groups: (a) subnational governmental stakeholders, (b) local communities, (c) private sector

The gender mainstreaming framework for the project is outlined below.

Project gender-mainstreaming framework

Strategic principle	Actions
1. Facilitating women empowerment	Ensure equitable representation of women in project decision-making bodies.
2. Enhancing gender equality	Ensure equitable proportion (50%) of community-level benefits realized from the project will be delivered to women.
3. Ensuring gender integration	Ensure gender considerations are integrated into landscape-seascape management frameworks, regulations, OECM management plans, financial incentive mechanisms for durable investment in sustainable management of biodiversity.
4. Promoting gender awareness	Promote gender awareness throughout the project implementation phase. Project communications and knowledge management tools will have specific materials that will be relevant to women's empowerment. Six Principles for written and oral communications (UNDP's Principles of Gender Sensitive Communications[13]) will be adapted for gender-sensitive communication: ▪ Ensure that women and men are represented equally ▪ Challenge gender stereotypes with images ▪ Avoid exclusionary forms ▪ Use equal forms of address ▪ Create a gender balance ▪ Promote gender equity through titles Gender awareness trainings will also include guidance on how to detect, intercept, respond to, and prevent (or refer cases) of sexual harassment, gender-based violence, and other problems that may emerge during project implementation.
5. Promoting equal opportunity employment	Promote equal opportunity for employment for positions within the project management office and consultancies and service providers supporting implementation of project activities. Equal pay will be provided to men and women for work of equal type in accordance with national laws and international norms, and safe working conditions for both women and men workers will be provided.
6. Zero tolerance against any form of Sexual Harassment and Gender based Violence	The project will seek to identify and address any risk of potential exposure of affected people to gender-based violence (GBV) and other abuse that may occur in connection with any of its supported activities. This will entail : o appropriate prevention and response measures to prevent and to respond effectively to GBV (incl designing activities to prevent/ address potential exposure GBV risks; o screening of personnel; o provision of training on prevention and response to GBV; o effective reporting and response protocols; o referrals for safe and confidential survivor assistance; and o prompt investigation of allegations of GBV related to project activities The project will incorporate an assessment of a guidance document named *Strategies for addressing GBV in environmental projects*[14] developed by IUCN. These Guidelines identify risks, strengthen safeguards on GBV, and tailor action-oriented recommendations toward gender responsive strategies, stakeholder and partner arrangements, resources, indicators, and outcomes.

6. Resources, Roles and Responsibilities

[13] http://www.jm.undp.org/content/dam/jamaica/docs/gender/JM-AUG-29-UNDP%20Gender%20Seal-Principles%20of%20gender-sensitive%20communications.pdf

[14] https://portals.iucn.org/union/sites/union/files/doc/iucn_strengthening_safeguards_ed.1.pdf

The project resources allocated for implementing the gender action plan and the respective roles and responsibilities are summarized below.

Position / Function	Roles and Responsibilities
National Project Director	The National Project Director (NPD) will have overall responsibility for the implementation of the project. The NPD will ensure that the project operates according to relevant national and provincial policies and procedures, including gender mainstreaming objectives.
Project Manager	The Project Manager will have responsibility for the day-to-day implementation of the project, be tasked with the important role of ensuring that stakeholders are engaged according to plan, oversee the procurement and implementation of project activities and be accountable that gender mainstreaming and other performance targets are achieved.
Project Board	The Project Board will provide strategic oversight to the project, ensuring that the interests of the representative members are considered, including gender mainstreaming objectives.
Multi-Stakeholder Coordination Platforms	Multi-stakeholder coordination platforms will be established in each of the two target landscapes-seascapes, composed of provincial and district government units, NGOs and business sector, and having equitable representation of women and *Adat* communities. The structure of the platforms will facilitate a gender responsive process of consultation and planning of the key project activities.
Gender-Social Inclusion Focal Points	Gender-Social Inclusion Focal Points (through co-financing_ will be assigned in the two project implementation units in the target landscapes-seascapes. The gender-social inclusion focal points will help promote gender issues on the project and assist in the implementation of the gender action plan and monitoring progress towards the achievement of the gender mainstreaming objectives, and advising on training topics and initiatives.
Safeguards Officer	The Safeguards Officer will oversee the implementation of the gender action plan, support delivery of trainings to project stakeholders, and provide advice across the project, e.g., regarding livelihood activities, institutional capacity building, etc.

7. Monitoring and Evaluation

The implementation of the gender action plan will be monitored and evaluated through the 6-year project timeframe. Progress towards achievement of the gender mainstreaming objectives will be monitored and evaluated, and results documented in project progress reports. Adaptive management measures will be put in place, as needed, to adjust the plan to current circumstances and according to the findings of monitoring and evaluation efforts.

Monitoring and evaluation of the implementation of the gender action plan are included in the project M&E plan, with costs allocated accordingly.

Annex 12. Climate Risk Screening

Climate & Disaster Risk Screening Tools

Climate and Disaster Risk Screening Report[1] for the IN-FLORES Project in Indonesia

Project Information

Project Title:	Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)
Project Number:	6506
Project TTL:	Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)
Assessment completed by:	James Lenoci
Estimated timeline for PCN Year:	2022
Screening Tool Used:	Rapid Screening Assessment (Natural Resources Projects)

The Climate and Disaster Risk Screening Tool provides high-level screening to help consider short- and long-term climate and disaster risks at an early stage of project design. The tool applies an Exposure–Impact–Adaptive capacity framework to characterize risks. Potential risks are identified by connecting information on climate and geophysical hazards with users' subject matter expertise of project components (both physical and non-physical) and understanding of the broader sector and development context.

The tool does not provide a detailed risk analysis. Rather, it is intended to help inform the need for further consultations, dialogue with local and other experts and analytical work at the project location to strengthen resilience measures in the course of project design.

[1] This is the output report from applying the World Bank Group's Climate and Disaster Risk Screening Project Level Tool (Global website: climatescreeningtools.worldbank.org; World Bank users: wbclimatescreeningtools.worldbank.org). The findings, interpretations, and conclusions expressed from applying this tool are those of the individual that applied the tool and should be in no way attributed to the World Bank, to its affiliated institutions, to the Executive Directors of The World Bank or the governments they represent. The World Bank does not guarantee the accuracy of the information included in the screening and this associated output report and accepts no liability for any consequence of its use.

Summary of Climate and Disaster Screening Report

1. Exposure of the project location: This step assesses the current and future exposure of the project location to relevant climate and geophysical hazards as an aggregate.

Exposure Rating

High

Climate and geophysical hazards that are likely to be relevant to the project location both in present and in the future

- Extreme Precipitation and Flooding
- Storm Surge
- Strong Winds
- Geophysical Hazards

2. Impacts on the project's physical infrastructure and assets: This step assesses the current and future impacts of identified climate and geophysical hazards on the project's physical infrastructure and assets as currently designed.

Impact Rating

High

Relevant project subsectors

- Biodiversity
- Coastal Flood Protection

3. Modulation of risks by the project's soft components and development context: This step assesses how the project's soft components as currently designed, together with the project's broader development context, modulate the risk from climate and geophysical hazards. This step also considers particularly vulnerable groups, namely women, migrants and displaced populations.

Modulation of risks by the project's soft components

Reduce Risk

Selected soft components

- Policy Development
- Long-term Strategic Planning
- Capacity Building-Training-Outreach
- Data Gathering, Monitoring and Information Management Systems

Modulation of the risks by the project's development context

Reduce Risk

Women identified as particularly vulnerable to impacts from climate and geophysical hazards

✓

Components designed to help alleviate the risks to women from climate and geophysical hazards

✓

4. Risk to the outcome/service delivery of the project: This step assesses the level of risk to the outcome/service delivery that the project is aiming to provide based on the previous ratings.

Outcome / Service Delivery Rating

Moderate

Notes from the Screening Process

1. Exposure of the project location	Exposure Rating	High

This step provides information on exposure to climate and geophysical hazards at the project location. The Exposure rating is High. The project location has experienced climate and geophysical hazards in the past and is expected to experience these in the future with high intensity, frequency, or duration. The rating is based on climate information drawing on global, quality controlled data sets from the Climate Change Knowledge Portal. It is useful, for example to understand the temperature range and the rate of annual or decadal increase in a region, or precipitation patterns for historical and future time frames and seasonality shifts. Understanding the trends of hazards is important as they act individually and collectively on project components/subsectors. The following guiding questions are used to assess exposure:

- *What have been the historical trends in temperature, precipitation and drought conditions?*
- *How are these trends projected to change in the future in terms of intensity, frequency and duration?*
- *Has the location experienced strong winds, seal level rise, storm surge, and/or geophysical hazards in the past that may occur again in the future?*

User Notes:

As described in the Updated Nationally Determined Contribution (NDC)[2], as an archipelagic country with areas of 7.81 million square kilometers where marine area occupies about 74.3% of the country areas, Indonesia is vulnerable to natural disasters that will likely be exacerbated by climate change, especially in low-lying areas. The country has already experienced extreme climate events such as floods and drought, and is anticipating long-term impacts from sea level rise. As the Indonesian population grows, climate change induced natural disasters are expected to affect a greater number of people and their assets, making it difficult for them to escape poverty. As the country with the second longest coastline in the world, Indonesia faces a high risk of coastal inundation and sea level rise that may affect up to 42 million people living in low laying coastal zones.

The impacts of climate change on livelihoods are superimposed on a number of other environmental and social stresses, as livelihoods, particularly in rural areas, depend upon the endowment and conservation of natural resources, as well as infrastructure assets and institutional support systems. For example, changing cropping patterns in some parts of the country exacerbate certain environmental hazards such as landslides, forest fires, and floods. Global warming poses significant risks to local communities, e.g., heat stresses, vector-borne diseases, and water contamination are expected to intensify.

Summary of climate and disaster hazards in the project jurisdictions

Apart from climate hazards, there are substantial natural disaster and geophysical hazards (including earthquake, tsunami, volcano hazards) in many parts of Indonesia, including in the project jurisdictions. Based on the information summarised in the World Bank disaster risk reduction online tool Think Hazard (https://thinkhazard.org), the disaster hazards in the project jurisdictions are summarized below in **Table 1**.

Table 1: Summary of disaster hazards in project jurisdictions

Hazard	Manggarai Barat	Manggarai	Ngada
Coastal Flood	HIGH	MEDIUM	MEDIUM
Tsunami	HIGH	HIGH	HIGH
Cyclone	HIGH	HIGH	HIGH
Wildfire	HIGH	HIGH	HIGH
Earthquake	MEDIUM	MEDIUM	MEDIUM
Landslide	MEDIUM	MEDIUM	MEDIUM
Volcano	MEDIUM	MEDIUM	MEDIUM
Extreme heat	MEDIUM	MEDIUM	MEDIUM
River flood	VERY LOW	VERY LOW	VERY LOW
Urban flood	VERY LOW	MEDIUM	LOW
Water scarcity	VERY LOW	VERY LOW	VERY LOW

Notes:

- **Coastal flood hazard** High hazard level defined as: potentially damaging waves are expected to flood the coast at least once in the next 10 years.

[2] Updated Nationally Determined Contribution, Republic of Indonesia, 2021

- **Tsunami hazard**. High hazard level defined as: there is a more than a 40% chance of a potentially damaging tsunami occurring in the next 50 years.
- **Cyclone hazard**: High hazard level defined as: there is more than a 20% chance of potentially damaging wind speeds in the project area in the next 10 years.
- **Wildfire hazard**. High hazard level defined as: there is a greater than a 50% chance of encountering weather that could support significant wildfire that is likely to result in both life and property loss in any given year.
- **Earthquake hazard.** Medium hazard level defined as: there is a 10% chance of potentially damaging earthquake shaking in the project areas in the next 50 years.
- **Landslide hazard**: Medium hazard level defined as: the project areas have rainfall patterns, terrain slope, geology, soil, land cover, and (potentially) earthquakes that make localized landslides an infrequent hazard phenomenon.
- **Volcano hazard**: Medium hazard level defined as: the project areas are located less than 50 km from a volcano for which a potentially damaging eruption has been recorded in the past 10,000 years and that future damaging eruptions are possible.
- **Extreme heat hazard**. Medium hazard level defined as: there is more than a 25% chance that at least one period of prolonged exposure to extreme heat, resulting in heat stress, will occur in the next five years.
- **River flood hazard**. Very low hazard level defined as: that there is a chance of less than 1% that potentially damaging and life-threatening river floods occur in the coming 10 years (return period of c. 1 in 1000 years).
- **Urban flood hazard**. Medium hazard level defined as: there is a chance of more than 20% that potentially damaging and life-threatening urban floods occur in the coming 10 years.
- **Water scarcity hazard**. Very low hazard level defined as: selected droughts will occur much less than once every 1000 years.

Past and Future Climate Trends: temperature and precipitation

Observational datasets using the Climate Hazards Group Infrared Precipitation with Station (CHIRPS), ERA-interim reanalysis and WRF RCM outputs have been used to generate mean seasonal rainfall maps over Indonesia. For the near future, a precipitation decrease is expected during the monsoonal wet season (from December to February) (Chandrasa and Montenegro, 2020). Overall, no major changes in total annual precipitation are expected, indicating a continuing dominance of the Indo-Australian monsoon over the Indonesian islands. By the end of the century, GCMs estimate that precipitation will be characterized by a shift in the onset of wet/dry seasons, showing a peak of dry conditions shifting by one month, and peak of wet conditions occurring two months in advance when compared to the baseline and near-future periods (Chandrasa and Montenegro, 2020). Finally, soil moisture is estimated to decrease by the end of the century due to increasing evaporation associated with rising temperatures (IPCC, 2014).

Regarding temperatures, changes in extremes have been reported for the period 1983-2012. For example, the frequency of cool days and nights has decreased, whereas the number of warm days and nights has increased. Observational data from 88 weather stations show a significant increase of minimum and maximum temperatures across Indonesia by 0.18 and 0.30^{o}C decade^{-1} over the period 1983-2012 (Tangang et al., 2017). Furthermore, the frequency of warm days and nights was reported to be higher during ENSO events (Salimun et al., 2014). Temperature projections, using 15 climate models from CMIP-5, estimate a rise of approximately 0.5^{o}C in 2040 (Kinose et al., 2020). In addition, high resolution climate models show a temperature increase of 1.6 to 2.0 ^{o}C by 2060 relative to the 1971-2000 period, and up to 3.8^{o}C under RCP 8.5 by the end of the century (CRU, 2015; McGregor et al., 2016).

Natural Hazards, Exposure, and Vulnerability

In the last 10 years, heavy rainfall events have resulted in frequent landslides and river flooding. According to CRED (2020), since 2015, close to 700 casualties have been linked to heavy rains and, during this period, more than 1 million people have been displaced. Severe droughts and forest fires were also reported in 2015, causing the displacement of 400 thousand people. Moreover, sea level rise is expected to have considerable impacts in Indonesia, as estimates indicate that 10-50 million people will be living below sea level by 2100.

The ND-GAIN index (2018) has placed Indonesia at a moderate to high risk to climate related hazards (placed 97 out of 181 countries). The ND-GAIN analysis concluded that Indonesia is on the road to responding effectively to the risks associated with climate change, but adaptation needs and urgency to act are greater. The country was rated as the 76th most vulnerable and the 90th least ready country.

Climate Resilience

The BMKG (2020) has a robust multi-hazard early warning and climate information system divided in the following major components:

- *Hazard Early Warning System*: tropical cyclones, earthquakes, tsunamis, forest fires etc.
- *Climate information*: days without rain, sea surface temperature, El Niño Index, Pacific sub-surface temperature.
- *Air quality information*: Sulphur dioxide, nitrogen dioxide, ozone etc.
- Climate change information: precipitation and temperature trends and extreme weather indicators.

- *Agrometeorological*: soil water information based on evapotranspiration rates is measured nationwide, dry spell information is updated every ten days, as well as a drought early warning system (SDEWS) forecasting consecutive dry days and/or consecutive no-rainy days.

The BMKG has developed the Climate Change Information System (CCIS) which is a central web-based climate information dissemination platform. Some of these products are then shared with extension services that assist farmers on their crop calendars and crop selection. The CCIS provides extension services with the following products: shifts on rainy and dry season onset, vulnerability to drought map for rice producing provinces, Climate Field Schools for farmers in crop producing provinces, among others (USAID, 2014).

The Indonesian National Disaster Management Agency (BNPB) is in charge of managing and coordinating warnings at a local level and to work together with extension officers to make the information accessible for farmers.

The Department of Agriculture, through the National Center for Agricultural Extension Development, is the main institution coordinating the use of climate information for agricultural planning in Indonesia.

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Climate risks to Komodo habitats

Recent research indicates that climate change over the next few decades could have major impacts on Komodo dragons[3]. The climate-change models project that over the next century, Indonesia will experience unprecedented rates of both temperature rise and reduced rainfall,[4] leading to a prolonged dry season with increased fire frequency and decreased soil moisture.[5] This will cause a contraction of mesic forest cover and an expansion of drier vegetation communities, such as savannah woodland.[6] This vegetation transformation is likely to negatively impact Komodo dragons by altering resource availability for survival and reproduction.[7] In addition, rising sea levels are likely to inundate low-lying valleys that currently support the highest densities of Komodo dragons, leading to a permanent loss of their preferred lowland habitat.[8]

Depending on the climate change scenarios and the mitigation policies to reduce greenhouse gas emissions, Jones et al (2020) found that in 2050 there is the possibility of the Komodo dragon distribution range potentially declining by 8–87%, leading to a decrease in habitat-patch occupancy of 25–97% and declines of 27–99% in abundance across the species' range. The worst predictions only happen in the extreme condition (i.e. temperature increase 6°C and the greenhouse gas emission rise throughout the 21st century) when only Komodo dragons on Rinca and Komodo Island could survive. However,

[3] Jones A.R. et al 2020. Identifying island safe havens to prevent the extinction of the World's largest lizard from global warming. Ecol Evol. 2020;10:10492–10507. https://doi.org/10.1002/ece3.6705

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[5] Fernandes K. et al. 2017 Heightened fire probability in Indonesia in non-drought conditions: the effect of increasing temperatures. Environmental Research Letters. Volume 12 Number 5. https://iopscience.iop.org/article/10.1088/1748-9326/aa6884

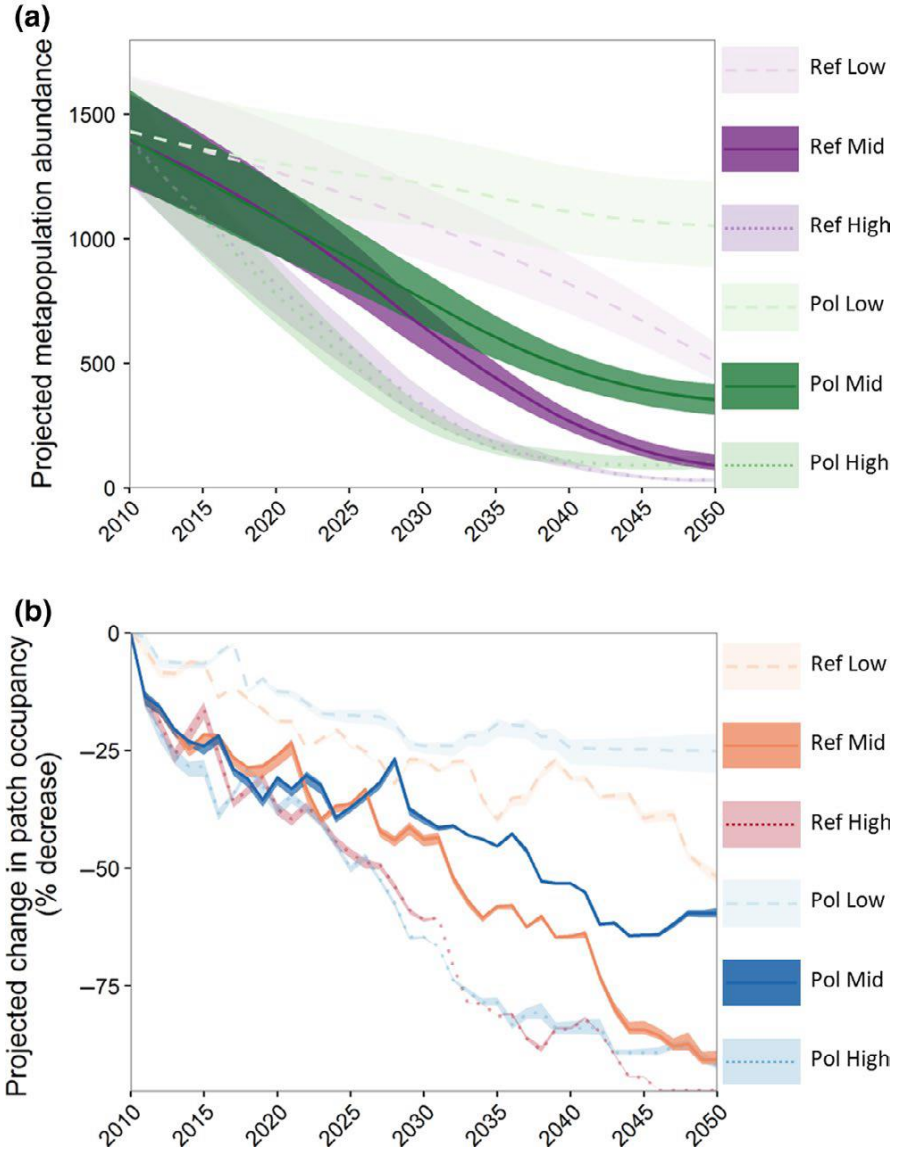
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according to their study, even in the best scenario (i.e. temperature increase can be maintained to maximum 1,5°C and the greenhouse gas emissions decline after 2020) there are still possibilities of slight changes in Komodo dragon patch occupancy by 2050. These changes most likely will happen on small island populations and on Flores Island where Komodo dragon populations are thought to be more vulnerable to the impact of climate change compared to those who live in Komodo and Rinca Islands.

The two figures below were taken from the Jones et al (2020) publication, showing projected abundance and occupancy for the global distribution of Komodo dragons under six climate change scenarios from 2010 to 2050: (a) abundance of female animals and (b) habitat patch occupancy shown as% decline compared to 2010 levels. Lines indicate the 50th percentile value from 200 coupled niche population models (NPM) with plausible demographic parameters (each simulated 1,000 times); shading shows the bounds of the 5th and 95th percentiles. The difference between Pol (RCP 2.6) and Ref (RCP 8.5) emission scenarios under each of the three climate sensitivity parameterizations (High, Mid, and Low) are indicative of the effect of emission policy on NPM projections.



2. Impacts on the project's physical infrastructure and assets	Exposure Rating	High

This step provides an indication of the potential impacts of climate and geophysical hazards on the project's physical infrastructure and assets as currently designed under relevant subsectors. The Impact rating is High. Climate and geophysical hazards are likely to significantly impact the structural integrity, materials, siting, longevity and overall effectiveness of your investments. The impact rating is based on the exposure rating and the understanding of the project's sensitivity by the user. Please note that for this step the tool is helping judge the effect these impacts may have on the investment, and the ability of the project to sustain and enhance physical infrastructures and assets under a changing

climate. Understanding where risks may exist and identifying where further work may be required to reduce or manage these risks can help inform the process of dialogue, consultation and analysis during project design.

The following guiding questions are used to assess potential impacts:

- *Can identified climate and geophysical hazards affect the welfare, livelihoods, or access to education of project beneficiaries?*
- *Does the project design take into account recent trends and future projected changes in identified hazards?*
- *Does the project design consider how the structural integrity, materials, siting, longevity and overall effectiveness of project infrastructure, if applicable, may be impacted?*
- *In particular, does the design "lock in" certain decisions for the future?*

User Notes:

Hazard levels associated with flooding, wildfires, cyclones, tsunamis, and other extreme weather and post-disaster conditions are high in the project jurisdictions and potential short-term incidents and long-term consequences would affect local beneficiaries.

Future projected changes with respect to climate risks will be incorporated into the set of management measures included in the integrated ecosystem management frameworks for the two target landscapes-seascapes. Moreover, increased protection of high biodiversity value areas (HBVAs) will help safeguard important ecosystem services, such as soil and water conservation, thus securing livelihoods for local and *Adat* communities.

Proposed project activities also include delivering technical assistance for livelihood improvements and facilitating conservation and restoration of degraded habitats. Potential physical assets include ecotourism homestay and other small infrastructure, farm structures and equipment, etc. The management plans developed for the OECMs and the business plans prepared for biodiversity-friendly livelihood ventures will include considerations on climate-proofing physical assets and implementing good agricultural, fisheries, and ecotourism practices to protect against climate and disaster hazards.

The full-time technical positions on the project, including the Chief Technical Advisor, Landscape-Seascape Coordinators, and Community Mobilizers will provide oversight and ensure appropriate safeguards are implemented that account for current and future-projected hazards.

3. Modulation of risks by the project's soft components and development context

This step provides information on how the potential impact on key components/subsectors due to exposure from hazards is modulated by the project's soft components and broader development context. This step also takes into account particularly vulnerable groups including women, migrants and displaced populations.

Modulation of risks by the project's soft components	Modulation of risks by the project's development context
Reduce Risk	Reduce Risk
This rating reflects how the project's soft components (enabling and capacity building activities) can modulate risks. The right kind of capacity building measures could increase preparedness and long-term resilience and reduce risk.	*This rating reflects how the larger development context, including the sector context and other social, economic and political factors can modulate risk.*
User Notes: The project strategy is predicated on delivering multiple benefits through mainstreaming biodiversity conservation across the multi-use target landscapes-seascapes in Flores. Participatory integrated ecosystem management plans frameworks include management provisions for mitigating climate and disaster risks. The project will advocate for mainstreaming the priority actions outlined in the frameworks into provincial and district development and land use planning frameworks. Multi-stakeholder coordination platforms will facilitate	**User Notes:** The gender mainstreaming strategy of the project has a strong emphasis on facilitating new and strengthened livelihood opportunities for women. The project will directly benefit 2,500 people, of whom 1,250 are women, through sustainable natural resource management and livelihood improvement. Livelihood options for women and other marginalized groups, including Adat communities, will be strengthened through facilitating cooperation with governmental

collaboration towards achieving improved conservation outcomes and sustainable natural resource management. Substantial project resources are also allocated for capacity building to develop and strengthen capacities among key project stakeholders and instilling adaptive management processes to ensure the durability of project results.	programs and initiatives and partnerships with business enterprises and financial institutions. Women, *Adat* communities and other marginalized groups will have equitable representation in landscape-seascape governance mechanisms. Involvement of *Adat* communities will be ensured through free, prior and informed consent (FPIC).

4. Risk to the outcome/service delivery of the project	**Outcome/Service Delivery Rating**	**Moderate**

This step provides an indication of the level of risk to the outcome/service delivery that the project is aiming to provide. The Outcome/Service Delivery rating is Moderate. This rating is derived from hazard information, subject matter expertise, contextual understanding of the project, and modulated on the basis of the project's soft components and broader development context. Keep in mind that in considering resilience measures for risk management, each element of risk should be taken into account, not just the collective risk rating at the outcome/service delivery level.

User Notes:

The project interventions are designed to safeguard key threatened and iconic wildlife species through cross-sectoral engagement, community participation and innovative management approaches across two landscapes-seascapes in Flores, Indonesia.

The overall risk to the outcome / service delivery of the project is considered **Moderate.**

The approaches of the project focus on maintaining and restoring sensitive habitats through improved protected area management, enhanced connectivity outside protected areas, and empowering local communities and other landscape-seascape management stakeholders through innovative conservation measures.

The project will implement a series of measures to mitigate the risks associated with climate and disaster hazards on outcome/service delivery. Implementation of integrated landscape-seascape planning reduces climate and disaster risks through increased awareness on the value of safeguarding globally significant biodiversity and demonstration of how improved integrated approaches can generate mutually supportive socioeconomic and natural resource benefits.

With the aim to broaden stakeholder involvement and financing of sustainable, biodiversity-friendly livelihood initiatives, the project will work on facilitating sustainable livelihood options that provide a good return on investment, thus attracting business enterprises and other investors. To attract increased financial resources from the government as a part of ongoing programs, the project will strongly promote participatory integrated landscape-seascape planning and management approaches that involve viable livelihood support models.

The project will ensure that qualified professionals are engaged and provide supervisory and advisory support and coordination. Knowledge generated from the project interventions will be disseminated among key stakeholder groups, facilitating mainstreaming and upscaling in other regions in the country.

Annex 14. COVID-19 analysis and action framework

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

In response to GEF Secretariat guidance on COVID-19 considerations for project design and in alignment with UN's response to COVID-19 and Indonesia's COVID-19 recovery efforts, this annex presents an analysis and action framework for the IN-FLORES project in Indonesia, analysing the risks associated with the crisis and identifying associated risk mitigation measures, and assessing potential opportunities under the project to strengthen ecologic and socioeconomic resilience as national and local governments move into recovery phases.

COVID-19 cases in Indonesia

In Indonesia, from 03 January 2020 to 31 March 2022, there have been 6,009,486 confirmed cases of COVID-19 with 155,000 deaths, reported by the WHO (source: World Health Organization: Indonesia: WHO Coronavirus Disease (COVID-19) Dashboard With Vaccination Data | WHO Coronavirus (COVID-19) Dashboard With Vaccination Data).

Losses suffered by Indonesia's tourism industry due to the Covid-19 pandemic have exceeded Rp100 trillion (S$9.5 billion), according to the Indonesian Hotel and Restaurant Association (PHRI). This is a hard blow to a tourism economy that supplied 5.7% of the country's gross domestic product and provided 12.6 million jobs in 2019. Indeed, in 2021 only 45 foreign tourists visited Bali after Indonesia closed its borders almost the whole year to prevent the spread of COVID-19, as other countries did the same. The situation show signs of improving this year and the resort island has steadily reopened the door for tourists. Other tourist destinations are also expecting full recovery. (https://www.thejakartapost.com/opinion/2022/03/27/bali-expecting-waves-of-travelers-after-only-45-tourists-came-in-2021.html.)

The downturn in tourism was also felt in East Nusa Tenggara (NTT) where there was a significant decrease in number of tourists visiting Labuan Bajo. Throughout 2020, there were only 44,543 tourists. This was a contraction of 82 percent compared to 2019 when there were 256,171 visitors. The decline was due to restrictions on mass movement during the Covid-19 pandemic. Most of the COVID-19 related restrictions have now been removed and barring further waves of infections, the prospects for a recovery in the tourism sector in 2022 and into 2023 is promising. Nevertheless, as King et al (2021) point out in their article on reimagining tourism in a COVID-19 world there is a long way to go before the full consequences of the pandemic are manifest in the tourism sector. The economic damage and social disruption will not go away immediately, but they argue that there are new opportunities and possibilities to rebuild and reimagine tourism in a more resilient form.

In the agriculture sector, the COVID-19 pandemic affects Indonesia's food security by disrupting food distribution, increasing transaction costs, and lowering the purchasing power of both rural and urban households. The poverty rate increased to 10.2% in September 2020, up from 9.8% in March 2020. This represented an addition of 1.13 million people below the poverty line, following a 1.63 million increase in March 2020 from September 2019. The unemployment rate also increased to 7.1% in August 2020, up from 4.9% in February 2020. On the supply side, there were some disruptions in the availability of certain food items, such as sugar and onion, causing price increases early in the pandemic, which has since eased as the government allowed more imports (LPEM, 2021).[1]

On the fiscal side, the government cut Ministries and Institutions' budgets and then reallocated around IDR 695.2 trillion for Covid-19. While the realisation of debt financing reached IDR 1,226.8 trillion during 2020, the new debt increased more than three times or grew 180.4 percent from the realisation of debt financing in 2019, which only reached IDR 437.5 trillion. The consequences of this situation forced the government to revise all development targets in 2020 set in the National Mid-Term Development Plan (RPJMN) 2020-2024 and the Government Work Plan (RKP) 2020, thus impacting infrastructure development that allocated in the form of major project costs IDR 118,712.4 billion in 2021's RKP (Muhyidin and Nugroho, 2021).[2]

[1] Source: Anna Z., Djuari J., Khan A. M. A., 2021 Covid-19 impacts on small-scale tuna fisheries operation in eastern Indonesia: a preliminary snapshot study of pole-and-line and handline tuna fishers' perceptions. AACL Bioflux 14(3):1778-1785. http://www.bioflux.com.ro/docs/2021.1778-1785.pdf

[2] Source: Ikhsan, M and Virananda, I G.S., 2021 How COVID-19 Affects Food Security in Indonesia. LPEM-FEB UI Working Paper 061, June 2021, ISSN 2356-4008 https://www.lpem.org/wp-content/uploads/2021/07/WP-LPEM-061_How_COVID-19_Affects_Food_Security_in_Indonesia.pdf

The fisheries sector has been affected by the decline of global demand due to the pandemic situation. It also impacted the number of fishing trips, the number of catches and product's price at the dockside level, demand from global markets, and fisheries product distribution and logistics systems. For example, during the Covid-19 pandemic, the tuna export from Indonesia has declined by up to 75%, there is an oversupply of frozen tuna on the canning industry, there are increases in tuna exporting cost and overcapacity of tuna cold-storage due to decreases on demand (Anna et.al, 2021).[3]

COVID-19 Risk and Opportunity Analysis

The COVID-19 pandemic has disrupted social and economic circumstances across the globe. Considering the unique risks associated with the pandemic and eventual recovery, specific safeguards have been developed and integrated into the project design and further elaborated in the environmental and social management plan (ESMP).

Active participation of local communities is an important part of the project design and COVID-19 could affect their ability and willingness to take part in certain activities. Working with multiple stakeholders and developing participatory landscape-seascape management frameworks will require active engagement of local communities. Additionally, local governments could become preoccupied with tending to the COVID-19 pandemic and recovery efforts and place a reduced level of importance to the project. Proactive stakeholder engagement will be facilitated through the multi-stakeholder coordination platforms. The timing of the IN-FLORES project is opportune, in that the project strategy focuses on promoting participatory conservation, thus contributing to the COVID-19 recovery efforts by strengthening capacities of local stakeholders to participate in conservation and enhancing their resilience to cope with economic disruptions. Furthermore, the work of forum members will involve the mainstreaming of biodiversity into the different sectors of the economy. This will provide an opportunity for the project to engage with the government on "green recovery" strategies.

A prolonged or recurrent COVID-19 pandemic (or similar crisis) would create challenges for the implementation of the project, i.e., associated with activities involving physical stakeholder workshops, delivering training in the field, convening community meetings, etc.

The project will institute adaptive management as needed to reduce the risks of community spread. For example, meetings will be held remotely using virtual platforms as much as possible, health hazard assessments will be considered for gatherings of multiple people, and mitigation measures will be implemented, e.g., ensuring physical distancing, providing personal protective equipment, avoiding non-essential travel, delivering trainings on risks and recognition of symptoms, etc. As part of the regular review of the Social and Environmental Screening Procedure (SESP), COVID-19 related risks will be addressed, and specific mitigation measures will be updated and implemented

COVID-19 Project Strategy Statement

The project will implement adaptive management measures in line with the country's COVID-19 recovery strategy and their continued response to the pandemic. Green recovery and resilience principles will be incorporated into the project activities, and the safety and health of project beneficiaries will be prioritised across all components of the project.

COVID-19 Action Framework

Specific actions that facilitate opportunities associated with the COVID-19 pandemic are described below and integrated into the project design.

Integrating Resilience and Green Recovery Principles through Protection, Restoration, and Sustainable Use of Natural Resources

The project design is predicated on strengthening participatory conservation. Facilitated by multi-stakeholder collaborative processes, the project strategy promotes integrated landscape-seascape approaches for achieving sustainable management of natural resources. Bringing together cross-sectoral and multiple stakeholders into participatory processes will help enhance the knowledge of the risks associated with zoonotic diseases like COVID-19

[3] Source: Muhyiddin and Nugroho, H., 2021 Indonesia Development Update: A Year of Covid-19: A Long Road to Recovery and Acceleration of Indonesia's Development. The Indonesian Journal of Development Planning Volume V No. 1 April 2021/Page: https://doi.org/10.36574/jpp.v5i1.181

and how landscape-seascape management approaches can help mitigate the risks and build social and ecological resilience of local communities. This is consistent with the "One Health" principle, which promotes multi-stakeholder communication and collaboration in achieving better health outcomes – this includes public health threats at the human-animal ecosystem interface.

The IN-FLORES project also promotes strengthened livelihoods, which will contribute to increased food and income security of local communities, strengthening their coping capacities in response to the COVID-19 pandemic and other socioeconomic disruptions. An important element of Component 2 is to work with communities on investing in biodiversity friendly businesses. These will be developed in those areas adjacent to the OECMs. The emphasis will be on locally owned initiatives where individuals/groups are trained in developing and operating small-scale businesses that are integrated into the local economy. The capacity building will be critical to enabling the business operators to manage both the upturns and downturns in the tourism sector. This work will be supported by the creation of innovative financial and business development frameworks for conservation and sustainable management across the North and West Flores landscape-seascapes.

Proposed Actions	Corresponding project outputs
Revitalize and build capacity among local governance mechanisms to perform the role of conveners of multiple stakeholders through bottom-up development processes.	1.1, 1.2, 1.3, 1.4
Promote sustainable natural resource management that limits encroachment into environmentally sensitive areas, thereby safeguarding critical habitats and reducing human-wildlife interactions.	1.2, 1.3
Increase awareness among local communities of the value of natural resources, including safeguarding the safety and health of local communities.	3.2
Promote restoration of habitat fragmentation and conservation of intact ecosystems, through participatory modalities.	1.3
Community-based natural resource management, including management of human-wildlife conflicts.	1.3, 2.3
Deliver capacity building of local community-based organizations on entrepreneurship opportunities, support to enterprises and training on accessing finance.	2.3, 2.4

Raising awareness, Communications, and Knowledge Management

Communications and knowledge management are central aspects of the project strategy. The project communications and knowledge management strategies will include specific methods and messaging for raising awareness and disseminating information on COVID-19 risks. Considering that there will likely be increased use of virtual platforms for engaging with stakeholders, the project will work closely with governmental and non-governmental partners on developing and strengthening remote working arrangements. When field work is carried out, the project will integrate basic public health related awareness-raising into capacity building activities, e.g., demonstrating the use of personal protective equipment, promoting physical distancing, and communicating risks and symptoms of COVID-19.

Proposed Actions	Corresponding project outputs
Incorporate COVID-19 related risks and issues into project communication and knowledge management strategies.	3.2
Evaluate COVID-19 risks at the project landscapes-seascapes and integrate risk mitigation measures into the landscape-seascape management frameworks and OECM management plans.	1.2, 1.3
Facilitate regional and global learning.	3.2, 3.3
Promote green recovery in line with the country's COVID-19 recovery strategies.	1.2, 1.3, 2.3, 2.4

Annex 14: Baseline report on threats and root causes, and conservation practices and needs

Prepared by: Burung Indonesia

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID**: 10728

Table of contents

1.1. Project overview and objectives
1.2. Methodology and limitations
1.2.1. Data collections and analysis
1.2.2. Limitations
2. Key terrestrial and marine species in Flores
2.1. A general overview of Flores biodiversity
2.2. Komodo dragon
2.3. Sea turtles
2.4. Yellow-crested cockatoo
2.5. Flores hawk-eagle
3. The conservation status of the Komodo Dragon and other key terrestrial and marine species
3.1. Komodo dragon conservation status
3.2. Sea turtle conservation status
3.3. Yellow-crested cockatoo conservation status
3.4. Flores hawk-eagle conservation status
4. Current threats to key species on Flores, and their causes
4.1. Habitat disturbance and land-use change
4.2. Invasive alien species
4.3. Limited Dispersal State for Komodo
4.4. Biopiracy
4.5. Climate change
4.6. Roadkill
4.7. Illegal trade
4.8. Bycatch
4.9. Consumption
5. Human-wildlife conflict and measures to reduce it on Flores
5.1. The current human-wildlife conflict situation on Flores
5.2. Conflicts types and assessment results
5.2.1. Livestock predation
5.2.2. Crop raiding
5.2.3. Attacks on humans
5.3. Current research on HWC in Flores
5.3.1. Perceptions and quantitative social psychology studies of human-Komodo conflict
5.3.2. Qualitative anthropology studies of human-Komodo conflict
5.4. Human-Komodo conflict hotspots on Flores
5.5. Existing HWC mitigation and prevention strategies
5.5.1. Human-Komodo conflict involving adults
5.5.2. Human-Komodo conflict gender study
5.5.3. Human-Komodo conflict involving children
6. Existing conservation practices on Flores
6.1. Community-based conservation of important habitat in Mbeliling
6.2. Customary conservation practices in Torong Padang (Riung)

6.3. Community-based Komodo dragon conservation in Pota
6.4. The JATABARA community group on Mount Kelimutu
6.5. Communities in Wae Rebo and Ruteng nature reserves
6.6. Coalition for manta rays protection in Lamakera
6.7. Community-based sea turtle conservation in Flores
7. Conservation needs for key terrestrial and marine species in Flores
7.1. Human wildlife conflict mitigation and prevention strategies
7.2. Habitat protection
7.3. Research requirements
7.4. Education and awareness
7.5. Population monitoring
7.6. Key species conservation strategies and action plans
References

List of tables

Table 1. Komodo dragon haplotype distribution. Sample size (N) is reported for each island
Table 2. Details of six plausible future scenario climate model parameterizations
Table 3. Recorded instances of Flores hawk-eagle keeping, illegal trade and hunting
Table 4. Comparison of answers from male and female participants
Table 5. Comparison of results from the children's awareness program

List of figures

Figure 1. Komodo dragon distribution map
Figure 2. Map of Komodo National Park and its nine zonation areas
Figure 3. Komodo dragon haplotype distribution
Figure 4. Spatial distribution of Flores hawk-eagle habitats on Flores
Figure 5. Current Komodo dragon populations
Figure 6. Distribution of feral dogs in north Flores and west Flores
Figure 7. Predicted Komodo dragon metapopulation abundance
Figure 8. Study area roadkill assessment
Figure 9. Typical local enclosure (left) and improved enclosure to prevent depredation
Figure 10. Qualitative studies in Riung by KSP
Figure 11. Map of human-Komodo conflict hotspots on Flores
Figure 12. Public consultation and discussion on the Torong Padang Peninsula
Figure 13. Woven fabric handicraft training in Sambinasi village
Figure 14. Training on biogas installation and composting
Figure 15. A page from the storybook

1. Introduction

1.1. Project overview and objectives

This report aims to collect and compile information about Flores' wildlife, and all interactions between communities, governments and other stakeholders in efforts to strengthen wildlife conservation. It is argued that with comprehensive data and insights, long-term conservation strategies will be better crafted and measured, and more effective in ensuring the coexistence of people and wildlife in Flores while supporting sustainable development. The Investing in the Komodo dragon and Other Globally Threatened Species in Flores (IN-FLORES) Project's main focus is the Komodo dragon; the most well-known and studied of Flores' key species. This report also includes data and information from studies on other threatened species in Flores to provide an overview of their conservation status and the island's conservation needs.

1.2. Methodology and limitations

1.2.1. Data collection and analysis

All data was collected through desktop research using several approaches: (1) Google Scholar database (https://scholar.google.co.uk/) searches with the keywords "wildlife, conflict, research, Flores" and other keywords for specific sections, such as "manta overfishing Flores" or "bycatch Flores"; (2) correspondence with other researchers known to have studied the region; and (3) direct requests to organizations that have studied its wildlife. Organizations approached to request data for the project included the Komodo Survival Program (KSP), Komodo National Park (KNP), the East Nusa Tenggara Provincial Natural Resources Conservation Agency (BBKSDA NTT), Burung Indonesia and the World Conservation Society (WCS). None of the available data was reanalyzed, and all references are to the original researchers' reports, data and insights.

1.2.2. Limitations

Limitations encountered during the course of the project were technical and non-technical. The first issue involved Covid-19 pandemic-related restrictions making data only available through public meetings inaccessible, as greater restrictions were imposed on flights between different islands in Indonesia. Another limitation was the lack of peer-reviewed data on wildlife issues in Flores. Where peer-reviewed data were absent, some organizations' internal reports had statements saying their data should not be referenced.

2. Key terrestrial and marine species in Flores

2.1. A general overview of Flores' biodiversity

Flores lies in the Wallacea region between the islands of Sumbawa to the west, Sumba to the south and a number of islets to the east. Flores covers an area of 13,540 km² and is seasonally dry, affected by monsoon and trade winds. Rainfall averages less than 1,000 mm a year and varies with altitude from 500 mm annually in coastal areas to more than 3,000 mm a year in the central mountain range. The western part of the island is slightly wetter than the eastern, and the north coast is drier than the south. The main habitat types are mangrove forest, savannah and grasslands, dry and moist deciduous monsoon forest, semi-evergreen forest and montane forest. Natural forest covers approximately 28% of the land surface and has a patchy distribution from sea level to over 2,500 m (Monk et al., 1997).

Flores has unique marine and terrestrial fauna. As one of the Lesser Sundas, the island has a number of notable species from different taxonomic groups. The Komodo dragon (*Varanus Komodoensis*) is its most iconic species, but other key protected species highlighted in this report include sea turtles, and avifauna including the yellow-crested cockatoo and Flores hawk-eagle.

2.2 Komodo dragon

The Komodo dragon (*Varanus Komodoensis*) is one of Indonesia's most internationally recognized endemic species. Called '*biawak Komodo*' in the Indonesian national language, to the native people on Komodo island it is known by its local name; '*ora*'. The Komodo dragon is the largest living lizard and one of the most famous reptiles in the world (Ariefiandy et al., 2017).

Taxonomy

The Komodo dragon belongs to family *Varanidae* together with approximately 70 other varanid species found across the African, Asian and Australian continents. Indonesia alone has at least 29 varanid species (Arida, 2014), some of which, including the Komodo dragon, are endemic. The scientific taxonomy of the Komodo dragon is as follows:

Kingdom	:	Animalia
Phylum	:	Chordata
Class	:	Reptile
Order	:	Squamata
Suborder	:	Lacertilia
Family	:	Varanidae
Genus	:	Varanus
Species	:	*Varanus Komodoensis* (Ouwens, 1912)

Morphology

In their natural habitat, adult Komodo dragons can normally weigh around 76 kilograms (Jessop et al., 2006). However, the largest recorded wild specimen, which had recently eaten its prey, weighed about 100 kilograms and measured 3.11 m long (KNP – KSP, 2019). In adulthood, male Komodo dragons are much larger than females, which have a maximum length of 2.4 m and weigh 40 kg (KNP – KSP, 2019). It is difficult to distinguish the sex of juvenile and sub-adult Komodo dragons. Juveniles have a blackish body color with yellow spots on the skin and a yellow upper (dorsal) body color. As individuals grow older, their upper body turns dark brown with no clear yellow collaboration or pattern, except around the neck and snout, while the lower (ventral) body remains yellow. Komodo dragons on Flores have a distinct yellow green pattern on the neck and face, which remains clear even in adulthood (Ariefiandy et al., 2017).

Komodo dragons are able to see distances of up to 300 m, but as their retinas only have cone cells, they are unable to see well in the dark. They can distinguish colors, but struggle to perceive stationary objects. Komodo dragon ears have a simple structure with only a tympanic membrane, which means their hearing limited. Similar to most lizards and snakes, the Komodo dragon relies more on its sense of smell for seeking prey and finding its way around. This is because the tip of its tongue is a good chemical receptor that delivers particles to a highly sensitive Jacobson organ on the roof of its mouth, which functions to analyze chemical particles from sources of odor in the environment (Pough et al., 2016). This enables Komodo dragons to detect the presence of prey or animal carcasses a considerable distance away.

Ecology

Komodo dragons can be found in lowland forests in coastal areas up to altitudes of 800 m above sea level (asl) in Komodo National Park. On the island of Flores, however, Komodo dragons are rarely found at altitudes above 300 m (BBKSDA NTT - KSP, 2021). They prefer coastal valley areas with open deciduous monsoon forest habitats surrounded by savanna, or staying near the coastline. Despite having the ability to move within a wide range of foraging areas, it seems Komodo dragons rarely move between islands or even valleys (Jessop et al., 2018).

The average foraging area of an adult male Komodo dragon is 705 hectares (ha), with an average daily movement of 573 m per day. This can reach 2,494 m a day during the breeding season, when searching for a mate. Female Komodo dragons usually guard their nests for four months after laying eggs (September to December). During this time, the average foraging area of a female Komodo dragon ranges from 67 ha in September to 109 ha in December, with average daily movement varying from 135–484 m per day from the first to fourth month of guarding the nest (Jessop et al., 2007). Newly hatched Komodo dragons spend 98% of their time in trees, so have a very small roaming area of 1.72–4.83 ha, with an average daily movement of only 33 m per day (Jessop et al., 2007; Imansyah et al., 2008).

Komodo dragons are carnivorous animals capable of preying on large vertebrate species, such as Timor deer (*Rusa timorensis*), water buffalo (*Bubalus bubalis*) and wild boar (*Sus scrofa*) (Ariefiandy et al., 2013, 2016). Adult Komodo dragons are ambush predators, whereas juveniles and sub adults are more active in seeking out a wider variety of prey, including insects, small lizards, snakes and birds (Auffenberg, 1981).

Reproduction

Komodo dragons start to reproduce at the age of 8-9 years or when they reach a weight of around 20 kilograms. Just like other reptiles, Komodo dragons reproduce by laying eggs. Female Komodo dragons use three types of nests for nesting: 1) mound nests, 2) hill nests, and 3) ground nests. Mound nests are most common at 61% of all Komodo dragon nests (Jessop et al., 2004). These are modified orange-footed scrubfowl (*Megapodius reinwardt*) nests with added vegetation making them larger than those still inhabited by scrubfowl. Hill nests are those found on hillsides where females dig holes in flatter parts of slopes. Such nests are the least accessible to predators. Ground nests are formed naturally due to erosion or former roots of fallen trees. They are usually found in riverside areas and are the least common nest type (Jessop et al., 2004).

Komodo dragons breed only once a year. Not all adult females can breed annually, as only healthy females are ready to reproduce. The mating season lasts from June to July. After mating, female Komodo dragons begin to dig nests and lay eggs from August to September. Females will make several nest chambers, but only one is used to lay eggs, with the others only serving as camouflage to trick predators. Komodo dragons produce an average of 21 eggs in one reproductive period, but healthy females can lay up to 38 eggs (Purwandana et al., 2020). After laying her eggs in the nest, the female will close the nest chambers and guard them for approximately four months until December before finally leaving them to return to normal activities (Ariefiandy et al., 2015, 2017; Purwandana et al., 2021).

Komodo dragon eggs hatch at the end of the rainy season between February and April. After hatching, juveniles will remain in trees for one year to avoid predators, including eagles and other larger Komodo dragons (Imansyah et al., 2008). Some Komodo dragons have been known to live for up to 50 years, though most usually die before the age of 30. Female Komodo dragons usually have shorter lifespans than males (Auffenberg, 1981; Laver et al., 2012).

Distribution and population

The Komodo dragon has one of the narrowest naturally occurring ranges of all large terrestrial predators. Since it was first described by P.A. Ouwens in 1912, a series of expeditions and preliminary surveys were carried out in several locations (e.g., Horst, 1926; Burden, 1928; De Jong, 1937; Pfeffer, 1959), which aimed to collect information on and specimens of Komodo dragons. Auffenberg (1981) provided the first details of its distribution on the islands of Komodo, Rinca, Padar, Gili Motang, Gili Dasami and Flores, concluding that the Komodo dragon is only found on a few small islands in the Lesser Sunda region in eastern Indonesia. However, according to research by Hocknull et al. (2009), based on fossil evidence, the Komodo dragon was already present more than 3.8 million years ago in the Pliocene era, and probably originated from Australia.

Currently, Komodo dragons can only be found on five islands inside Komodo National Park (KNP), and on Flores and the two adjacent small Islands of Longos and Ontoloe (Ciofi and De Boer 2004; BBKSDA NTT-KSP, 2021). KNP, which includes the islands of Komodo, Rinca, Padar, Gili Motang and Nusa Kode was established in 1980 to protect most of the Komodo dragon's range. KNP received the title of Man and Biosphere Reserve in 1977, and was designated a UNESCO world heritage site in 1991. Flores is the largest island within the Komodo dragon's distribution range, though the species is only present in small pockets on the west and north coasts of the island. Komodo dragons can be found in four conservation areas outside KNP, i.e., Wae Wuul, Wolo Tado and Riung nature reserves, and on Ontoloe island inside the Seventeen Islands Ecotourism Park. These protected areas were established in 1985 to protect Komodo dragon habitats in Flores. In addition, populations can also be found in protected forest and other land use (APL) areas on the west and north coasts of Flores.

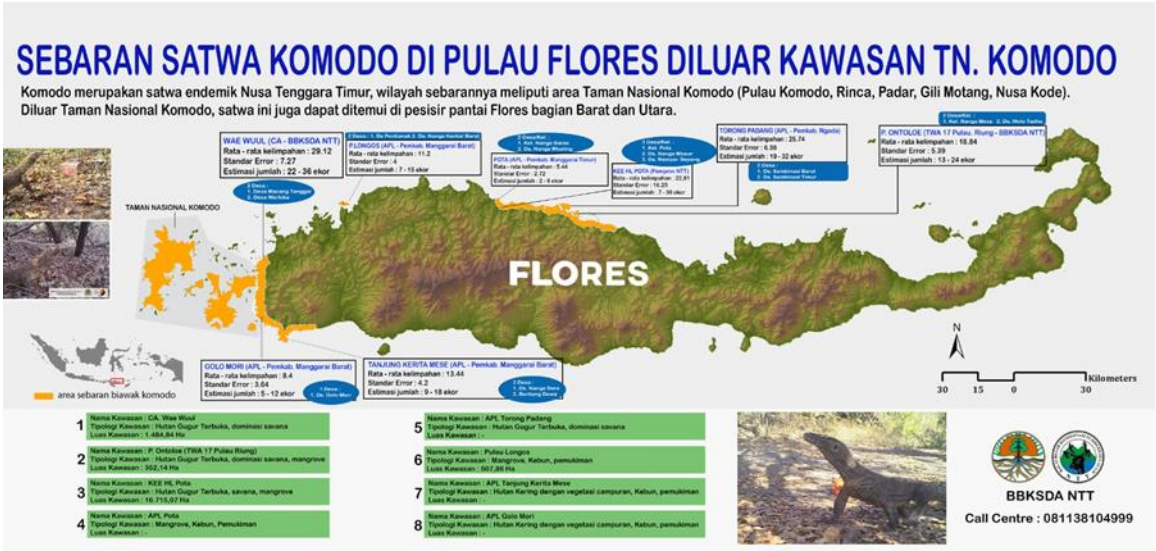


Figure 1. Komodo dragon distribution map

Komodo National Park

Komodo National Park (KNP) is located in East Nusa Tenggara province between the islands of Sumbawa and Flores. The park comprises five main islands (Komodo, Rinca, Padar, Gili Motang and Nusa Kode) and hundreds of smaller islands. The area has a dry climate with an average rainfall of 500–1,000 mm/year. The rainy season in KNP, as in other areas of Nusa Tenggara generally occurs from January to April (Monk et al., 1997). Common vegetation found in KNP consists of tropical deciduous (seasonal) forests, savannas and grasslands (Auffenberg, 1981). In addition, the park also contains montane (quasi-cloud) forests in mountainous areas and mangrove forests along some coastlines. Dominant vegetation cover is savanna (57.26%), and deciduous monsoon forest (41.03%), while quasi-cloud/montane forest makes up 1.71% (Ariefiandy et al., 2017).

Through Minister of Forestry Decree No. 306/Kpts-II/1992 dated 29 February 1992, the wildlife sanctuary on Komodo and Rinca islands was changed to Komodo National Park (KNP) covering a terrestrial and marine area of 173,300 ha. This area was reiterated in Director General of Forest Protection and Nature Conservation (PHKA) Decree No. 65/Kpts/DJV/2001 dated 30 May 2001 on KNP Zoning, and its revision through Director General PHKA Decree No. 21/IV-Set/2012 dated 24 February 2012.

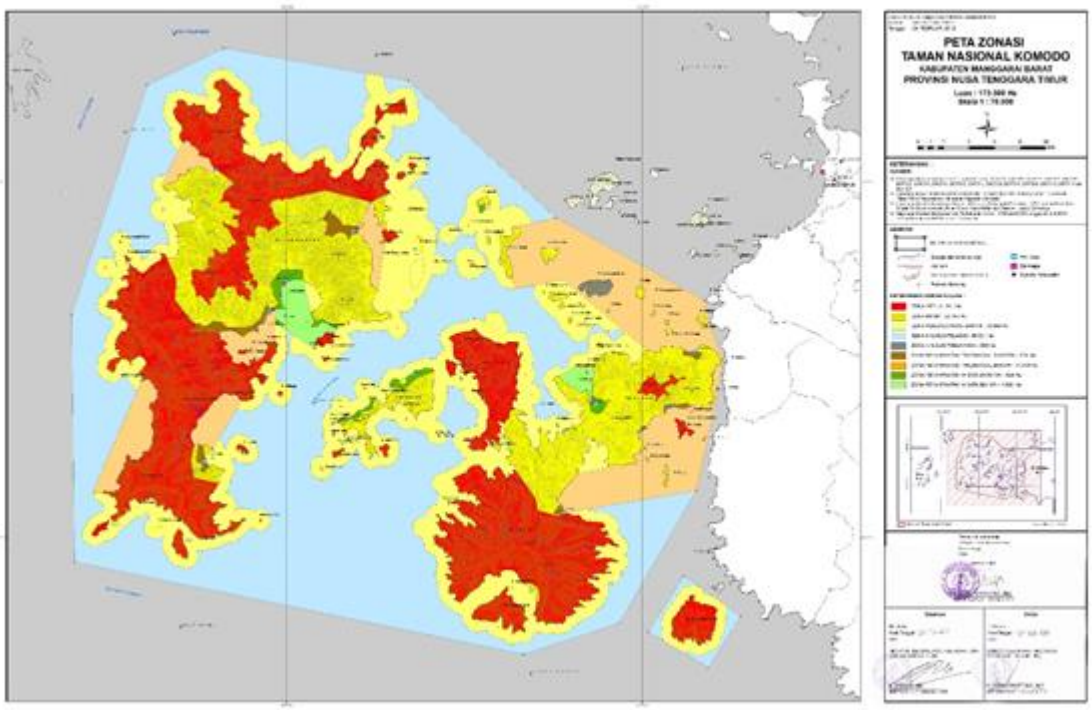


Figure 2: Map of Komodo National Park and its nine zonation areas

The Komodo dragon population in KNP is considered stable with numbers inside the park ranging from 2,000 – 3,000 over the last two decades. Numbers of individuals are derived from the results of studies using the Capture-Mark-Recapture (CMR) method at ten monitoring locations throughout KNP from 2003–2012, with an estimated population value in 2012, of 2,448 ± 229 individuals (95% CI = -2,067–2,922). CMR is by far the most accurate method for determining wildlife populations. It can also monitor growth rates in tagged individuals over time, as each is tagged using a permanent microchip (Passive Integrated Transponder-tag) and monitored annually. However, due to the cost and human resources necessary to continue CMR, following an intensive study in 2013, an alternative population monitoring method using camera traps and site occupancy analysis was chosen to provide an overview of Komodo dragon population trends. Data for 2015–2020 shows the population of Komodo dragons in KNP remaining relatively stable and fluctuating from 2,430 to 3,163 individuals (BTNK-KSP, 2020).

Populations on Flores and surrounding islands

The island of Flores has scattered population pockets of Komodo dragons on the north and west coasts. Only 15% of its known distribution range on the island is protected by the central government through nature reserves, an ecotourism park (TWA) and an essential ecosystem estate (KEE). The remaining 85% is located in protection forest (35%) or public and APL land (50%), which is less or even unprotected (BBKSDA NTT-KSP, 2021). The main habitats on the north coast are in three conservation areas (Riung Nature Reserve, Seventeen Islands Ecotourism Park and Wolo Tadho Nature Reserve), and the Pota Essential Ecosystem Estate (KEE). The west coast, meanwhile, only has one conservation area, namely Wae Wuul Nature Reserve, while the remaining habitats are classified as other land use (APL) areas and protection forest (HL). Additional Komodo dragon population pockets can be found on Longos island in West Manggarai district, which also has APL status.

The number of Komodo dragons outside KNP has yet to be estimated with any certainty. Based on available information from the results of a monitoring program being conducted by BBKSDA NTT in collaboration with KSP, which estimates average population densities in Wae Wuul Nature Reserve, Ontoloe island in Seventeen Islands Ecotourism Park and the Pota Essential Ecosystem Estate to obtain more comprehensive information on numbers and distribution of Komodo dragons, population densities range from 1.96 individuals/km² in Wae Wuul Nature Reserve to 4.7 individuals/km² on Ontoloe island. Previous research by Ciofi and de Boer (2004) stated that the population density of Komodo dragons in several locations on Flores ranged from 0.47 to 1.67 individuals/km². Updating information on Komodo dragon populations in all distribution areas on Flores is essential for providing a complete picture of the total population as a reference for the management of Komodo dragon conservation efforts.

West Flores

The distribution of Komodo dragons on the west coast of Flores ranges from Labuan Bajo to Tanjung Karita Mese and Nanga Bere village. In this distribution range there is only one conservation area, Wae Wuul Nature Reserve, which is managed by BBKSDA NTT.

Wae Wuul Nature Reserve

Wae Wuul Nature Reserve covers a hilly area of 1,484.44 ha with an average altitude of 356 m asl. Located south of the town of Labuan Bajo, Wae Wuul Nature Reserve was established in 1996 through Minister of Forestry Decree No. 47/Kpts-II/1996, and its management falls under the authority of BBKSDA NTT. Wae Wuul Nature Reserve has a more humid climate than Komodo National Park, but is still drier than other areas on Flores (Monk et al., 1997). Temperatures recorded in Wae Wuul in 2010 ranged from 16.4°C to 39.7°C, with 1,500 mm of rainfall from January to October. The reserve's main habitats are savanna grasslands and deciduous monsoon forests, which are dominated by tamarind trees and palms. There is a swamp in the northeast, and the reserve is bordered by rice fields to the east.

Wae Wuul Nature Reserve is an important Komodo dragon habitat on the west coast because of its populations of prey animals, namely deer, buffalo and wild boar. BBKSDA NTT has been monitoring Komodo dragon and prey animal populations in the reserve since 2018 in collaboration with KSP. Results of this monitoring indicate a Komodo dragon population of around 29.12 ± 7.27 individuals.

Warloka - Golomori - Kerita Mese Peninsula

Warloka, Golomori and the Kerita Mese Peninsula are Komodo dragon distribution areas on the west coast without conservation status. Most of these areas have APL or protection forest status and fall under the authority of the West Manggarai District Government. Most land cover consists of hilly savanna interspersed with open deciduous forest valleys, with a few mangroves and salt flats. Land in these areas has been converted for settlements and plantations as a result of increased human activity along the coast.

From 2015 to 2019, BBKSDA NTT conducted a distribution survey in collaboration with KSP using camera traps set up on areas of coastline identified as potential Komodo dragon habitats. Based on observations, Komodo dragons are only found up to altitudes of 300 m and to a maximum average distance of 5 km from the coastline. Estimated abundance of Komodo dragons in these areas is around 8.4 ± 3.64 along the Golomori coast and 13.44 ± 4.2 on the coast of the Kerita Mese Peninsula. There are no population estimations to date for the Wae Nepa and Beku areas.

North Flores

On the north coast of Flores, Komodo dragons can be found from Sambi Rampas subdistrict, East Manggarai district in the west to Riung subdistrict, Ngada district in the east. This distribution area includes the Pota Essential Ecosystem Estate, the management of which falls under the authority of East Manggarai District Government in collaboration with BBKSDA NTT. Komodo dragons are also found in three conservation areas under BBKSDA NTT management, namely: Riung Nature Reserve, Wolo Tadho Nature Reserve and Seventeen Islands Ecotourism Park.

Pota Essential Ecosystem Estate

Pota Essential Ecosystem Estate (KEE) is located on the northern coast of Flores, and is part of the Komodo dragon distribution range. Administratively, the area is part of Sambi Rampas subdistrict, East Manggarai district. Habitat types in the area comprise open deciduous forest, coastal forest and mangrove forest. Komodo dragons in the Pota forest are found from Nanga Baras in the west to Nampar Sepang in the east.

BBKSDA NTT and KSP have been conducting monitoring activities on Komodo dragon and animal prey populations in Pota KEE since 2014. Survey results indicate deer, as the main prey animal for Komodo dragons, are no longer found in the area. This is due to high levels of human activity accompanied by the conversion of Komodo dragon habitats to settlements and plantations. Other potential prey animal found in the area are monkeys, wild boar, goats, cows, buffalo and civets. A Komodo dragon population survey using camera traps estimates the Komodo dragon population in the area to be around 22.81 ± 16.25 individuals. To date there have no population abundance estimations for the Watu Wei (Southern Pota) and Golo Lijun areas.

Riung Nature Reserve – Wolo Tadho Nature Reserve

Wolo Tadho Nature Reserve, which has an area of 4,016.8 ha, was established through Minister of Forestry Decree No. 429/Kpts-II/92 dated 5 May 1992 on Wolo Tado Forest Estate Designation in the Ngada Merah Riung Forest Complex. Administratively, the reserve is located in Riung subdistrict in Ngada district, and is directly adjacent to four villages: Tadho, Latung, Central Benteng and Nangamese. Land cover types in the reserve consist of open deciduous forest, savanna, rivers, semi-evergreen forest and coastal forest.

Riung Nature Reserve includes terrestrial and marine protected areas, each covering approximately 50% of the nature reserve's 2,000 ha area. The land is dry and hilly with elevations of no more than 150 m. It is mostly covered by savanna grasslands dominated by areca palms (Arecaceae) and tamarind trees (*Tamarindus indica*). Brackish and saltwater mangroves are also found along its the coastline.

In 2016, BBKSDA NTT conducted a survey on the distribution of Komodo dragons in these two areas in collaboration with KSP using camera traps. Survey results identified the easternmost extent of Komodo dragon distribution range on Flores to be Wolo Tadho Nature Reserve. Komodo dragons can be found in the area from the coast up to elevations of 300 m. As no population abundance estimates are available for these protected areas to date, it is essential to enhance monitoring efforts to understand population trends in the reserve, as it is an important area, especially for conserving genetic diversity, Furthermore, Komodo dragon prey animals like deer, monkeys and wild boar are still abundant within the reserve.

Seventeen Islands Ecotourism Park (Ontoloe island)

Seventeen Islands Ecotourism Park, which covers an area of 7,303.16 ha, was designated as a conservation area through Minister of Environment and Forestry Decree No. SK.3911/Menhut-VII/KUH/2014 dated 14 May 2014. Administratively, this park is located in Riung subdistrict, Ngada district, East Nusa Tenggara province. The park's ecosystems comprise dry tropical forests, savannas, mangroves and waters, which play essential roles in supporting life in the surrounding area. The park contains several dominant tree species including tamarind (*Tamarindus indica*), kesambi (*Schleichera oleosa*) and lontar (*Borrassus flabeilifer*), as well as rare species such as ure (*Cagenaria sicecaria*) and redwood (*Pterocarpus indicus*).

Since 2009, BBKSDA NTT has been monitoring the park's Komodo dragon and prey animal populations intensively in collaboration with KSP, especially on Ontoloe island.

Ontoloe island is one of four satellite island Komodo dragon population pocket habitats together with Nusa Kode, Gili Motang and Longos. Numbers are monitored using a combination of CMR (Capture-Mark-Recapture) and camera trap methods. As significant resources are necessary for CMR it is only carried out every two years, whereas camera trap monitoring takes place every year to provide comprehensive data on population trends. Results of Komodo dragon monitoring indicate a population abundance of around 18.84 ± 5.39 individuals on Ontoloe island.
Results of prey animal monitoring on Ontoloe indicate no evidence of large ungulate prey being present on the island. The only potential prey animal droppings found are those of monkeys. In 2016, Komodo dragon droppings were found containing undigested bat claws. Ontoloe Island has a fairly abundant bat colony with an estimated number of around 30,380 individuals. Although these findings require further study, they do indicate that bats are an alternative food for Komodo dragons on Ontoloe island (BBKSDA NTT and KSP, 2021).

Torong Padang Peninsula

The Torong Padang Peninsula, an area of 880 ha, is another unprotected natural habitat of the Komodo dragon. The peninsula falls under the Riung subdistrict administrative area in Ngada district. This peninsula is customary *ulayat* land belonging to ethnic Baar people in Damu and Ruki sub-villages in Sambinasi village and Marotauk sub-village in West Sambinasi village. Vegetation cover in the area consists mainly of secondary deciduous forest (306 ha), savanna (546 ha), mangrove forest (19 ha) and salt flats (8 ha). The peninsula's hilly topography interspersed with coastal valleys of secondary forest are the main Komodo dragon habitats.

The peninsula is one of the most intact Komodo dragon habitats in northern Flores due to its abundance of main prey animals: deer, monkeys and wild boar. Results of a Komodo dragon population survey using camera traps estimated around 25.74 ± 6.38 individuals in the area. In addition, ethnic Baar local wisdom restricts disturbance from human activities in the area except for the purposes of traditional ceremonies.

Longos Island

Longos is a small island only 350 m from the north coast of Flores, between Terang Bay and Bari village. The island is not a conservation area, and has other land use (APL) status. It has four sub-villages divided between two different administrative regions: Rajamina and Baru sub-villages in West Nanga Kantor village, Macang Pacar Subdistrict; and Bajo and Mangge sub-

villages, in Pontianak village, Boleng subdistrict. The island has an estimated population of 1,000 people who are generally fishing families.

The island covers an area of 508 ha with vegetation cover comprising secondary forest (323 ha), mangrove forest (129 ha), farming land (39 ha), settlements (13 ha), and salt flats (3.6 ha). In addition to the Komodo dragon, other key species found on the island are the yellow-crested cockatoo (*Cacatua sulphurea*) and orange-footed scrubfowl (*Megapodius reinwardt*). In 2016 and 2020, KSP and BBKSDA NTT conducted in-depth ecological studies on the island. Their observations identified none of the main Komodo dragon prey animals (deer, wild boar and buffalo) being present on the island. Animals identified as potential prey for Komodo dragons are monkeys, civets, goats, cows and bats. More studies are required to identify Komodo dragon food sources and their availability on the island. However, the absence of a main prey animals on the island may suggest Komodo dragons have similar food sources to those found on Ontoloe island.

Genetic diversity of Komodo dragon populations

Genetic diversity and the degree of genetic divergence in Komodo dragons were investigated by comparing control region variation of mitochondrial DNA (mtDNA), both within and between sampling sites. The control region of mtDNA was amplified by the Polymerase Chain Reaction (PCR) method and using a primer specially designed for *Varanus komodoensis*. The PCR products were traced using the Chain Termination method and the products were then analyzed using capillary electrophoresis. Statistical analysis in this study includes the study of mtDNA haplotypes, diversity index, analysis of molecular variance, and reconstruction of phylogeny trees at the species level using the neighbor-joining and maximum likelihood methods (LIPI-BBKSDA NTT-KSP, 2019).

Based on genetic data from Komodo dragons in three conservation areas, it was established that the population on Komodo island had by far the greatest genetic difference value, so the island was proposed as a separate management and conservation unit. Samples from individuals in north Flores (Mbarujawa, Riung Nature Reserve and Ontoloe island) demonstrated significant genetic differences not only to populations on other islands, but also to those in sampling sites on the western side of Flores (Wae Wuul, Lenteng). Therefore, north Flores should also be considered as a separate conservation unit for specific protection. Komodo dragons in the Pota, Riung and Seventeen Islands conservation areas, and the nearby Wolo Tadho Nature Reserve are part of a relatively small population with low genetic diversity. This population should be part of a monitoring program that examines genetic and demographic parameters on a regular basis, with the aim of fact finding about declining populations and their survival in nature. A similar recommendation applies to Gili Motang island, which is inside the Komodo National Park area. The island deserves attention because of its small population and lack of diversity in its mitochondrial DNA control region sequences. Populations on Rinca and Nusa Kode islands and in western Flores show the ability to maintain a high level of genetic diversity.

Table 1. Komodo dragon haplotype distribution. Sample size (N) is reported for each island (LIPI-BBKSDA NTT-KSP, 2019)

		Haplotipe							
Populasi dan lokasi	*N*	Kom01	Kom02	Kom03	Kom04	Kom05	Kom06	Kom07	Kom08
1. NORTH FLORES (FLN)	17	15	2						
2. WEST FLORES - Wae Wuul (FLW1)	42	1		22	18	1			
3. WEST FLORES - Lenteng, Loh Rongkeng (FLW2)	13			3	10				
4. RINCA - Loh Buaya (LBU)	22			1	19	2			
5. RINCA - Loh Baru (LBA)	20			3	9	8			
6. RINCA - Loh Tongker (LTK)	10			9	1				
7. RINCA - Loh Dasami (LDS)	9				1	8			
8. NUSA KODE (NKO)	9					9			
9. GILI MOTANG (GMO)	12				12				
10. KOMODO - Loh Liang (LLI)	23						19	3	1
11. KOMODO - Loh Sebita (LSE)	9						9		
12. KOMODO - Loh Wenci (LWE)	7						5		2
13. KOMODO - Loh Lawi (LLA)	28						9	4	15
14. KOMODO - Loh Wau (LWA)	8						5	3	
Total	229	16	2	38	70	28	47	10	18
Proporsi individu		0,07	0,01	0,17	0,31	0,12	0,21	0,04	0,08
Proporsi lokasi		0,14	0,07	0,36	0,50	0,29	0,36	0,21	0,21

Monophyletic (one lineage) populations such as those on Komodo island and in north Flores, which are currently separated from other populations, should be managed as separate evolutionary units to maintain the genetic diversity of this monitor lizard species. The two populations are each separated from other populations by geographical conditions, namely the ocean and inappropriate habitat. These monophyletic populations are also characterized by higher degrees of genetic distinctiveness and lower gene flow rates than other populations, which ultimately survive with their prominent evolutionary potential.

Although adaptive variability is fostered by maintaining gene flow at a certain level, the interaction of mutations and natural selection in relatively large island populations with varying degrees of genetic distinctiveness between different locations can further enhance the adaptation process. Crandall et al. (2000) emphasize the importance of having a diverse set of functionally disparate genes across populations to ensure the maintenance of adaptive diversity and evolutionary potential. For example, the small population of Gili Motang island has the lowest genetic diversity based on variation in control region DNA sequences. In addition, the population of this small island also has the lowest diversity based on variations in the size of alleles at the DNA microsatellite locus. Therefore, this small, isolated island needs special attention towards the potential decline in the quality of its population.

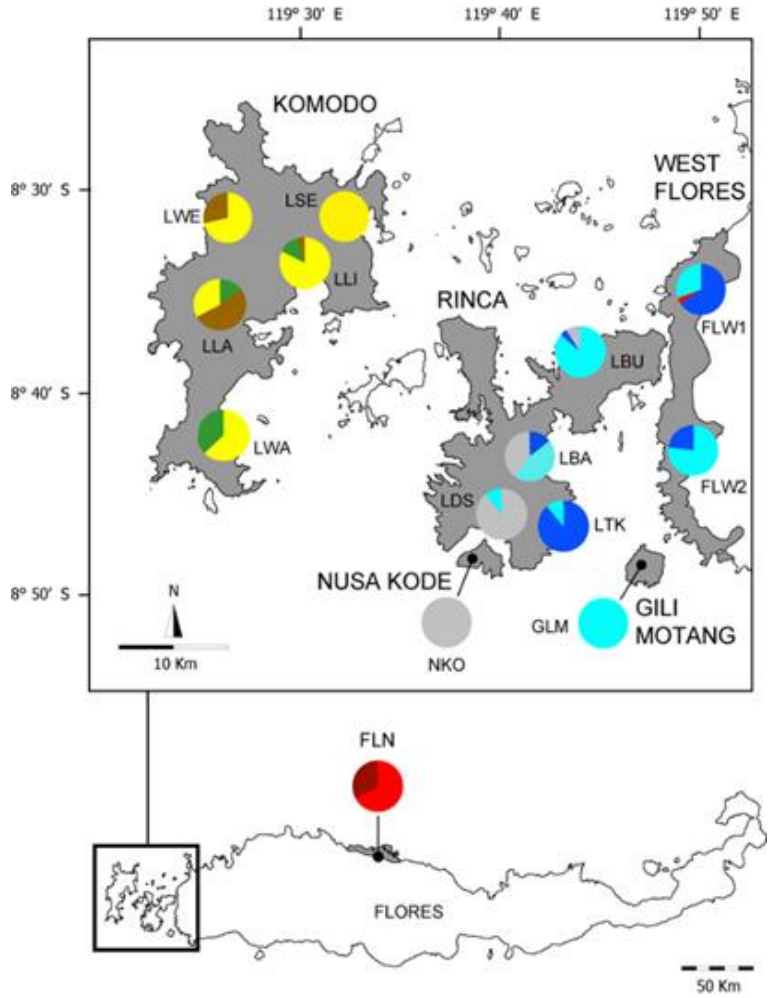


Figure 3. Komodo dragon haplotype distribution. Color and size of each slice of the pie charts refer to haplotype and haplotype frequency, respectively, reported in Table 1. (LIPI-BBKSDA NTT-KSP, 2019)

Quantitative genetic techniques have been used to examine the components of phenotypic variation in nature. Different functional gene expression will affect different viability and different survival. This needs to be known to predict the survival of the population in nature. For example, the population on Komodo island is relatively large, while the population in north Flores is relatively small. The uniqueness of the population is very important to maintain the level of genetic variability and adaptability of the species. Furthermore, the differences in the survival of the populations need to be examined to ensure their sustainability. Thus, further research is needed to identify the genes encoding physiological functions that support the existence of the Komodo dragon populations in their natural habitats.

2.3. Sea turtles

Turtles are an order of reptiles known as Testudines; characterized by a shell developed mainly from their ribs. Modern turtles are divided into two major groups, the side-necked turtles and hidden neck turtles which differ in the way the head retracts. Sea turtles (which belong to Cryptodira) have mostly lost the ability to retract their heads, and are marine reptiles that breathe using lungs and spend most of their life in the sea. Adult female turtles come to land to lay eggs at certain times. Turtles belong to the order Testudines or Chelonia, which is a group of reptiles whose bodies are protected by a shield-shaped horn substance on the back called the carapace (Spotila, 2004).

Sea turtle habitats are ecosystems of seagrass and coral reefs. Turtles like this habitat because seagrass beds and coral reefs provide turtle food sources. On coral reefs, turtles feed on fish, shrimp, shellfish, squid and crabs, while in seagrass ecosystems, turtles consume seagrass plants. At certain periods in the open ocean, turtles also consume jellyfish. Turtles are not affected by jellyfish stings, thus making them important animals able to control jellyfish populations in the sea.

Turtles have adapted to their natural habitats, causing these animals to evolve. Turtles have flat-shaped limbs that function as fins/strong paddle tools in the water. Another adaptation found in these animals is the salt glands located near their eyes. Salt glands in sea turtles function to remove excess salt from the blood due to sea water entering the body when turtles swim in the sea.

Taxonomy

Kingdom	:	Animalia
Phylum	:	Chordata
Class	:	Reptilia
Clade	:	Perichelydia
Order	:	Testudines
Suborder	:	Cryptodira
Super Family:		Chelonioidea (Bauer, 1893)

Population and Distribution

Indonesia has six of the world's seven species of sea turtle. These six species are the green turtle (*Chelonia mydas*), hawksbill turtle (*Eretmochelys imbricata*), olive Ridley sea turtle (*Lepidochelys olivacea*), leatherback turtle (*Dermochelys coriacea*), loggerhead turtle (*Caretta caretta*), and flatback sea turtle (*Natator depressus*). These turtles have different characteristics and population distributions. Of these six species, green and hawksbill turtles are the most commonly seen in waters around Flores and Komodo National Park (BTNK, 2019).

Green turtle (*Chelonia mydas*)

Green turtles have small, rounded heads and a smooth carapace. An adult green turtle's shell usually measures from 80–122 cm in length. Their distribution range covers the tropical and subtropical Atlantic, Pacific and Indian oceans. They are herbivores, and live in areas where sea grass and rooted algae are abundant. Their name comes from the greenish color of their fat, which is due to their diet of sea grass (Spotila, 2014). The green turtle, known locally as '*penyu daging*' or '*penyu laut*', is the most common sea turtle species in Indonesia (Halim and Dermawan, 1999).

Marine ecosystem vegetation has a great influence on the turtle nesting process. Species of marine vegetation that influence green turtles include *Pandanus tectorius*, *Baringtonia asiatica* and sea pine. Green turtle nests are usually more abundant in areas with high densities of marine vegetation. Vegetation also plays an important role in maintaining substrate humidity, which correlates with the temperature stability of the turtle nesting environment (Endrawati et al., 2016).

Turtles tend to lay their eggs at night as the dark, calm conditions are suitable for a smooth egg laying process (Ali, 2011). In one session, an adult female green turtle can produce 60 to 120 eggs with a natural hatchability of 50% (Budiastuti, 2012 in Ibrahim et al., 2016: 40). Green turtles are commonly found laying eggs in rocky areas of the archipelago in high numbers. Green turtles lay eggs throughout the year, with the peak of the nesting period being from June to October (Halim and Dermawan, 1999: 79).

Green turtle populations in Indonesia have tended to decrease due to the theft of eggs and hatchlings, increased water traffic activities, and damage to vegetation caused by abrasion processes (Endrawati and Redjeki, 2016). Another threat to green turtles is disturbance from local communities. Fishers are often found taking green turtle eggs for consumption and trade (Halim and Dermawan, 1999). This disturbance has the potential to disrupt the sustainability of the green turtle population.

Hawksbill turtle (*Eretmochelys imbricata*)

The hawksbill turtle's carapace is dark amber with radiating streaks of brown or black. Its shell is smaller than that of the green turtle, with shell lengths in adults ranging from 75–88 cm. The head is narrow with a strongly hooked beak that give the hawkbill turtle its name. The carapace has thick overlapping scales, which are serrated along the posterior edge. Hawkbills live along coral reefs throughout the tropical oceans, and eat sponges (Spotila, 2014). They also eat marine animals such as ascidia, molluscs, crustaceans and jellyfish (Suwelo, Ramono and Somantri, 1992). Local names for the hawksbill turtle in Indonesia

include '*fonu koloa*', '*penyu genteng*', '*penyu kembang*', '*penyu ketungkera*' and '*wau*' (Adisukresno, 1993; Halim and Dermawan, 1999).

Hawksbill turtle nesting patterns are difficult to observe because they tend to choose nesting sites in remote locations (Halim and Dermawan, 1999). Even though hawksbill turtle populations are declining, they can still be found in large numbers throughout Indonesia (Salm, 1984; Salm and Halim, 1984; Schulz, 1989; Halim, 1998). A factor affecting hawksbill turtle populations is illegal trade of it shells, which command higher prices than green turtle shells because they are thicker and more colorful (Suwelo, Ramono and Somantri, 1992).

2.4. Yellow-crested cockatoo

The yellow-crested cockatoo, also known as the lesser sulphur-crested cockatoo, is among the most endangered parrots in eastern Indonesia and is threatened throughout its range (Nandika and Agustina, 2018).

Taxonomy

Kingdom	:	Animalia
Phylum	:	Chordata
Class	:	Aves
Order	:	Psittaciformes
Family	:	Cacatuidae
Genus	:	Cacatua
Species	:	*Cacatua sulphurea*

Distribution and population

The yellow-crested cockatoo (*Cacatua sulphurea*) has a limited distribution range in several areas in Indonesia, mainly in Wallacea, in which the Lombok to Alor population has recently been reinstated as the subspecies occidentalis (Collar and Marsden, 2014). Data on the current distribution of yellow-crested cockatoos on Flores and environs shows the species being present in Komodo National Park (Komodo, Rinca, Muang and Bero islands); and on the west coast of Flores (Golomori and Sok Nar), which is a daily migratory population from Komodo National Park. The species is commonly seen by local residents in Golomori. In West Manggarai district, cockatoos can be found in the mangroves and coastal forest in Lenteng sub-village; along rivers and near Lajar and Ngoer beaches in Ngoer sub-village; and around community farmland in Tao-Raong sub-village.

The yellow-crested cockatoo is also a seasonal resident on Longos island (BBKSDA NTT-KSP, unpublished reports).
The yellow-crested cockatoo population on Komodo is believed to be the largest (Agista and Rubiyanto, 2000; Imansyah et al., 2016; Reuleaux, 2020). It was reported to have declined by 60% from 2000–2005 (Imansyah et al., 2016), but has increased again during the last two decades (Reuleaux, 2020). As yet, no estimate is available for the total global, yellow-crested cockatoo population. The most recent estimate for the Komodo population was 1,113 individuals (95% CI: 587–2,109), considerably larger than previous conservative estimates in cockatoo records from less than 400 in 2011 to around 650 in 2017. Density surface maps show cockatoos to be absent over much of the island, but present at high densities in wooded valleys (Reuleaux et al., 2020).

Although there are no current estimates of yellow-crested cockatoo numbers on Flores, the local population in Golomori is thought to have declined as a result of habitat conversion and illegal hunting due to the species being considered an agricultural pest. Now the species is subject to systematic trapping for trading, which is causing the population to decline more rapidly. Effective trapping methods and cockatoos' tendency to group together have resulted in poaching reducing the size of the cockatoo population (Aziz, 2014).

2.5. Flores hawk-eagle

The Flores hawk-eagle (*Nisaetus floris*) is a raptor, endemic to the Lesser Sundas. Its distribution is limited to lowland and submontane forest up to altitudes of 1,700 m asl (Coates and Bishop, 1997; Ferguson-Lees and Christie, 2001; Gjershaug et al., 2004; Raharjaningtrah and Rahman, 2004). The species main habitat is areas covered by primary and secondary forest vegetation (Gjershaug et al., 2004; Raharjaningtrah and Rahman, 2004). As an apex predator, the Flores hawk-eagle is an indicator of the health of the ecosystem in which the species lives. As an endangered species, the Flores hawk-eagle has high conservation value for the Lesser Sunda region, for Indonesia, and globally.

Taxonomy

The Flores hawk-eagle is a medium sized eagle, with adult individuals measuring around 60–80 cm in length. Adult and juveniles are quite similar with white heads and fine brownish streaks on the crown (Gjershaug et al., 2004; Raharjaningtrah and Rahman, 2004). The upper body is dark brown, while the chest and abdomen are covered with white feathers with a thin reddish-brown pattern. The tail is dark brown with six bars; the outer bars wider than the others (Gjershaug et al., 2004).

Kingdom	:	Animalia
Phylum	:	Chordata
Order	:	Accipitriformes
Family	:	Accipitridae
Genus	:	Nisaetus Hodgson, 1836
Species	:	*Nisaetus floris* (Hartert, 1898)

The Flores hawk-eagle was first described as a separate species by Gjershaug et al. (2004). Previously, it had been declared a sub-species of the changeable hawk-eagle (*Nisaetus cirrhatus*), but is now considered a separate species as the two are significantly different morphologically and genetically, with the Flores hawk-eagle being considerably larger.

Habitat

Flores hawk-eagle habitats range from lowlands to mountains, generally in forested areas (Gjershaug et al., 2004; Raharjaningtrah and Rahman, 2004). In the Ruteng area on Flores, the species is found at altitudes of up to 1,700 m asl (Gjershaug et al., 2004; Raharjaningtrah and Rahman 2004). In addition to forest areas, the species is sometimes sighted over farmland adjacent to forested areas (BirdLife International, 2009). Verhoeye and Holmes (1998) described the habitat of this species in hilly cultivated areas and forested areas up to an altitude of 1,000 m asl. Suparman (2013) observed Flores hawk-eagles above sub-montane forest (70%), montane forest (25%) and cultivated land (5%). Flores hawk-eagle eagle habitats on Alor, which include secondary tropical forest (approximately 10–20% cover) in valleys and on slopes, mixed with larger eucalyptus forests and agricultural land, suggest the species can survive in highly fragmented forest areas (Trainor et al., 2012).

Based on a study by Syartinilia and Setiawan (in prep), Flores hawk-eagle habitat characteristics on Flores can be interpreted through the six main components of Principal Component Analysis (PCA). All types of animals, including the Flores hawk-eagle, like habitats that can meet their food/hunting and breeding needs. In general, the habitat characteristics favored by the Flores hawk-eagle are those with landscape heterogeneity, and land cover and topographic variations. The heterogeneity of the landscape and the high diversity of habitats have an impact on the availability of high variations in the amount of feed for the Flores hawk-eagle. For hunting habitats, the Flores hawk-eagle likes habitats with vegetated landscape characteristics that form a mosaic with variations in land cover ranging from mixed gardens, shrubs, rice fields, savannas and open areas in the lowlands to highlands. During the breeding season, the Flores hawk-eagle prefers forest and savanna land cover in mountainous areas. The spatial distribution of Flores hawk-eagle habitats on Flores consists of eight habitat patches with a total area of 1,132 km² (Syartinilia and Setiawan, in prep.)

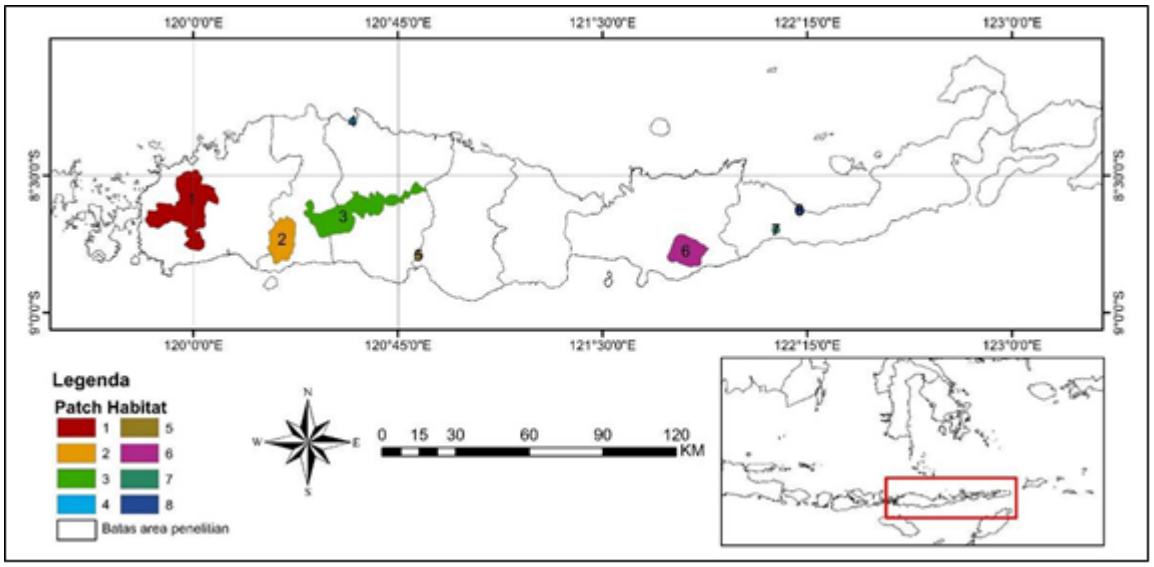


Figure 4. Spatial distribution of Flores hawk-eagle habitats on Flores. *Source: Syartinilia and Setiawan (in prep)*.

Reproduction

Information on Flores hawk-eagle breeding is still very limited, and so far there has been no publication on the subject. The only available information is in the form of brief notes documenting nest encounters and breeding behavior. Flores hawk-

eagles generally breed during the dry season from June to September (BirdLife International, 2009). Undulating flight behavior and copulation were recorded in June and July 2003 on Flores. Several nest encounter records show approximately the same estimated breeding time as these records.

Regular observations made by the team from Kelimutu National Park since 2014 are limited to the presence of nests and breeding activities in Wolojita village, Ende. A Flores hawk-eagle nest was first discovered in September 2014 in the Wolojita Customary Forest area, following information provided by the local community (A. Kuspriyangga pers. comm.). During observations of a breeding pair of Flores hawk-eagles in the Wolijita Customary Forest over a four-year period from 2014–2018, there were several changes in nest trees. The first nest, found in 2014, was in a blackboard tree (*Alstonia scholaris*). Then in 2016, the breeding pair built a new, more concealed nest in a *Paraserianthes falcataria* tree. During the 2017 breeding season, the pair then built another new nest in a candlenut (*Aleurites moluccana*) tree.

The breeding frequency of the Flores hawk-eagle was found to be different from that of other Nisaetus species, such as the Javan hawk-eagle (*Nisaetus bartelsi*) and changeable hawk-eagle (*N. cirrhatus*). The latter two species usually breed once in two years, whereas the Flores hawk-eagle usually breeds every year. Over four years of observation, chicks were only recorded reaching the fledgling stage successfully in 2016, which was marked by the parents flying with their offspring in 2017. The success rate of breeding Flores hawk-eagles is largely influenced by conditions in and around the breeding habitat, including the presence of other of raptors such as Bonelli's eagle (*Aquila fasciata*) or the migratory oriental honey-buzzard (*Pernis ptilorhynchus orientalis*), and weather such as strong winds that can destroy nests.

Distribution

The Flores hawk-eagle distribution range is limited to a few islands in the Lesser Sundas, with populations evenly distributed across all parts of the islands of Lombok, Sumbawa, and Flores to Alor, including Satonda and an unnamed island close to Komodo. At several points of observation these populations appear unconnected to each other (Raharjaningtrah and Rahman, 2004). Until now there has been no confirmation regarding the species being present on the large islands of Sumba or Timor, or on any other small islands in the Lesser Sunda region.

Lombok

On Lombok, Flores hawk-eagles were observed in Sesaot village on the boundary of Mount Rinjani National Park (Gjershaug et al., 2004), as well as three other sites below 900 m asl: Senaru, Pidana and Pusuk (Gjershaug et al., 2004; Raharjaningtrah and Rahman 2004). A survey conducted by Suparman from July to September 2011 observed Flores hawk-eagles in production forest areas in Senaru, Santong and Sembalun, as well as around Mount Rinjani National Park in Aik Beling, Aikmel, Anyar, Joben, Kembang Kuning Sesaot and Pusuk. The species was also observed flying around the Senggigi tower outside the national park area. Monitoring over four years in Senaru (North Lombok), Sembalun (East Lombok), Mount Rinjani National Park and the Aik Berik area outside the park recorded around seven Flores hawk-eagles (Supriyanto, pers. comm.). The Flores hawk-eagle was also recorded in the Kerandangan Ecotourism Park (Suana et al., 2016).

Sumbawa

On Sumbawa, Raharjaningtrah and Rahman (2004) recorded Flores hawk-eagles at seven of 28 lowland forest observation sites at altitudes below 800 m asl. These sites were in Kalate and Jalamba on the southern slope of Mount Dora Maria, Sonae on Mount Tambora, Tongoloka and the PT Newmont Nusa Tenggara mine concession area, including Selalu Legini Protection Forest, Marente and Batulanteh on Mount Batulanteh, and Ropang and Takan on Mount Ropang.

Suparman (2013) recorded 24 locations on Sumbawa with 118 individuals consisting of 58 pairs, namely: 22 pairs in the PT AMNT (formerly PT Newmont Nusa Tenggara) mining concession area; 12 pairs in the Besamak Nature Reserve; and 25 pairs in the Batulanteh Protection Forest. Other Flores hawk-eagle encounter records come from field observations conducted by the West Nusa Tenggara Provincial Natural Resources Conservation Agency (BKSDA) in several locations, namely: Madapangga Ecotourism Park, Mount Sangiang Nature Reserve, Jereweh Wildlife Sanctuary and Kerandangan Ecotourism Park (Arwan Akub, pers. comm.). The record of the Flores hawk-eagle encounter in the Mount Tambora National Park area is based on information on eagle photos obtained from Himakova-IPB in the Kore area, Piong in 2017 (Adi Kurniawan, pers. comm.).

Flores hawk-eagles were also observed by the Bima-Dompu Wildlife Photographers Syndicate in several other locations: Nggelu village in Lambu subistrict, Bima district directly adjacent to the Tofokota Nature Reserve; around Sape in July 2015; around the Dompu (Lakehu)-Bima, Parado and Langgudu regions in 2016; a pair on Sangiang island; and a nest in the Maria Donggomasa forest management unit area in Kaowa village (Abdul Azis, pers. comm.).

Flores

On Flores, Raharjaningtrah and Rahman (2004) recorded Flores hawk-eagles in 14 observation sites: Golodesat, Melo and Nunang in the Mbeliling forest in West Manggarai district; Golo Lusang, Carep, Ranaka, Ranamese and Leda in Ruteng Ecotourism Park in Manggarai district; Kisol and Nangarawa villages in the Mount Poco Ndeki forest estate in East Manggarai district; Kolorongo village in Kelimutu National Park and Blidit village, at the foot of Mount Egon Ilimudu in Wagete subdistrict; and Lewetobi and Duri villages at the foot of Mount Lewetobi.

Suparman (2012) noted encounters with Flores hawk-eagles in several places on Flores during a survey from February–March 2012, including Cancar-Panglembor, Todo and Rangga Lembor in the Satarmese area; Carep, Lake Ranamese Lento, Robo, and Roi in the Poco Ranaka area; Cecer, Cunca Lolos, Cunca Rame, Wae Ndeo, Melo, Puarlolo, Tabedo, Terang, Wate, Werang and Rareng around Mount Mbeliling; Golo Lusang, Leda (Ruteng) and Sanongoang around Mount Wai Sano; and Tontoda, Poco Mandawawu, Ulumbu-Poco Leok, Wae Wull and Waerebo.

Monitoring activities by Kelimutu National Park officers since 2014 have resulted in eight Flores hawk-eagle observations inside the park, with four individuals recorded at the Wolojita site, two individuals at the Waturaka site and two individuals at the Okisobe-Wolokoro site (A. Kuspriyangga, pers. obs.). Photographic documentation by M. Schellekens also recorded the species in Woloara (www.orientalbirdimages.org).

Small islands in the Lesser Sundas

Flores hawk-eagle encounters on small islands in the Lesser Sunda region include sightings on Satonda, Rinca, Komodo, Alor and Paloe islands. One individual was recorded on Satonda in January 2003, and another on Rinca the same year (Raharjaningtrah and Rahman, 2004). Coates and Bishop (1997) cited Komodo as a habitat for the species, but recorded no observations. Flores hawk-eagles were recorded hunting bats above mangroves on Komodo in 2001 (van Buuren in Trainor et al., 2012). Van Buuren also documented the species on an unnamed island 800 m from Komodo (Collaerts et al., 2013). The species was recorded by Verheijen (1961) on Paloe, a small island 16 km to the north of Flores.

Flores hawk-eagles have been recorded in several locations on Alor: around Kalabahi by Collaerts et al. (2011); Kunggrewa, Apui Subo and Toyg by Trainor et al. (2012); and Apui-Manmas and East Alor near Maukuru at altitudes of 600–1,100 m by Ashari et al. (2018). In Kunggrewa, a pair was recorded flying over the rainforest. In Apui Subo, two eagles were recorded flying over hills on 9 September 2009; while a pair and two individuals were documented in the same area on 6 December 2009 and 14 January 2010, respectively. In Toyg, a pair of eagles was documented flying over secondary forest at an altitude of 800 m on 9 January 2010, while one individual was seen flying over degraded forest on a hill near Kalabahi on 3 July 2011 (Collaerts et al., 2011).

Population

According to Raharjaningtrah and Rahman (2004), the population of Flores hawk-eagles ranged from 100–200 individuals. They estimated the population as 73–75 pairs, based on an extrapolation of the home range (approximately 38.5 km² for one pair, n=3). Based on this consideration, they estimated 10 pairs on Lombok, 38 pairs on Sumbawa, and 27 pairs on Flores. Similarly, based on an estimated territorial area of around 40 km², Gjershaug et al. (2004) concluded that the population of the species may be less than 100 pairs.

Suparman (2013) concluded that the population of Flores hawk-eagles on Sumbawa comprised 66–78 adult pairs. Suparman's calculation divided habitats into good and fragmented categories, with population density being one pair per 3 km^2 for good habitat, and one pair per 5 km^2 for fragmented habitat. These calculations were based on survey results, which recorded 118 individuals from 24 observation sites on Sumbawa. Observations recorded 58 pairs, with 22 pairs in the PT Amman Mineral Nusa Tenggara mining concession area (formerly PT Newmont Nusa Tenggara), 12 pairs in Besamak Nature Reserve, and 25 pairs in Batulanteh Protection Forest.

Trainor et al. (2012) estimated at least 20 pairs of adult Flores hawk-eagles living on the island of Alor, stating that frequent encounters on Alor indicate the area having a substantial population. They further stated that if the cruising range of the Flores hawk-eagles on Alor was similar to the estimated range of 38.5 km^2 for those on Flores (Raharjaningtrah and Rahman 2004), and assuming they can use all existing habitats, then the population on Alor Island could be as high as 73 pairs (Trainor et al., 2012). Considering all these research results, the estimated maximum and minimum population of Flores hawk-eagles is 108 pairs and 86 pairs, respectively.

3. The conservation status of the Komodo dragon and other key terrestrial and marine species

3.1. Komodo dragon conservation status

The Komodo dragon is a protected species under Indonesian Law No. 5/1990 on Conservation of Biological Natural Resources and Their Ecosystems and listed in the annex on protected species in Government Regulation No. 7/1999 on Preservation of Plant and Animal Species, as amended by Minister of Environment and Forestry Regulation No. 20/2018, No. 92/2018 and No. 106/2018.

The Komodo dragon is also included in the list of priority species for conservation in the reptile group under Minister of Forestry Regulation P.57/Menhut-II/2008 on Strategic Directions for National Species Conservation 2008–2018. The Ministry of Environment and Forestry also listed it as one of 25 priority species under the Directorate General of Natural Resources and Ecosystem Conservation Strategic Plan for 2015–2019.

Due to its restricted distribution area and small population size, the Komodo dragon is considered vulnerable, according to the latest IUCN assessment in 2021. The species is also listed as endangered in Appendix 1 of the Convention on International Trade in Endangered Species (CITES), which means it cannot be traded for any reason.

3.2. Sea turtle conservation status

The world's turtles are protected. At the international level, the International Union for Conservation of Nature (IUCN) has determined the conservation status for the world's remaining sea turtle species, listing the green turtle as endangered; the hawksbill turtle as critically endangered; the loggerhead turtle as near threatened; the olive Ridley sea turtle as vulnerable; the flatback turtle as data deficient; and the leatherback turtle as critically endangered. On 28 March 1979, Indonesia became a signatory of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), which supports a ban on turtle exports, and followed up by adopting the United Nations Convention on Biological Diversity in Rio de Janeiro, Brazil in 1992 (Halim and Dermawan, 1999).

At the regional level, turtle protection is stated in the Association of Southeast Asian Nations (ASEAN) cooperation agreement dated 12 September 1997 on conservation and protection of turtles (Halim and Dermawan, 1999). ASEAN member countries signed this cooperation agreement recognizing the importance of turtle populations and habitats in ASEAN waters. The Government of Indonesia also stipulates the protection status of the six species found in Indonesian waters. Provisions on protecting turtles in Indonesia are laid out in the following pieces of legislation:

a. Article 33 paragraph 3 of the 1945 Constitution, which stipulates that the earth, water and natural resources contained therein are controlled by the state and used as much as possible for the prosperity of the people
b. Law No. 5/1967 on Basic Forestry Provisions
c. Law No. 4/1982 on Basic Provisions for Environmental Management
d. Law No. 9/1985 on Fisheries
e. Law No. 5/1990 on Conservation of Biological Resources and Their Ecosystems
f. Government Regulation No. 7/1999 on Preservation of Flora and Fauna Species
g. Government Regulation No. 8/1999 on Utilization of Wild Species of Flora and Fauna.

3.3. Yellow-crested cockatoo conservation status

Trapping of the critically endangered yellow-crested cockatoo (*Cacatua sulphurea*) for the international pet trade has devastated its populations across Indonesia to such an extent that populations of over 100 individuals remain at only a handful of sites (Broch 1981; Cahyadin et al. 1994a, 1994b; Jones et al. 1995; Agista et al. 2001b; Eaton et al. 2015). The most abundant and secure population of yellow-crested cockatoos is believed to reside on Komodo island inside Komodo National Park. However, unlike the Komodo population, almost all yellow-crested cockatoo populations, including on Flores, are under threat due to illegal trade and habitat degradation. Consequently, the Government of Indonesia has classified it as a protected species under Government Regulation No. 7/1999, Law No. 5/1990, and Minister of Forestry Decree No. 350/KPTS 11/1997 and No. 522/KPTS-11/1997 . Meanwhile, the species is listed in Appendix I of CITES, which means its trade is prohibited. IUCN has classified the species as critically endangered based on its most recent assessment in 2018 (PHPA/LIPI/Birdlife International 1998). Given the lack of information on the distribution and populations of this species in Flores, to establish a conservation strategy it is important to conduct further surveys to identify the most appropriate areas for conservation action, and to carry out periodic monitoring.

3.4. Flores hawk-eagle conservation status

Accurate estimates of Flores hawk-eagles populations are not yet available, due to the lack of observational records from the field. However, observations do indicate low density distribution. The population of Flores hawk-eagles has declined over the last three generations, particularly in the last 10 years, mainly due to habitat loss (BirdLife International, 2009). The population has fallen by 50–79% over the last 10 years, and will continue to decline at the same rate for the next 10 years if conservation

action interventions are not taken (BirdLife International, 2009). It is listed as critically endangered in the IUCN Red List of endangered species (IUCN, 2016).

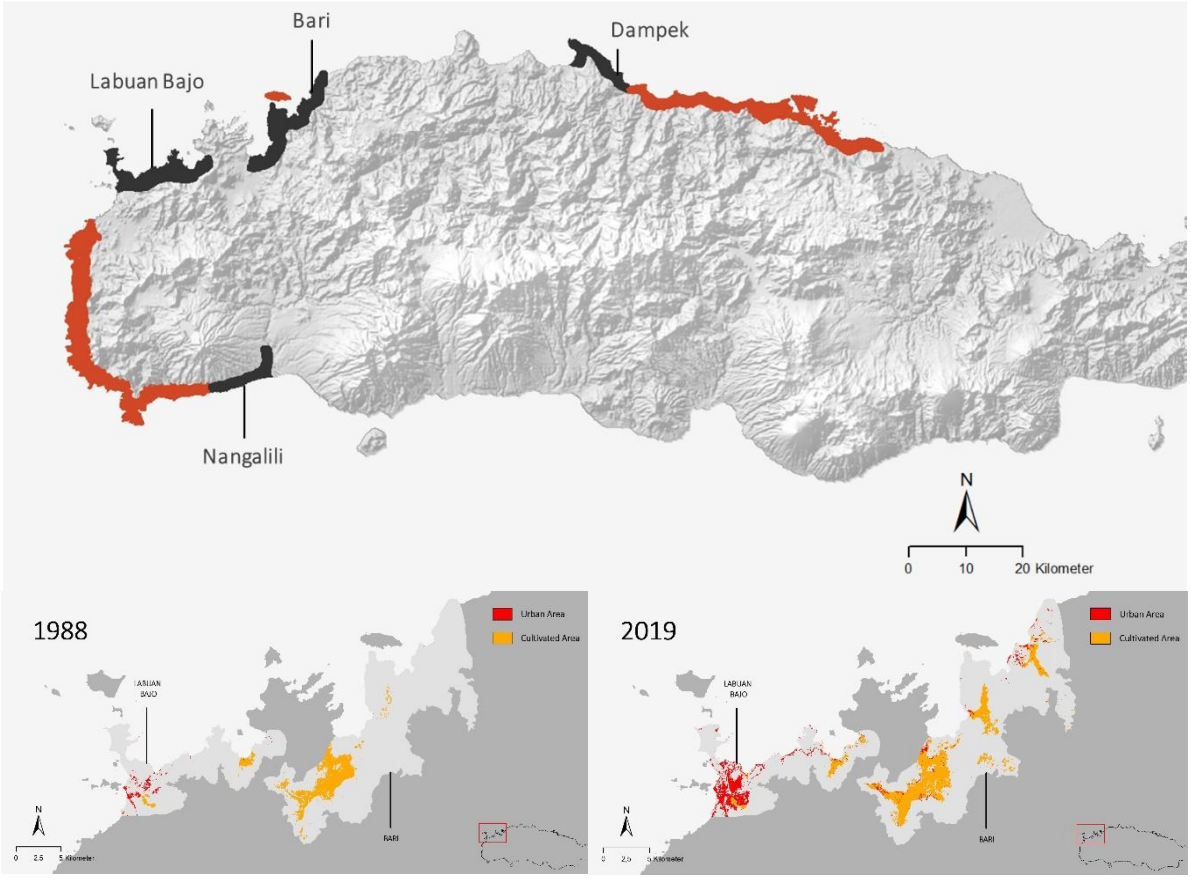


Figure 5. A) Current Komodo dragon populations (orange) from Ariefiandy et al. (2021) and past distribution (black) from Auffenberg (1981). **B)** Land-use change in Labuan Bajo, Flores from Azmi et al. (in preparation)

4. Current threats to key species on Flores, and their causes

4.1. Habitat disturbance and land-use change

Rapid development and land-use change around Labuan bajo and other major towns on Flores over the past four decades has led to increasing habitat disturbance for Flores key species. Many of these habitats are close to human settlements and in unprotected areas (BBKSDA NTT-KSP, 2021). The Komodo dragon distribution range is thought to have been shrinking over the last 50 years due to anthropogenic activities (Ciofi et al. 2002; Ciofi and De Boer, 2004; Ariefiandy et al., 2021).

Across Indonesia, good quality habitats are limited to areas designated as national parks (Simay et al., 2009). In the Lesser Sunda region, only small areas of forests are found in protected areas, and these are not always well managed (Simay et al., 2009). In the current distribution, these protected areas are considered too small to ensure the long-term survival of certain species (Gjershaug et al., 2004). Flores does have some good quality forest areas outside national parks (Simay et al., 2009). However, their unprotected status leaves them vulnerable to degradation and deforestation. Sumbawa and eastern Flores are covered with extensive grasslands and scrub with low tree density, and most of the forest is deciduous (Raharjaningtrah and Rahman, 2004). Local communities have practiced burning and turned forests into farming areas (Raharjaningtrah and Rahman, 2004). In addition, population growth and commercial agriculture and forestry industries have exacerbated the destruction of forested areas (Raharjaningtrah and Rahman, 2004).

Deciduous forest is considered as the most sensitive habitat for the Flores hawk-eagle, and the most vulnerable and easily damaged of tropical forests (Raharjaningtrah and Rahman, 2004). Land-use change, including burning for agricultural and

forestry, decreases forest area by about two million ha per year (FWI/GFW, 2002). Researchers have not observed Flores hawk-eagles living in very low-density forests or partly-cultivated landscapes, and thus consider the species unable to survive in such environments (BirdLife International, 2009a). The remaining habitats will not continue to support this species if forest degradation continues.

4.2. Invasive alien species

The expansion of human settlements and increases in farming and poaching could lead to higher numbers of dogs on Flores. Dogs are common companions for people on Flores when they hunt deer or wild boar, and are often left to guard farmland (Ariefiandy et al., 2015; Da Silva, 2021; Warembourg et al., 2021). Feral dogs are potential transmitters of zoonotic diseases, such as rabies, and may cause human public health concerns. In the wild they are potential competitors for native predators like Komodo dragons. In Wae Wuul Nature Reserve, feral dogs are found in Komodo dragon foraging areas and may affect the deer population, which could threaten the survival of Komodo dragons (BBKSDA NTT-KSP, 2017). As a reptile and ectotherm species, the Komodo dragon is less likely than feral dogs are to hunt deer frequently.

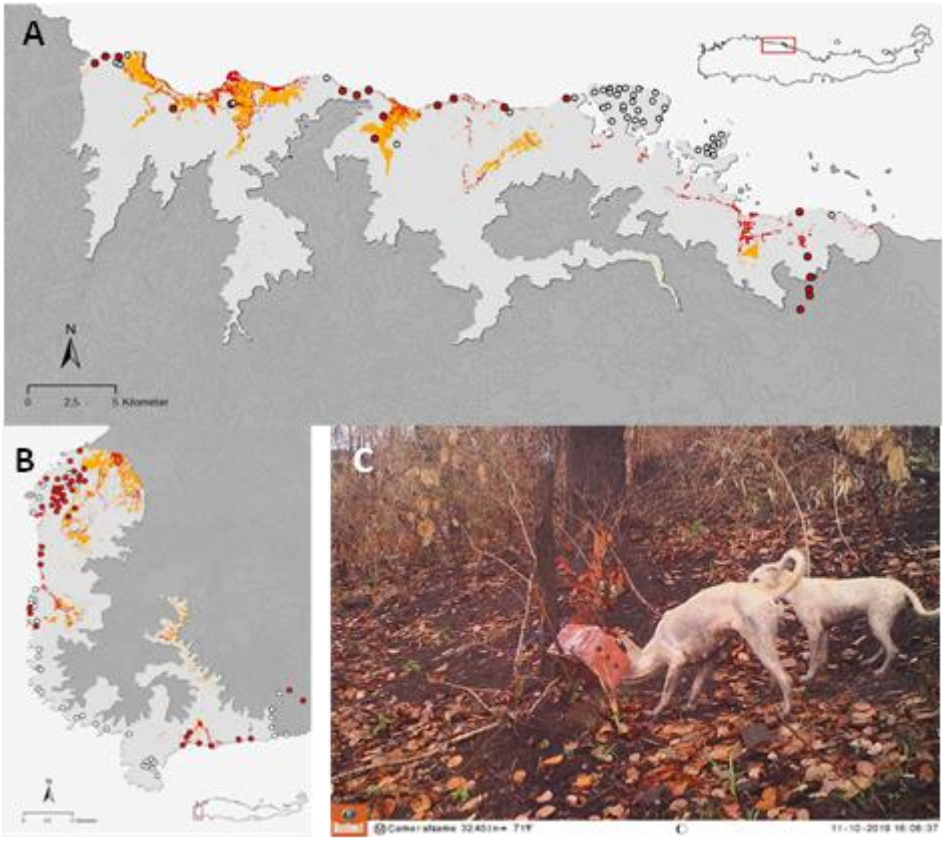


Figure 6. Distribution of feral dogs in north Flores (A) and west Flores (B). White circles denote camera trap locations, with red circles indicating where dogs have been detected (C). Light grey areas denote potential Komodo dragon habitat. *Source:* Komodo Survival Program (unpublished report).

4.3. Limited dispersal of Komodo dragons

Concordant results from telemetry, simulations, experimental translocations, mark-recapture, and gene flow studies have indicated that despite impressive physical and sensory capabilities for long-distance movement (Jessop et al., 2018), Komodo dragons exhibit near complete dispersal restriction: individuals rarely move beyond the valleys they were born/captured in. Komodo dragons retain impressive physical movement and homing capacity, yet exhibit stringent site fidelity and remain confined almost exclusively to their resident valleys. Similarly, despite close proximity and strong currents among islands, ocean dispersal is extremely rare. It is estimated that only one migrant dispersal event will occur in approximately 24 years. Komodo dragon site-fidelity seems insensitive to common agents of dispersal evolution (i.e., indices of risk for inbreeding, kin and intraspecific competition, and low habitat quality) that cause reduced survival of resident individuals. This mechanism allows Komodo dragons to survive in relatively small habitats. However, restricted distribution range and complete dispersal restriction also make Komodo dragons vulnerable for anthropogenic activities (i.e., habitat degradation, illegal poaching of prey and anthropogenic climate change (Jones et al., 2020; Ariefiandy et al., 2021).

4.4. Biopiracy

Komodo dragons are known to contain numerous strains of pathogenic bacteria in their saliva. These bacteria are also obtained from their environment, as Komodo dragons are known to often eat rotting animal carcasses (Montgomery et al., 2002). They endure numerous strains of pathogenic bacteria in their saliva and recover from wounds inflicted by other dragons, suggesting that dragons have robust defenses against infection. Several studies have been carried out on specimens of Komodo dragons in zoos to determine the anti-microbial protein content in their mouths (Merchant et al., 2013; Bishop et al., 2017; Van Hoek et al., 2019; Hitt et al., 2020). Some were successfully identified novel potential cationic antimicrobial peptides. The findings demonstrate the power and promise of bioprospecting from Komodo dragons to cationic antimicrobial peptide discovery, and reveal the presence of a plethora of novel histone-derived antimicrobial peptides in the plasma of the Komodo dragon.

To date, there has been no specific research on antimicrobial peptide from wild Komodo dragons on Flores. Even though no biopiracy from wild Komodo dragons on Flores is evident as yet, the recent findings from antimicrobial protein studies on Komodo dragons in zoos may lead to potential future biopiracy, especially in regard to Komodo dragon blood and protein being promising for future biomedical development.

4.5. Climate change

Tropical island endemics are highly vulnerable to global change (Sodhi et al., 2004). Island species often possess attributes, such as low dispersal rates, small population sizes, low heterozygosity and strong local adaptation, which constrain the ecological and evolutionary responses needed to counter rapid environmental change (Frankham, 1998; Fordham and Brook, 2010). The impact of climate change on tropical island species may be exacerbated because tropical species are particularly susceptible to increases in temperature associated with global warming (Tewksbury et al., 2008), and sea level rise is projected to flood low-lying island habitats, leading to a marked deterioration in quality and availability of habitats (Menon et al., 2010; Wetzel et al., 2012). The impacts of anthropogenic climate change are expected to be disproportionately large for tropical archipelagos (Sodhi et al., 2004). Therefore, Indonesian tropical archipelagos, especially those in the Lesser Sunda region that harbor high levels of endemism, are expected to be impacted by anthropogenic climate change.

The Komodo dragon is the world's largest lizard and a unique and iconic island-endemic species. The species occupies a highly restricted range distribution (Ciofi and De Boer, 2004). Populations of Komodo dragons currently persist on five islands in south-eastern Indonesia. Around 3,000 individuals live in an area of approximately 600 km^2, split across the islands of Komodo, Rinca, Nusa Kode and Gili Motang within the World Heritage-listed Komodo National Park (Purwandana et al., 2014). On the largest island of Flores (13,540 km^2), outside Komodo National Park, range contraction and population declines have been documented, mainly due to expansion of human settlements, illegal hunting of prey species and forest clearance for agriculture (Ciofi and De Boer, 2004; Ariefiandy et al., 2015). Komodo dragons on Flores are currently only found in a small number of habitat fragments along the north and west coasts of the island. Only around 85% of potential Komodo dragon habitat on Flores is protected for conservation purposes (Ciofi and De Boer, 2004; Ariefiandy et al., 2015).

Recent research on climate change (Jones et al, 2020) showed that climate change over the next few decades will have a major impact on Komodo dragons. Climate change models project that over the next century, Indonesia will experience unprecedented rates of both temperature rise and reduced rainfall (Boer and Faqih, 2004; Diffenbaugh and Giorgi, 2012), leading to a prolonged dry season with increased fire frequency and decreased soil moisture (Fernandes et al., 2017). This will cause a contraction of mesic forest cover and an expansion of drier vegetation communities, such as savanna woodland (Bickford et al., 2010). This vegetation transformation is likely to negatively impact Komodo dragons by altering resource availability for survival and reproduction (Jessop et al., 2006, 2007). In addition, rising sea levels are likely to inundate low-lying valleys (Heaney, 1991) that currently support the highest densities of Komodo dragons, leading to a permanent loss of their preferred lowland habitat (Purwandana et al., 2014).

The predictions of six climate change scenarios (Jones et al., 2020) show that in 2050 there is a possibility of the Komodo dragon distribution range potentially declining by 8–87%, leading to a decrease in habitat-patch occupancy of 25–97% and declines of 27–99% in abundance across the species' range depending on the climate change scenarios and the mitigation policies to reduce greenhouse gas emissions. These estimations are based on six different plausible future scenario climate model parameterizations. Model sensitivity to CO_2 concentration is classified by the amount of temperature change resulting from a doubling in atmospheric CO_2 concentration ($\Delta T2x$). Aerosol forcing accounts for the particulates released by the burning of fossil fuel and biomass, which have a net cooling effect on global temperatures (by blocking sunlight).

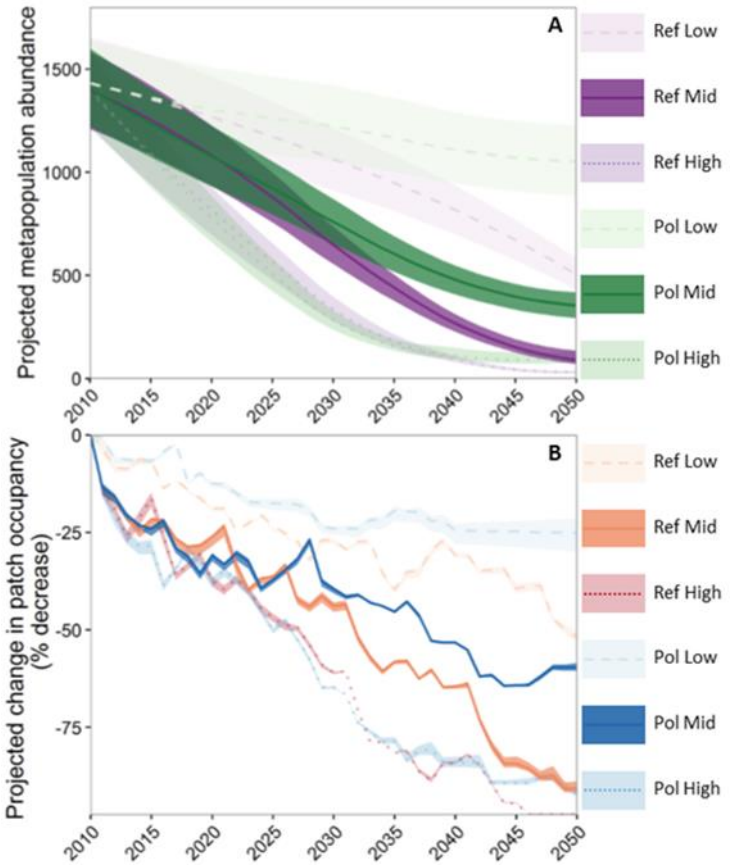


Figure 7. Predicted Komodo dragon metapopulation abundance and changes in patch occupancy in 2050 under six plausible climate change scenarios (Jones et al., 2020)

Based on the six plausible scenarios predicted in Jones et al. (2020), the worst predictions only happen in the extreme condition (i.e., temperature increases by 6°C and greenhouse gas emissions rise throughout the 21st Century) when only Komodo dragons on Rinca and Komodo islands could survive. However, according to their study, even in the best scenario (i.e., temperature increase can be maintained to a maximum 1.5°C and greenhouse gas emissions decline after 2020) there are still possibilities of slight changes in Komodo dragon patch occupancy in 2050. These changes will most likely happen on small island populations and on Flores where Komodo dragon populations are thought to be more vulnerable to the impacts of climate change compared to those on Komodo and Rinca.

Table 2. Details of six plausible future scenario climate model parameterizations (Jones et al., 2020)

Future climate scenario	Emissions scenario	Sensitivity (ΔT2x)	Aerosol forcing
Pol Low	A very low greenhouse gas emissions scenario, assuming considerable intervention. Based on IPCC Representative Concentration Pathway (RCP) 2.6: Climate policies lead to greenhouse gas emissions peaking between 2010–2020 and declining thereafter.	ΔT2x 5th percentile = 1.5°C	Low (-0.3 W/m^2) = 5th percentile based on the uncertainty around the 'best estimate' value from the given in the 2007 IPCC report
Pol Mid		ΔT2x 50th percentile = 3°C	Mid (-0.7 W/m^2) = the median (best-estimate) for aerosol forcing given in the 2007 IPCC report
Pol High		ΔT2x 95th percentile = 6°C	High (-1.1 W/m^2) = 95th percentile based on the uncertainty around the 'best estimate' value from the given in the 2007 IPCC report
Ref Low	A high greenhouse gas emission scenario with a rising	See Policy low	See Pol low

Future climate scenario	Emissions scenario	Sensitivity (ΔT2x)	Aerosol forcing
Ref Mid	radiative forcing pathway. Based on IPCC Representative Concentration Pathway (RCP) 8.5: Lack of climate policies lead to greenhouse gas emissions continuing to rise throughout the 21st Century.	See Policy mid	See Pol mid
Ref High		See Policy high	See Pol high

Climate change is also thought to have had a negative impact on the Flores hawk-eagle. Even though there are no specific studies about the impacts of climate change on the projected population of Flores hawk-eagles, with an estimated 100–200 individual eagles remaining, the synergistic effects of climate change and small population sizes make this species highly vulnerable to extinction (WildEarth Guardians, 2011).

4.6. Roadkill

With few and scattered protected areas and a rapidly expanding human population on the north coast of Flores, an opportunistic survey and roadside monitoring by Azmi et al. (2021) recorded some vehicle-related Komodo incidents along a recent road development in northern Flores. Records showed eight instances of Komodo dragon injury (n = 2) and mortality (n = 6) occurring over a five-year period (2013–2018). All reported casualties occurred during the cooler dry season and were concentrated along an approximately 2 km section of road that intersects high-quality dry monsoon forest habitat.



Figure 8. (Left) The study area where a section of road passes through pristine habitat occupied by Komodo dragons (Doc. Muhammad Azmi). (Right) A dead sub-adult Komodo Dragon killed in a collision with a motorcycle in Watu Pajung (Doc. Arsyad M. Kasim).

4.7. Illegal trade

Various species of wild fauna from Flores, including Komodo dragons, have been found in illegal trade. In 2019, Indonesian authorities successfully apprehended a network of Komodo dragon traders in East Java, and found 41 individuals ready to be shipped abroad for sale at IDR 500 million each (ABC Australia, 2019). Several bird species are in high demand on the black market. In early 2021, Indonesian authorities intercepted a shipment of 380 songbirds from Ende in Flores to Surabaya, a large port city in East Java (Astuti, 2021), and another shipment from Labuan Bajo to South Sulawesi involving 65 grosbeak starlings (*Scissirostrum dubium*) (Petrus, 2021). In September 2021, local authorities released 1,221 birds rescued in illegal trade monitoring operations. The birds included 541 Indian white-eyes (*Zootherops palpebbrosuss*), 459 pied bush chats (*Saxicola caprata*), 13 chestnut-capped thrushes (*Zoosthera interpres*) and 15 great tits (*Parus major*) (de Rosary, 2021). This level of illegal wildlife trade traffic indicates a high demand for Flores biodiversity, and the need to strengthen monitoring operations and increase local awareness of endemic species conservation, while also educating consumers from beyond the island.

Hunting and illegal trade are believed to be major causes contributing to declining Flores hawk-eagle populations (Raharjaningtrah and Rahman, 2004; BirdLife International, 2009a). Reasons behind hunting are pet trading; the species being considered a poultry pest that should be destroyed, as recorded in Melo Village; and people using the bird for target practice. A documented Flores hawk-eagle trade route involves birds being caught in Ilimudu, and hunters shipping them to Bali (Trainor and Lesmana, 2000). In addition, Flores hawk-eagles are also traded locally, with sales of two juveniles recorded in Ruteng (Trainor and Lesmana, 2000), and individuals caught in Sumbawa being sold in Lombok (Raharjaningtrah and Rahman, 2004).

Table 3. Recorded instances of Flores hawk-eagle keeping, illegal trade and hunting

Time	Explanation	Location	Source
2000	Hunter caught Flores hawk-eagle for local bird trade at Ilimudu	Ilimudu	Trainor and Lesmana, 2000
2000	Two Flores hawk-eagles sold in Ruteng	Ruteng	Trainor and Lesmana, 2000
2003	Illegal trade of Flores hawk-eagle in Lombok Seller was from Sumbawa	Lombok and Sumbawa	Raharjanitrah and Rahman, 2004
2003	Hunting/shooting of Flores hawk-eagles	Melo, Mbeliling, Flores	Raharjanitrah and Rahman, 2004
August 2004	Illegal trade of Flores hawk-eagle	Mbeliling, Flores	Gjershaugh et al., 2004
2014	One Flores hawk-eagle shot near its nest	Apui, Alor	Verbelen (2012)
2015	One Flores hawk-eagle shot in retaliation for preying on chickens	Okisobe, Kelimutu	Kupriyangga, 2015 (pers. obs.)
2017	One Flores hawk-eagle captured by a local	Woloara, Kelimutu	Kuspriyangga, 2017 (pers. obs.)
2017	One Flores hawk-eagle kept by a local	Maumere	Kuspriyangga, 2017 (pers. obs.)
March 2018	One Flores hawk-eagle kept by a local	Lampang, West Manggarai	Rabenak, 2018 (pers. comm.)

4.8. Bycatch

A study in East Flores Marine Reserve showed fishing methods used by local fishermen catching stingrays and winghead sharks (*Sphyrna blochii*) due to a lack of marine protected area management to control bycatch. Prohibition rules initiated by the Ministry of Maritime Affairs and Fisheries, Wildlife Conservation Society and the East Nusa Tenggara Provincial Government have now been posted at the entrances of village offices (Paulus and Azmanjaya, 2020). In some cases, bycatch results from destructive fishing practices, such as fish bombing in Ende, Flores (Nura, 2019).

4.9. Consumption

According to Forth (2021), people in the Nage area and other islanders of Flores hunt large bats, commonly known as flying foxes (*Pteropodidae*), for consumption, mostly using catapults or air rifles, but previously with bows and arrows or blowpipes. These bats are only hunted for food, and not for sale.

Manta rays (*Mobula birostris* and *M. alfredi*) are threatened by overexploitation for international trade. Indonesia was home to the world's largest documented manta fishery around Lamakera, an island close to Flores. However, in 2014, the Government of Indonesia declared manta rays protected species. Since then, an integrated approach combining community outreach and livelihood-focused incentives with targeted enforcement actions has shown reduced manta hunting. An impact assessment in Lamakera over a five-year period (2013–2018) using a theory-based research design (Booth et al., 2021) showed mortality falling by 86% in 2018 compared to the 2013 baseline.

5. Human-wildlife conflict and measures to reduce it on Flores

5.1. The current human-wildlife conflict situation on Flores

With economic development on Flores, interaction between humans and wildlife is increasing. One species that has become the government's focus is the Komodo dragon. In Flores, where people along the north coast have been living alongside Komodo dragons, common forms of human-Komodo conflict interaction are livestock predation, attacks on humans, and trapping and killing of Komodo dragons by communities. If such conflicts continue, people's tolerance towards the world's largest living lizard could decrease, which may reduce support for its conservation. Therefore, it is vital to understand human-Komodo conflict types and patterns to serve as a baseline for managing conflict in the future.

A study conducted by the Komodo Survival Program (KSP) in collaboration with BBKSDA NTT and subdistrict governments in Pota and Riung, northern Flores shows how local people's perceptions changed following a three-year intervention program in the region. Prior to the intervention program and pre-post measurement, the organization conducted a pilot project on Longos, a small island where the presence of Komodo dragons was first recorded in 2005 (Komodo Survival Program, 2016). The 478-ha islet has four hamlets and approximately 1,400 inhabitants, mostly fisherfolk. The habitat is predominantly dry deciduous monsoon forest and mangroves. Longos is not part of the network of nature reserves in Flores, and had yet to be the target of any conservation initiative. The second study site included Pota and Riung, located further east along the northern coast of Flores. Here, current threats to Komodo dragons are poaching of key prey species, namely the Timor deer (*Rusa*

timorensis), and habitat degradation, which has significantly reduced the abundance and distribution of Komodo dragons in Flores (Ciofi and de Boer, 2004; Ariefiandy et al., 2015). The pilot study helped establish the final construction of social and psychological measurements to be used in the Pota and Riung project.

A first assessment in 2016 in Pota and Riung acted as a preliminary study for identifying the initial perceptions of people towards Komodo dragons in the area, while a second assessment in 2017 functioned as an evaluation measurement for the intervention program. Questionnaire-based interviews were conducted with respondents in nine villages in August 2016 and 2017, where villagers were asked about their attitudes towards Komodo dragons, and to provide details of conflicts over the past one year, and of their livestock management. Additional information about Komodo roadkill in Pota was also collected from the local tourism division staff.

In 2016 there were 11 direct conflicts between humans and Komodo dragons. In the first year, four instances of Komodo dragons entering villages and/or attacking livestock were recorded. These conflicts resulted in the death of three Komodo dragons and injuries to two villagers who suffered Komodo bites. Although more conflicts were recorded in the second year (seven incidents), casualties on both sides were significantly decreased, with only one incident resulting in the killing of a Komodo dragon, and no local people were attacked by Komodo dragons that year.

This phenomenon showed the changing attitude from local people and their understanding that the Komodo dragon is a protected species. It was supported by the results of a perception survey, which concluded that the number of people willing to coexist had increased 39%, from 138 people in 2016 to 192 in 2017 (number of respondents = 270). After being involved in awareness and conflict mitigation activities, the majority of local people who used to trap and kill dragons entering their villages, now preferred to coordinate with local government (the district tourism division), BBKSDA NTT, and KSP to repatriate or release Komodo dragons back to their habitat. Although conflicts still arise, the initiative resulted in a decline in the number of Komodo casualties during 2017. However, with Flores being one of the government's top priorities for tourism development, land conversion in the region is still a major problem for wildlife. In addition, central government protected areas (KSA/KPA and KEE) in Flores only cover less than 15% of the Komodo dragon's distribution range on the island (Ariefiandy et al., 2021; BBKSDA NTT-KSP 2021). Some studies, which are discussed further in this section, provide more details on this problem, particularly road development, which leads to habitat fragmentation.

5.2. Conflict types and assessment results

As a key species, the Komodo dragon has been subject to the most comprehensive studies done by researchers on the island of Flores. Beyond these studies, however, we found some other resources recording conflict types and instances, including:

5.2.1. Livestock predation

The only comprehensive records found on livestock predation by wildlife are from the Komodo Survival Program, which has been studying the issue since 2016. A survey done by the team found the surprising fact that dogs were more responsible than Komodo dragons for cases of livestock predation, at 58% and 42% respectively. In 2016, there were 11 cases of livestock predation in the Pota area, and 40 cases in Riung. Within one year, the team have conducted multiple interventions, meeting with key opinion leaders to discuss alternative ranching methods to minimize Komodo attacks. With the implementation of these improved methods, together with a consistent awareness raising program, citizen science to record predation cases, capacity building, engagement with the authorities, and various FGDs, within one year, cases had fallen to only two in Pota and six in Riung. Further details of these interventions, ranching methods and capacity building are provided in section 5.5.1.



Figure 9. A typical local livestock enclosure (left) and improved pen to prevent predation (right) (Doc. Sanggar A. Nasu)

5.2.2. Crop raiding

On Flores, local people consider two species as pests that often raid their crops: wild boar (*Sus scrofa*) and long-tailed macaques (*Macaca fascicularis*). These animals are often snared or hunted by villagers (Arsyad, personal communication). Problems then arise, not only because these species are alternative prey for Komodo dragons in areas where deer are scarce or absent, but also because the snares intended to catch wild boar often trap Komodo dragons as well in both Pota and Riung (Komodo Survival Program, 2019), thus increasing human-wildlife conflict and threatening Komodo dragon populations.

Another animal responsible for crop raiding is the flying fox. Flying foxes are frugivores, and consume the berries of imported coffee plants in the central part of Nage region (Forth, 2021). In Nage folklore, there is a story concerning the origin of the arenga palm (*Arenga pinnata*) in So'a, Ngada District, which was first eaten by a flying fox that flew all over Nage defecating and scattering seeds. The story gave flying foxes their reputation as propagators, and consequently people in Nage usually hang nets around their trees during the fruiting season, and do not kill or eradicate bats that eat their fruits (Forth, 2021). However, people from So'a – an area where flying foxes also serve as Komodo dragon prey – are known to hunt flying foxes for food (David Daing, Head of Riung Subdistrict BBKSDA, personal communication).

5.2.3 Attacks on humans

Attacks on humans have been recorded by two large reptiles known inhabit Flores: the saltwater crocodile and Komodo dragon. Saltwater crocodiles (*Crocodylus porosus*), which are widely distributed throughout Southeast Asia, account for hundreds of attacks annually. Records of attacks on humans in East Nusa Tenggara province from 2009 to 2018 compiled by Sideleau et al. (2021) using an online database of incidents (CrocBITE), showed an average of 10 incidents a year, 60% of which resulted in human casualties. Most victims were male (84%), and most attacks (75%) occurred while fishing, and mostly in West Timor (70%). A previous study by Sideleau (2016) between 1 January 2006 to 31 October 2016, recorded 86 attacks resulting in 55 deaths in East Nusa Tenggara province, for a fatality rate of 63.9%. Three of these attacks were on Flores, with two fatalities (Sideleau, 2016).

In the news, BBKSDA NTT made a public statement that at least 29 citizens of East Nusa Tenggara province had died as a result of crocodile attacks from 2011–2017 (Jahang, 2017). In recent years, a man was attacked when he was about to take water in a spring (de Rosary, 2020). Nevertheless, despite many incidents involving crocodiles, one local community in Karawatung village inside the East Flores Marine Reserve prohibits catching crocodiles as they are believed to be incarnations of local people's ancestors (Paulus and Azmanjaya, 2020).

In contrast to crocodiles, Komodo dragons have a more limited distribution on Flores, and numbers of recorded attacks on humans are significantly lower. On Flores, only two Komodo dragon attacks have been recorded, the first on a villager in Sambi Rampas who was bitten when he tried to save his dog from a Komodo dragon. He was injured but survived with a bite wound to his leg (Arsyad, personal communication). The second incident involved a ranger in Riung Nature Reserve (Nico Manu) who was bitten by a Komodo dragon that had been captured in a village in Riung (Nico Manu, personal communication), which he was in the process of releasing back into its natural habitat. He suffered a moderate injury to his hand but survived. The frequency of incidents is much higher in Komodo National Park than on Flores. The park authority recorded at least 27 Komodo dragon attacks on humans between the park's establishment and 2013. Most of these incidents occurred in places where human activity is relatively high (village settlements or tourism areas), and the victims were KNP rangers and villagers from Kampung Komodo and Rinca. Five of these 27 incidents resulted in fatalities (Rismayani, 2013). The Komodo Survival Program (unpublished report) recorded an additional eight incidents from 2014 until 2021, in all instances the victims survived with some moderate injuries. In summary, to date there have been 35 incidents of people being bitten by Komodo dragons in Komodo National Park.

5.3. Current research on HWC in Flores

5.3.1. Perceptions and quantitative social psychology studies of human-Komodo conflict

After its pilot study on Longos in 2016, the Komodo Survival Program (KSP) continued with studies in Pota and Riung. The 2016 assessment involved 180 adult interviewees in six villages in Pota, and 90 in three villages in Riung, making a total of 270 respondents. The research commenced on 4 August 2016 with in-depth interviews and questionnaires, which were divided into: interviews about people's perceptions of their villages and Komodo dragons; filling in human-wildlife conflict survey forms; and using scales to establish what people consider a comfortable personal distance from Komodo dragons, and their attitudes and future intentions regarding the species. After that, participants were shown a series of pictures depicting Komodo dragons hunting prey, defending themselves, and fighting, as well as tourism to measure their feelings towards Komodo dragons using a pictorial scale. Each participant had given their informed consent to the research team and had agreed to participate. The entire research process was approved by an Ethics Board from the Faculty of Psychology at the University of Indonesia.

The respondents had an average age of 47.2 years old, 80% male and 20% female. Most were Muslim (68.1%) and Catholic (31.8%). Most respondents had only completed elementary school (39.6%), while 22.2% had graduated from high school, and 9.6% from college. Professions varied, but 58.1% identified themselves as farmers (no one identified themself as a rancher). During this research, some qualitative results were gained from cultural leaders about respondents' perceptions towards livestock animals and their significance as direct investments for their children's education; their cultural significance especially for wedding ceremonies; and indirect investments like dogs for guarding people's homes or crops. This first public consultations indicated that people already knew what Komodo dragons were (96.3%) and could distinguish them from monitor lizards (87.4%). Interestingly, there was no significant correlation between the numbers of livestock attacked that year by Komodo dragons and negative attitudes towards them (r = -0.026, p = 0.338) or personal experience of being attacked (r = -0.101, p = 0.242). The variable with a significant correlation to positive attitudes towards Komodo dragons was emotion (r = 0.157, p = 0.005). One variable important for that process was utility, which correlated positively to a positive attitude towards Komodo dragons (r = 0.672, p = 0.000). It is worth noting that utility is a perception; so the task was to give a new perspective of how Komodo dragons hold a utility, and whether it is a tangible or intangible one for the people. The other important finding was that negative attitudes towards Komodo dragons correlated significantly with direct investment (adapted from the qualitative results) compared to other types of investment (r = -0.108, p = 0.039). There was also a robust result where attitude correlated significantly with the distance people felt comfortable at in coexisting with Komodo dragons (r = -0.423, p = 0.000).

In 2017, a second assessment targeted the same nine villages, with 179 adults in Pota and 90 in Riung interviewed. The 269 respondents had an average age of 43.4 years old, younger than the previous year (47.2 years old). The number of female participants rose significantly in 2017, to 30.4% compared to only 20% the previous year. Most respondents were Muslim (75.8%) and Catholic (23.8%), with one participant being Protestant. Most respondents had only completed elementary school (45%), while 21.9% had studied in high school, and 10.4% in college. Professions varied, but 51.7% identified themselves as farmers (with three identifying themselves as ranchers).

The same year, the team also interviewed six key informants from two new villages, Marotauk and Latung, on annual deer catches in the villages. Some important information was gained, including deer hunting methods, and how three cultural leaders in Marotauk had different opinions on why the deer population kept falling and fewer were being caught each year. One leader said it was because the government had prohibited burning savanna, which had been a requirement before hunting commenced. Another said it was they had lost an annual tradition involving tying up a cultural leader when hunting commenced, and it had something to do with ancestral spirits, while the eldest leader said it was because villages were releasing horses that graze freely on the savanna and compete with deer for food. The team also secured important information in Latung, which no longer holds its own annual deer hunt as there are no longer any deer in the area, and instead joins the hunt in Marotauk. Previously they would hunt in Ri'a village, a mountainous area far from their coastal village. Nevertheless, they regularly hunt various wild animal species as their protein source, but no longer use wild animals in cultural ceremonies as doing so is prohibited. Similar to Marotauk, people in Latung prefer using domesticated chickens in cultural ceremonies. People in Latung still hunt wild deer, boar, porcupines, civets, monkeys, snakes, dogs, monitor lizards, and even Komodo dragons. Their culture and Catholic beliefs do not prohibit them from eating such animals, whereas people in Muslim majority villages will not eat wild animals as their religion prohibits them from doing so. Despite laws prohibiting people from hunting wild animals illegally, one leader said that law enforcement was too weak to deter people in Latung. Changing Latung villagers' perceptions of this issue will be important to ensure the continued existence of Komodo dragon prey and the species itself in the habitat.

In 2017, most participants knew what Komodo dragons were (99.3% compared to 96.3% the previous year), but fewer people (84% compared to 87.4% the previous year) could distinguish them from monitor lizards. However, these results had nothing to do with gender with r = -0.035, p = 0.283 (the initial assumption was that female participants, who were higher in number and spend most of their time at home, would struggle to differentiate between Komodo dragons and monitor lizards). As with results from 2016, there was no significant correlation between numbers of livestock attacked and negative attitudes towards Komodo dragons (r = -0.301, p = 0.216).

Emotion (measured by asking how respondents felt after seeing pictures of Komodo dragons, using the Paul Ekman emotional scale) correlated significantly with positive attitudes towards Komodo dragons (r = 0.339, p = 0.000), replicating the previous year's result with stronger effect. Utility (how people perceive Komodo dragons to be beneficial) also correlated with positive attitudes towards Komodo dragons (r = 0.658, p = 0.000). These "affect and utility" results confirm the argument of Serpell (2004) that these two factors are the determinants of people's attitudes toward animals. Interestingly, confirming this theory, emotion and utility had a significant, positive correlation to each other (r = 0.252, p = 0.000). Overall, attitudes towards animals also correlated with emotion, showing attitudes and emotion were two things that aligned (r = 0.339, p = 0.000).

The bigger question was what determines people's negative attitudes toward animals? In 2016, the team found that negative attitudes towards Komodo dragons correlated significantly with direct investment, compared to other types of investment (r

= -0.108, p = 0.039), but, interestingly, failed to find any correlation between direct investment in livestock and attitudes towards Komodo dragons (r = -0.01, p = 0.432) in 2017.

In 2017, the team again found a consistent, significant correlation between comfortable interpersonal distance (CID) and participants' intention to coexist with Komodo dragons (r = -0.349, p =0.000). Intention was measured using two statements adapted from Marchini and Macdonald (2012) on participants' intention and willingness to try to coexist with Komodo dragons. The smaller the distance from Komodo dragons participants felt comfortable standing at, the greater their intention to coexist with Komodo dragons. CID also had a negative correlation with attitudes towards Komodo dragons (r = -0.194, p = 0.001); the smaller their comfortable distance, the more positive their attitudes were towards Komodo dragons. The team also found a significant correlation between encounters with ("I have seen a Komodo") and attitudes towards Komodo dragons, with people who had seen them having relatively positive attitudes (r = 0.120, p = 0.025). Familiarity is one aspect that might determine people's attitudes towards Komodo dragons.

An important consideration from the 2016 and 2017 results was that people's acceptance of the idea of coexistence with Komodo dragons increased. This was reflected in participants being more positive to the suggestions that Komodo dragons have a right to live in the same ecological space as them (t = -4.883, p = 0.000); it is possible to coexist with Komodo dragons in the surrounding environment (t = -5.600, p = 0.000); and it is fair if the government wants people to coexist with Komodo dragons (t = -5.336, p = 0.000).

Locational analysis comparing participants in Pota and Riung indicated no difference in attitudes (t = -0.775, p = 0.451), emotion (t = -0.669, p = 0.504), CID (t = 1.070, p = 0.286), and intention to coexist with Komodo dragons (t = -0.341, p = 0.733).
Overall, participants' intention and willingness to coexist with Komodo dragons increased significantly from 2016 to 2017, with "I have the intention to coexist with the Komodo dragons near my home" (t = -4.567, p = 0.000) and "I want to try to coexist with the Komodo dragons near my home" (t = -5.471, p = 0.000). However, the attitudes toward Komodo dragons variable indicated people's attitudes had changed very little, except for the safe/dangerous aspect indicating people perceiving Komodo dragons as more dangerous in 2017. With the other aspects, people had a slightly more positive attitude compared to the previous year, though p values were insignificant.

5.3.2. Qualitative anthropology studies of human-Komodo conflict

In addition to their quantitative studies, KSP also used qualitative studies to better understand the human-Komodo conflict situation on the ground. The main approach used was participatory observation, which required researchers to live with communities, experience their daily lives, and conduct social mapping to better understand who was in charge of major decisions within the community. The team conducted four separate studies, with one inside Komodo National Park. Two studies were conducted between 2018–2019 in Riung and on Longos. The first study was conducted in five villages: West Sambinasi, Central Sambinasi, Sambinasi, Latung, and Nanga Mese. Social mapping was conducted together with ethnographic studies, resulting in a comprehensive documentary of the ethnic Baar people, the largest indigenous group whose communities coexist with Komodo dragons in Riung. The resulting ethnographic notes identify key stakeholders in the Baar communities sharing Komodo dragon habitat, and who the team recommended approaching in order to advocate for indigenous land protection. The team also documented some cultural rituals, which helped them understand the best times to approach the communities to discuss habitat protection. By bringing communities' rituals and customary practices together, KSP successfully ensured the protection of cultures in Torong Padang Peninsula, with written and signed agreements on protecting the peninsula, customary laws regulating deer hunting that support conservation, and bringing communities together in protecting Komodo dragons in the area.



Figure 10. Qualitative studies in Riung by KSP (doc: M. Azmi and Meta)

A second study conducted on Longos Island in 2019 resulted in notes similar to those from the first study. However, administrative issues play an important role on the island, as despite its small size, its villages are separated into two different

administrative regions, which can cause significant horizontal conflicts, for example, with different villages receiving government aid at different times. Infrastructure development at different paces also divides the populace, complicating conservation efforts as there is no single line of communication like there is in Riung. Nevertheless, the team used a similar approach on Longos to the one used in Riung, and with several screenings, FGDs, and door-to-door visits, people's attitudes towards Komodo dragons became more positive. These approaches were effective in gaining people's trust and improving their understanding of conservation efforts, and could be replicated for other species.

5.4. Human-Komodo conflict hotspots on Flores

KSP reported several human-Komodo conflicts in north Flores, with villagers in Pota and Riung frequently reporting attacks on their livestock.

Several road kills were also reported during intensive data collection in Pota and Riung in 2016 and 2017. As tourism is developing rapidly on Flores, KSP has mapped areas of potential future human-Komodo conflict on Flores resulting from road construction. Ongoing and intensive road construction in northern Flores between Pota and Riung has the potential to cause future human and wildlife conflicts, particularly as several sections of road pass through Komodo dragon habitats. In another location, the plan to build the South Labuan Bajo road segment is also expected to lead to further road kills in the southern part of West Manggarai district.

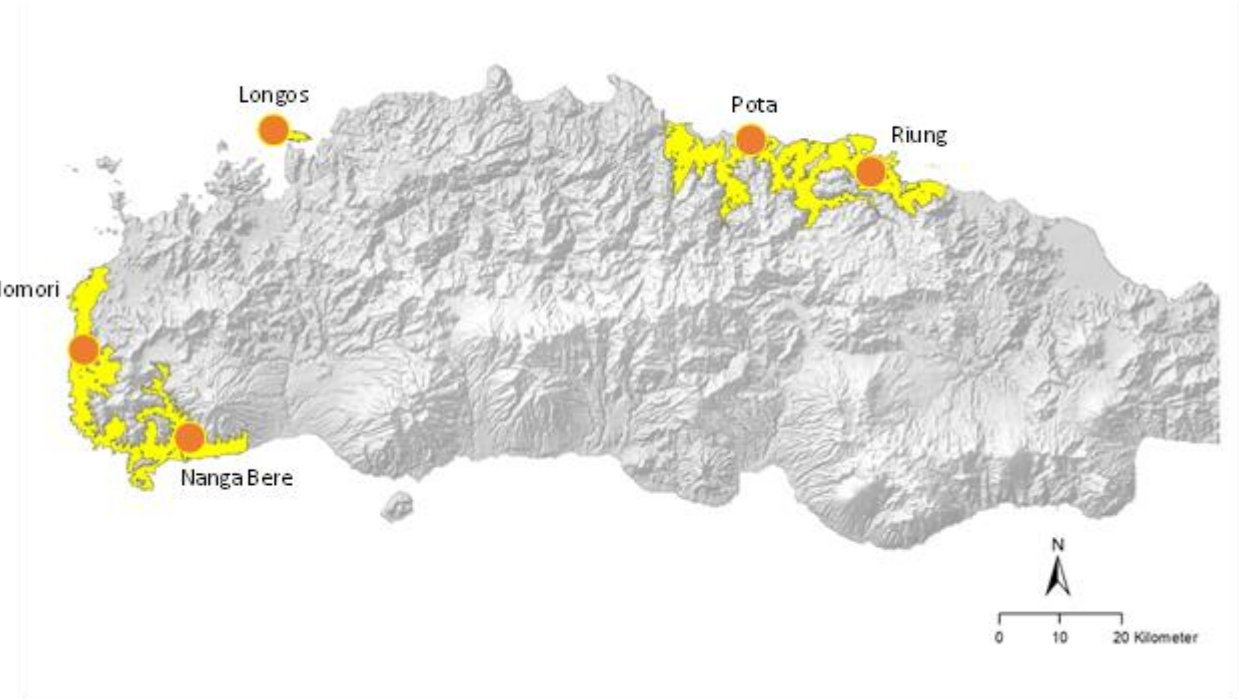


Figure 11. Map of human-Komodo conflict hotspots on Flores (red circles), with Komodo dragon distribution areas highlighted in yellow

5.5. Existing HWC mitigation and prevention strategies

5.5.1. Human-Komodo conflict involving adults

Referring to its socio-psychological studies as described in Section 5.3., between 2018 and 2019, KSP applied various approaches in Riung, the area with the highest instance of conflicts between humans and Komodo dragons. KSP conducted several FGDs, along with training on ecotourism, and livestock management training to reduce livestock predation by Komodo dragons.

To increase community awareness, KSP undertook village and school visits that involved film screenings. KSP has been actively involved in public consultations and discussions with communities on Komodo dragon habitats. In March 2019, a discussion it held on conservation commitments in Torong Padang Peninsula attended by village stakeholders and local authority representatives resulted in an agreement, signed by 52 local representatives, to protect Komodo dragon habitat on the peninsula.



Figure 12. Public consultation and discussion on the Torong Padang Peninsula (doc: SA. Nasu)

In June 2019, KSP's second intervention in follow up to the public consultation was its involvement in providing an alternative livelihood source and setting up a local tourism group. The group, officially known as *Lembaga Pariwisata Torong Padang* (LPTP), has a formal organizational structure. KSP provided two types of handicraft training; first on carving wooden Komodo dragon figures in November 2019, attended by 15 trainees, all males; and second on utilizing leftovers from weaving in October 2018 and February 2019 - attended by 30 local women.



Figure 13. Woven fabric handcraft training in Sambinasi village (doc: A. Wijayanti)

In addition to handicraft training to provide alternative income sources, the same team also undertook interventions on sustainable livestock management. This training aimed to improve people's understanding of livestock predation, one of the main causes of human-Komodo conflict in the area. This training, held in March 2018 in Tompong and Ruki villages in north Flores, was attended by 45 local farmers and ranchers, three of whom were women. These 45 participants owned a total of 549 animals: 395 goats, 31 buffalos, 14 horses, and 109 cows. The team invited agriculture experts from Yogyakarta to teach villagers about improved ranching methods incorporating natural fertilizer and biogas production techniques. Using these methods, villagers can prvent Komodo dragons attacking their livestock, while generating additional earnings from biogas and fertilizers. This training succeeded in helped people learn new ranching methods, produce composting containers, and use biogas installations and biogas cooking stoves. It also generated a pocket guide, and educational poster. The training also employed pre-post measurement, and found that people felt more excited (M = 3.68, before M = 3.50, max M = 4.00) and benefited (M = 3.85, before M = 3.75, max M = 4.00) from the training, and intended to practice what they learned (M = 3.68, max M = 4.00).



Figure 14. Training on biogas installation and composting (doc: Muh. Azmi)

The intervention was measured using a post-test to compare data from the same area in 2016 and 2017. Thirty people (13 women and 17 men) with an average age of 41 years old were interviewed. All participants were Muslim, with 43% having an elementary school background. Most were farmers (30%), followed by weavers (26.7%) and fishers (13.3%). A three-year measurement indicated no significant difference in knowledge on Komodo dragons, however, there is a small, statistically insignificant increase in the number of people (from 26 to 28 people) who could differentiate between Komodo dragons and monitor lizards.

The only significant change in attitude in Riung over the three years was the perceived usefulness of Komodo dragons (M_{2016} = 3.83, M_{2017} = 3.72, M_{2019} = 4.77, F = 4.05, p = 0.02), however, other important variables also indicating a positive change after intervention were perceived safety (M_{2016} = 1.77, M_{2017} = 2.33, M_{2019} = 2.40, F = 1.78, p = 0.17), importance (M_{2016} = 4.23, M_{2017} = 4.30, M_{2019} = 4.83, F = 1.44, p = 0.24), and utility (M_{2016} = 3.76, M_{2017} = 3.83, M_{2019} = 4.13, F = 0.39, p = 0.67). These align with our aim to help communities in Riung understand the benefits Komodo dragons can bring through ecotourism.

There was also an inconsistent, but insignificant trend in what participants perceived to be a safe distance from Komodo dragons during the three years of measurements (from 10.5 cm imaginary distance to 10.75 cm) (F = 1.73, p = 0.18). This increase in distance may be due to the development of the Torong Padang tourism area quite far from human settlements making people think Komodo dragons will be positioned far from their homes.
Self-report statements, which reflected people's willingness to coexist with Komodo dragons showed improvements over the years, with the strongest correlation applying to perceived utility. People with a greater intention to coexist with Komodo dragons perceived the utility of Komodo dragons to be higher, and were willing to live closer to them. Beyond this, the team also asked several questions on Komodo dragons and locals' daily lives. The results indicate people thinking Komodo dragons bring more positive impacts on their lives (N_{2016} = 11, N_{2017} = 7, N_{2019} = 17, X^2 = 14.65, p = 0.00).

From the above results we can say that while it is very hard to change people's perspective of Komodo's main diet, we can improve perception on the possibility of coexistence with Komodo dragons. Compared to control data (taken from 30 data points in Pota with no intervention from the team), the result differs in perceived fairness of sharing habitat with Komodo dragons (M_{Riung} = 2.68, M_{Pota}= 1.97, t = 25.97, F = 0.00).

Also, in contrast to Riung, there was no significant change in perceived usefulness of Komodo dragons in the control group. The study also shows the control group having no significant difference in intention to coexist with Komodo dragons (M_{2016} = 4, M_{2017} = 3.97, M_{2019} = 4.13, F = 0.06, p = 0.93). This proves that the intervention brought positive impacts and could be replicated for other human-wildlife conflicts in the area, with another species focus. These results are also reflected in the number Komodo dragon deaths due to retaliation killings caused by conflict being reduced significantly in Pota from four deaths from five conflicts in 2016 to no deaths from seven conflicts in 2019.

5.5.2. Human-Komodo conflict gender study

In 2017, with a significant difference in the gender mix in the study compared to the previous year, the KSP team also analyzed gender differences. The hypothesis was there is a perception bias and difference between males and females' perceptions. People in north Flores have a patriarchal society, and gender roles are clearly different in the region. These separate roles result in different activities and personal experiences with Komodo dragons. Men often go to savannas, farms, or the sea, and may be more likely than women to encounter Komodo dragons. Men also have better access to information and social activities than women who spend more time at home and have stay-at-home activities such as weaving. As explained in the previous section, familiarity was found to correlate with willingness to coexist with wildlife.

The team found interesting results with all aspects being significantly different for male and female participants, indicating women being less engaged in Komodo dragon conservation, and having more negative attitudes, emotions and utility perceptions, and having less intention to coexist with Komodo dragons. Women's comfortable interpersonal distance from Komodo dragons was also far greater than men's. This suggests different approaches are needed for men and women in conservation efforts.

Table 4. Comparison of answers from male and female participants **(*** = significant at two tail)

Variable	Gender	Mean	*t*		*p*
Have seen Komodo dragons	Male	1.91	7.280		0.000*
	Female	1.56			
	Male	4.00	4.836		0.000*

Variable	Gender	Mean	*t*		*p*
Attitudes toward Komodo dragons	Female	3.40			
Utility	Male	4.20	4.922		0.000*
	Female	3.18			
CID	Male	9.02	-4.031		0.000*
	Female	11.2			
Intention to coexist	Male	4.59	6.309		0.000*
	Female	3.39			

5.5.3. Human-Komodo conflict involving children

KSP also conducted an awareness program in various schools between 2016–2019. The program used a similar method that one piloted and published in a peer-reviewed journal (Kamil et al., 2020), replicating it in a total of nine schools in Pota, Riung, and Longos Island, in order to achieve a comprehensive comparison of program impacts. KSP hoped the program's investment in the next generation in north Flores would play an important role in future conservation efforts in the region, and also hoped that by reaching out to children, they would communicate what they learned from the program to their parents.

The program consists of a video screening, which is based on a 26-page storybook designed and printed by authors for elementary school students (9–13 years old). In the story book, members of the Komodo family speak and express emotions, but do stand on four legs and do not wear clothes. The program targeted elementary school students, measuring their lower-order cognitive skills to identify and recall the Komodo's basic biology (diet, habitat, and morphology) and related conservation efforts. The story depicts a juvenile Komodo named Modo who has his own opinions and aspirations about his species' resource problems and which he voices to his parents. The story revolves around conflict between the local community and the Komodo dragon family over prey (deer) hunting. The video screening is then followed by a factual presentation and a documentary video. The measurements and procedures used for this research were approved by the ethics committee of the Faculty of Psychology of the University of Indonesia, and informed consent was signed by the teachers or schools' headmasters.

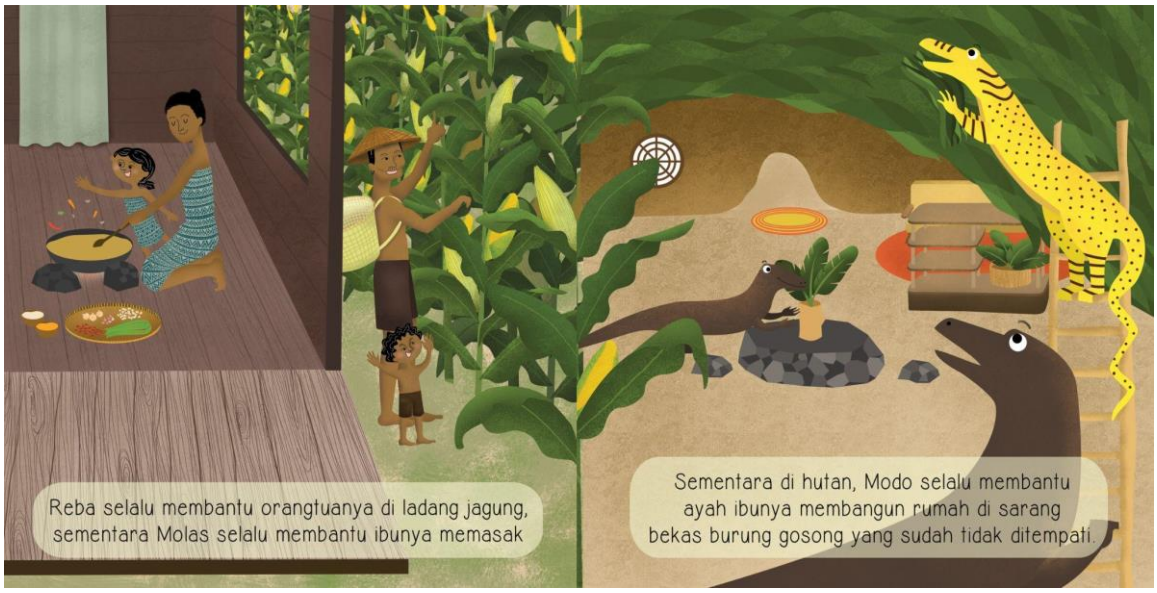


Figure 15. A page from the storybook (in Bahasa Indonesia)

The measurement used one-group intervention, with repeated measures. A pre-test comprised two parts: a column for students' names and grades, and eight questions, listed below, which were based on BBT that measures knowledge for lower-order cognitive skills (memorization and recall), aimed to have students list characteristics, classify, or select biological objects (Crowe et al., 2008):

1. Do you know what the animal in the picture is? (in the picture: Komodo dragon; options: yes/no)

2. What is its name? (Komodo/monitor lizard)
3. Have you ever encountered one of these animals directly? (options: yes/no)
4. Have your parents ever told you about this animal? (options: yes/no)
5. What is the diet of this animal? (open-answer question)
6. Where does it live? (open-answer question)
7. What can you do to prevent this animal from becoming extinct? (options: not hunting deer; catch the animal and keep it as a pet; not burning the savanna or destroying the forest; hunt and kill deer. More than one answer could be chosen)
8. Do you help your parents to shepherd your livestock? (options: yes/no)

All students answered the questions individually and simultaneously. All questionnaires were marked with a number code to enable matched analysis with a post-test. After the first pre-test questionnaires were completed and collected, the trainer played a short video made from the storybook. After the video, the trainer delivered factual information about Komodo biology (morphology, diet, habitat, and conservation status) using Microsoft PowerPoint software. Following the presentation, a short piece of factual film of a Komodo dragon was played (footage of Komodo's habitat and behavior such as ambushing prey), and then the post-test questionnaires were distributed.

The interval between the pre- and post-test was two hours in total. In the post-test, students answered questions 1, 2, 5, 6, and 7 from the pre-test. At the end of the program, the trainer distributed the Modo storybooks as a reward. To ensure the significance of the pre- and post-tests, a McNemar chi-square test was used in R software for question number 7. The whole analysis was done using R v3.4.4, while data was stored and managed in SPSS v.22. The complete results are as follows:

Table 5. Comparison of results from the children's awareness program

Year and Location	Morphology	Diet	Habitat	Conservation
2016 SDN Nangamese SDN Damu SDN Bekek (N total=137)	Not improved (X^2 = 0.03, p = 1) All students already knew it was a Komodo	Not improved statistically, but goat answer decreased (X^2 = 30.284, p = 0.38) Deer answer: n before = 6, n after = 127 Goat answer: n before = 26, n after = 2	Improved (X^2 = 46.88, p = 0.00) Forest answer: n before = 52, n after = 102 Savanna answer: n before = 16, n after = 24	Improved ● Not hunting deer, from 79 to 109 (X^2 = 12.20, p = 0.00) ● Catch and keep as pet, from 77 to 29 (X^2 = 24.32, p = 0.00) ● Not burning the savanna, from 107 to 120 (X^2 = 7.18, p = 0.00) ● Hunt and kill deer, from 13 to 16 (X^2 = 24.81, p = 0.00)
2018 SDK Mbarungkeli, MTs Marotauk SMPN 1 Riung (N total=99)	Not improved (X^2 = 0.03, p = 1) All students already knew it was a Komodo	Improved (X^2 = 140.2, p = 0.02) Deer answer: n before = 47, n after = 82 Goat answer: n before = 14, n after = 1	Improved (X^2 = 278.68, p = 0.00) Forest answer: n before = 11, n after = 13 Savanna answer: n before = 13, n after = 18	Improved ● Not hunting deer, from 63 to 85 (X^2 = 12.55, p = 0.00) ● Catch and keep as pet, from 80 to 91 (X^2 = 36.64, p = 0.00) ● Not burning the savanna, from 65 to 83 (X^2 = 23.91, p = 0.00) ● Hunt and kill deer, from 90 to 94 (X^2 = 16.51, p = 0.00)
2019 SMP Longos MA Bahrul Ulum Pulau Longos (N total=77)	Not improved (X^2 = 0.03, p = 1) All students already knew it was a Komodo	Improved (X^2 = 71.15, p = 0.00) Deer answer: n before = 12, n after = 48 Goat answer: n before = 28, n after = 12	Improved (X^2 = 151.58, p = 0.00) Forest answer: n before = 46, n after = 42 Savanna answer: n before = 1, n after = 4	Improved ● Not hunting deer, from 56 to 74 (X^2 = 8.32, p = 0.01) ● Catch and keep as pet, from 9 to 3 (X^2 = 23.58, p = 0.00) ● Not burning the savanna, from 57 to 70 (X^2 = 8.27, p = 0.01) ● Hunt and kill deer, from 10 to 5 (X^2 = 35.82, p = 0.00)

This continuous study shows the program successfully improved the students' knowledge, mainly on Komodo dragon habitat and conservation efforts. However, mixed results were found for knowledge of diet, and the program did not improve knowledge of Komodo morphology. Typically, in conflict areas, even children already have the ability to distinguish Komodo dragons from other lizard species. In conclusion, similar programs can be replicated on Flores for other species that have conflicts with humans.

6. Existing conservation practices on Flores

6.1. Community-based conservation of important habitat in Mbeliling

In the context of community development, this landscape also has great important economic value. Biodiversity and local cultural richness make the area an important tourist destination in West Manggarai, which boosts local community economies. In addition, agriculture activities are also developing well because they are supported by the availability of water sourced from forests in the landscape. This confirms that Mbeliling's natural landscape is ecologically important as a provider of water for agriculture, household needs, and the need for tourism development in Labuan Bajo. Integrated landscape management and sustainability are needed to ensure the realization of synergies between stakeholders so that various interests in the management of the Mbeliling Landscape can work in harmony. Burung Indonesia has been working with stakeholders in West Manggarai district since 2007, and has initiated and encouraged productive and sustainable Mbeliling Landscape Management.

Several issues have been addressed to realize the goal of community-based management: effective forest area management at the site level; management of critical sites for biodiversity; community-based ecotourism development; development of schemes and mechanisms for providing business capital for the community; agricultural business development through agribusiness schemes; increasing the selling value of agricultural commodities through joint marketing; and water catchment management at the upstream and downstream levels.

6.2. Customary conservation practices in Torong Padang (Riung)

The Torong Padang Peninsula, located on the north coast of Flores is an area of customary land belonging to ethnic Baar communities. Komodo dragons are also present in the area. On this land, traditional hunting is usually carried out for three days in October each year before the rainy season arrives. The event is attended by Baar people from three villages neighboring the Torong Padang Peninsula. The traditional hunting ceremony is performed as part of a ritual before the community grows rice and corn crops with the intention of asking God to give them sufficient yields. Local traditional wisdom strictly prohibits hunting during times outside the customary hunting period to ensure there are sufficient animals for the following year's traditional hunting event. This also contributes to maintaining populations of deer and pigs as prey for Komodo dragons. This traditional wisdom can be used as a mechanism in mobilizing the active participation of the community in maintaining habitat stability, populations of prey species (deer and pigs) and populations of Komodo dragons. Strengthening local laws or customary rules can be the basis for building local agreements and rules for the protection and preservation of Komodo dragons, including their habitat and prey.

After the local community understood the ecological mechanisms of animals on the Torong Padang Peninsula, in 2018 they had an agreement to reduce the traditional hunting schedule to once every two years, as an effort to preserve the ecosystem and the availability and sustainability of hunted animals.

6.3. Community-based Komodo dragon conservation in Pota

Pota is known to be the easternmost extent of the Komodo dragon’s distribution range on Flores. In 2013, the area was designated as an Essential Ecosystem Estate or *Kawasan Ecosystem Esensial* (KEE) to enhance the protection of Komodo dragons through collaborative efforts between the central government, local government and other stakeholders in the area not managed by BBKSDA NTT under the Directorate General of Natural Resources and Ecosystem Conservation. As Komodo dragon habitat in Pota Ward overlaps with human settlements and livestock grazing areas, human-Komodo conflicts are inevitable in the area. In 2016, KSP began establishing a Komodo dragon information and education center in Pota. The facility is managed by local community members, Arsyad and his colleagues (Pota citizens that also work for the East Manggarai District Tourism Office). The main goals of this initiative are to increase community awareness, reduce human-Komodo conflict, and mitigate retaliation killings of Komodo dragons stemming from conflicts. Arsyad and his colleagues record any Komodo dragons encountered on their regular patrols around Pota Ward. Arsyad often holds informal meetings with local communities around Pota and Sambi Rampas subdistrict to inform people of the importance of the Komodo dragon and its habitat. Before the Covid-19 pandemic, with the support of KSP, Arsyad would regularly invite schools around Pota to attend education programs at the Pota information and education center. As head of the Komodo conservation program in Pota, and with recent changes in people’s attitudes, local communities in Pota will call Arsyad every time a Komodo dragon enters a farm or village, tries to kill livestock, or is caught in a wild boar snare. To date, Arsyad and his team have successfully released at least 10 Komodo dragons into their habitat following human-Komodo conflicts in Pota. In 2021, Arsyad received an award from the Director General of Natural Resources and Ecosystem Conservation in appreciation of his Komodo dragon conservation efforts in Pota.

6.4. The JATABARA community group on Mount Kelimutu

A practical conservation effort has been implemented for the Flores hawk-eagle, a protected species in Flores. The Wolojita Subdistrict Head in Ende district has issued a decree on a local community conservation group called *Kelompok Peduli Elang Flores Jatabara*. The group's mission is to protect the Flores hawk-eagle through various ecotourism activities.

Most group members are the owners of land, roads, paths and locations in the Otoseso Customary Forest where an eagle's nest is located at a distance of approximately 500 m from the community settlement area. The nest can also be monitored from the nearby road, and close to the nest site there is a '*kanga*' or platform with a stone monument at its center that local people use for traditional ceremonies.

With support from the Kelimutu National Park Office, the group has facilitated several training sessions on special interest tourist activities like bird watching. In the near future, the group hopes to be able to share positive stories about the benefits of conserving the Flores hawk-eagle to communities in other areas in the natural distribution range of the Flores hawk-eagle.

6.5. Communities in Wae Rebo and Ruteng nature reserves

Ruteng Nature Reserve was proposed by FAO/UNDP in 1982 as a nature reserve for the protection of animals and plants. According to Iswandono (2018), members of ethnic Manggarai community inhabiting the sacred land of Wae Rebo in western Flores protect their forest surrounding Ranamese Lake, a habitat for 45 bird species - including *Anas gibberifrons, Tachybaptus ruficollis*, *Accipiter novaehollandiae*, *Haliastur indus, Spizaetus cirrhatus*, *Elanus caeruleus*, *Nectarina jugularis*, *Otus alfredi*, *Corvus florensis*, and *Philemon buceroides,*. Other animal species of note found around the forest are *Papagomys armandvilley*, and *Python reticulatus*.

The community conserve these species by utilizing myth and folklore, where whoever hunts or hurts wildlife will experience skin disorders. This does not only apply to animals, but also to trees. Nevertheless, the traditional community also considers the forest a place for various species of plants and animals for subsistence and ceremonial purposes (Iswandono et al., 2015). Local people in Ruteng living outside Wae Rebo also hunt wild animals, such as *Rusa timorensis*, *Sus* sp., or *Papagomys armandvilley* for food.

6.6. Coalition for manta ray protection in Lamakera

A study published by FAO stated that the international trade in manta ray body parts is worth around USD 10 million annually, and Indonesia is one of the largest global manta fisheries (Utami et al., n.d.). Lamakerans have been fishing manta rays on an artisanal and subsistence scale for generations. However, studies over a 12-year period from 2002 to 2014 revealed a 75 percent decline in manta ray and mobula catches despite increased fishing efforts, which led to both species of manta ray (*Manta birostris* and *Manta alfredi*) being declared vulnerable species in January 2014. Indonesia then introduced legislation that banned all manta ray hunting in national waters. NGOs in a coalition of manta conservationists, including Misool Foundation, Reef Check Indonesia and Manta Trust aim to reduce hunting, safeguard food security for coastal communities in East Flores, and drive change in marine protection policy in the area, addressing Lamakera's unsustainable (and now illegal) hunting of manta rays. They invite Lamakera community members to join the coalition, and since establishing partnerships, community associations have been built for those people who made official pledges to stop hunting manta rays. NGO and governmental support have been provided so that community members can become independent and take ownership of their livelihoods. Initial efforts to transition Lamakera away from illegal manta hunting have included community-based conservation initiatives and law enforcement by the Wildlife Conservation Society (WCS), Wildlife Crime Unit (WCU) and East Flores law enforcers to stop the remaining hunting activities.

6.7. Community-based sea turtle conservation in Flores

A local community group called *Pokmaswas Bangko Bersatu* in Nanga Bere village is carrying out efforts to conserve sea turtles by protecting nesting sites and conducting semi natural hatchery. In 2017, the group successfully hatched and released 679 sea turtle hatchlings into the ocean. This group also conducts education and community awareness activities to change Nanga Bere villagers' habit of eating sea turtles and their eggs. The group needs support to continue its efforts to conserve protected species around the village (infoseputarnisar, 2021).

In Komodo National Park, sea turtle conservation efforts involve monitoring sea turtle nesting grounds around the park (BTNK, 2020). Further efforts were conducted in 2020, by setting up a semi-permanent hatchery to protect sea turtle eggs from poachers and release hatchlings into their natural habitat (BTNK, unpublished report).

7. Conservation needs for key terrestrial and marine species in Flores

7.1 Human wildlife conflict mitigation and prevention strategies

Komodo dragon

Pota and Riung in north Flores are Komodo dragon habitats outside Komodo National Park. As rapid development takes place in north Flores, interactions between humans and Komodo dragons are increasingly inevitable. Human-Komodo dragon conflicts are a relatively common occurrence with Komodo dragon attacks on livestock and people, which often end in community members killing Komodo dragons involved in conflicts.

Direct conflicts between humans and Komodo dragons usually occur as a result of Komodo dragons entering villagers' settlements or gardens and preying on their livestock. Attacks by Komodo dragons on livestock are evident during July, August to September, presumably during the Komodo dragon mating season.

KSP conducted a conflict assessment and tried to formulate and implement a mitigation strategy in an effort to reduce the number of human-Komodo conflicts. Its activities included:

1. Conducting awareness-raising activities relating to livestock management through meetings with traditional elders and communities, film screenings and presentations in villages, collecting conflict data, and distributing livestock calendars
2. Ensuring private or communal containment of livestock
3. Establishing incentive systems for constructing communal sheds, such as through the production of biogas from animal manure
4. Strengthening the implementation of village regulations that prohibit livestock from roaming freely in residential areas and rice fields/gardens, and encouraging regulations to control dogs in villages.

During the project period, KSP achieved several outcomes, including:

1. Most of the villagers livestock reported to have died was killed by dogs
2. The frequency and number of livestock preyed on by Komodo dragons decreased
3. Although there were still a number of direct conflicts between humans and Komodo dragons, the number of Komodo dragons killed by villagers fell, and from 2018–2019 no Komodo dragons were killed by villagers.

Mitigation efforts that were carried out resulted in a decrease in the numbers of livestock being preyed on. They also changed people's behavior towards Komodo dragons, so even though conflicts still occurred in communites, they did not necessarily end with Komodo dragons being killed.

7.2 Habitat protection

The Komodo dragon distribution range appears to have contracted significantly, by a total of around 44%, across multiple coastal areas where Komodo dragons were known to have been present in previous decades (1970s–2000s). This decrease in Komodo dragon habitat is a result of a multitude of human activities. To address this, we advocate a range of land-use planning and community conservation actions to avoid a potential Komodo dragon extirpation on its largest island habitat (Ariefiandy et al., 2021). Furthermore, a lesson learned from Komodo National Park is that protecting Komodo dragon habitat will also benefit other key endangered species (Reuleaux et al., 2020). Therefore, increasing protection within the distribution range of Komodo dragons and other endangered key species on Flores is crucial, and can only be achieved by establishing effective collaboration between all stakeholders (i.e., central government, local governments, NGOs, academics, customary and religious leaders, and local community members), because most key biodiversity areas on Flores are located in unprotected areas.

7.3 Research requirements

Regular Komodo dragon and other wildlife population monitoring is key to formulating conservation strategies. Demographic estimates provided for Komodo National Park are clearly essential for prioritizing conservation actions within the largest protected area afforded to extant lizard populations (Purwandana et al., 2014). Whilst information on Komodo dragon demography is available in Komodo National Park, to date there is no robust demographic information on Komodo dragon populations on Flores. Therefore, more research is needed. However, low population density, and difficult terrain and access make research efforts on Flores more challenging.

In Komodo National Park, the perfect place to study Komodo dragons, more information is still needed on many ecological and social aspects. Studies on bioprospecting are also important because potential biomedical developments from Komodo dragons may be useful for human beings in the future. Studies on the impacts of tourism activities and infrastructure development are also necessary to mitigate the impacts of Labuan Bajo's growing tourist industry and increased numbers of visitors every year.

Currently there is a lack of information and research on other key endangered species (i.e., yellow-crested cockatoo, sea turtles, Flores hawk-eagle, etc.) both in Komodo National Park and on Flores. Therefore, research on the distribution and abundance of yellow-crested cockatoos and Flores hawk-eagles are important and should be prioritized. A lack of research on marine species both in Komodo National Park and on Flores is another important aspect to follow up in order to provide more reliable and robust information that could support the management authority (i.e., the Ministry of Environment and Forestry) in efforts to conserve and manage the endangered species of Flores and surrounding areas.

7.4. Education and awareness

Public awareness programs related to Komodo dragon conservation efforts have often been carried out by BBKSDA NTT and KSP. Efforts to educate school students have also been undertaken, including by providing story books with an anthropomorphic approach (Kamil et al., 2020) to help students better understand the importance of conservation efforts. However, such efforts are currently limited to local community members around protected areas in the Komodo dragon distribution range. With around 85% of this range known to be outside protected areas (BBKSDA NTT-KSP 2020), community awareness and education programs are crucial and necessary to increase people's awareness and mainstream collaborative conservation efforts between the government and local community members.

Education and community awareness programs in human-Komodo conflict hotspots on Flores (i.e., Golomori, Longos, Pota and Riung) are urgently needed to support government endangered species conservation efforts, especially in unprotected areas. Continuing activities carried out by BBKSDA NTT and KSP in Riung and Pota, and implementing similar efforts in other areas will be a good investment in conservation efforts for the Komodo dragon and other endangered species on Flores. Furthermore, combining these programs with capacity building for communities will improve local community involvement in protecting endangered species and their habitats.

7.5. Population monitoring

Research on Komodo dragons in Komodo National Park is considered sufficient and adequate, with studies on population monitoring (Laver et al., 2012; Ariefiandy et al., 2013a; Purwandana et al., 2014), reproductive activity (Jessop et al., 2004; Purwandana et al., 2020), movement and home range (Imansyah et al., 2008; Purwandana et al., 2021) and prey animal population dynamics (Ariefiandy et al., 2013b, 2016). However, research and monitoring of Komodo dragon populations on Flores remains very limited. There is an absence of robust estimations on Komodo dragon population dynamics on Flores. Research and monitoring conducted by BBKSDA NTT and KSP was limited to protected areas managed by BBKSDA NTT. Beyond those protected areas, population survey to date have only identified the current distribution range rather than producing actual population estimates (Ariefiandy et al., 2021). Therefore, a program that monitors Komodo dragon populations on Flores, and especially outside designated protected areas, is crucial and urgently needed so management authorities can better manage conservation strategies to preserve the remaining Komodo dragon populations on Flores.

7.6. Key species conservation strategies and action plans (SRAK)

Regulations for the protection of Flores hawk-eagles and regional patrols already exist. Although Law No. 5/1990 protects Flores hawk-eagle habitats and prohibits the collection of individuals or eggs, there is still a lack of law enforcement over the catching and shooting of the species. The current conservation area network in the Lesser Sunda region is insufficient to sustain the species (Sujatnika et al., 1995 in Butchart et al., 1996). To protect Flores hawk-eagle populations and habitats, the government has established several protected areas in the distribution range of the Flores hawk-eagle, including Mount Rinjani, Mount Tambora, Komodo and Kelimutu national parks, and is trying to inform locals about the importance of the Flores hawk-eagle (Raharjaningtrah and Rahman, 2004).

In 2019, the Ministry of Environment and Forestry began drafting a 10-year Flores hawk-eagle conservation strategy and action plan (SRAK) for 2019–2029 to ensure the long-term viability of the species. The objectives of the document are to achieve a desired vision or ideal population and provide guidance for stakeholders in Flores hawk-eagle conservation efforts. The focuses of Flores hawk-eagle conservation efforts are the management of habitats within existing conservation areas, and the management of the Flores hawk-eagle populations outside those areas.
Conservation efforts for this unique raptor have been established by involving local communities, such as in Wolojita village in Kelimutu National Park. The local community of Wolojita already understands the importance of protecting the Flores hawk-eagle, and has made a commitment through a village regulation, which is currently being reviewed by the Minister of Environment and Forestry.

In 2020, the Ministry of Environment and Forestry began drafting a 10-year Komodo dragon SRAK. The conservation strategy and action plan governs management of the species and the specific duties and functions in this regard of the East Nusa

Tenggara Provincial Natural Resources Conservation Agency, the Komodo National Park Office and stakeholders involved in efforts to protect the species.

Under the SRAK, conservation implementation, organization and work procedures fall under the authority of the central government, including the natural resources conservation and national park authorities. However, any conservation program must be carried out in a synergistic manner and provide ecological, economic, and social benefits for achieving national, provincial, and district development goals. Therefore, development plans need to consider improving community well-being and quality of life. The document also serves to engage all stakeholders in Komodo dragon conservation efforts, both in and outside protected areas.

From the strategy mapping process, Komodo dragon conservation management is divided into five main strategies:

1. Protecting all Komodo dragon habitats, both inside and outside protected areas
2. Sustainably utilizing the Komodo dragon as an endemic species that only exists in East Nusa Tenggara
3. Strengthening data systems and institutional capacity to preserve Komodo dragons in their natural habitat
4. Strengthening the independence and well-being of surrounding communities to support the sustainable management of Komodo dragon conservation
5. Synergizing the ecological, social, and economic benefits of the Komodo dragon for the benefit of relevant regional, national, and international stakeholders.

As with the Flores hawk-eagle SRAK, this conservation strategy and action plan is currently being reviewed by the Minister of Environment and Forestry.

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Annex 15. Landscape-seascape profiles

Prepared by: Burung Indonesia

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

Table of Contents

I. Introduction 2
II. General context and landscape dynamics 2
III. Landscape actors 3
1. **Regional government actors** 3
2. **Community-level actors** 4
3. **Private sector and civil society** 4

IV. Relevant Key Policies and Regulations 5
1. **Land-Use and Development Plans** 5
2. **Conservation** 5
3. **Forestry** 6

V. Overview of the landscapes and seascapes 6
1. **Extent of the Landscapes and Seascapes** 6
2. **Protected area network** 7
3. **Potential High Biodiversity Value Areas** 7

VI. Biophysical and socio-economic features of West Flores Landscape-Seascape 9
1. **Geographical areas and administration boundaries** 9
2. **Land-Use and Marine areas** 9
3. **Protected Area Network** 9
4. **Forest Management Unit Areas** 10
5. **Key Biodiversity Areas (KBAs)** 10
6. **Biodiversity – Globally Threatened Species** 11
7. **Mainland cover types and forests** 11
8. **Potential High Biodiversity Value Areas (HBVAs) Outside of the PA Network** 12
9. **Economic Development** 13
10. **Demography and Human Development** 13
11. **National Strategic Tourism Area (Kawasan Strategis Pariwisata Nasional) Komodo National Park – Labuan Bajo** 14

VII. Biophysical and socio-economic features of the North Flores Landscape-Seascape 15
1. **Geographical areas and administration boundaries** 15
2. **Land-Uses and Marine areas** 15
3. **Protected Area Network** 15
4. **Forest Management Units** 15
5. **Key Biodiversity Areas** 16
6. **Biodiversity – Globally Threatened Species** 16
7. **Main cover types and forests** 17
8. **Potential High Biodiversity Value Areas (HBVAs) Outside of the PA Network** 18
9. ***Adat* communities and territories** 18

References 20

I. Introduction

The objective of the IN-FLRORES Project is to promote the conservation of the Komodo dragon and other globally threatened species in Flores through strengthened and integrated manage multiple-use use landscapes and seascapes. The project will implement area-based conservation measures to achieve the objective. To strengthen the protected area network, the project will invest in other area-based conservation measures (OECMs) in collaboration with key forest and land managers in the landscapes/seascapes. This will be supported by deploying innovative financing to support the delivery of conservation outcomes.

This report will present Key information on the ecological as well as socio-economic and development key west Flores and North Flores landscapes/seascapes in west Flores and North Flores. Maps of the landscapes/seascapes are also available in separate files. This report is not intended to provide a comprehensive description of the west Flores and north Flores landscapes/seascapes, rather provide some of the key information as a basis for designing area-based conservation measures. Hence most of the description will be spatial.

The spatial analysis undertaken to prepare the paper used several key GIS datasets are available from different sources. As a result, there may be some discrepancies while calculating some areas or overlapping datasets. If there are discrepancies between the results of the spatial analysis with the official or legal extent of certain areas, then the latter should be used.

II. General context and landscape dynamics

The typical landscapes of rural Flores are inhabited by local communities engaged mainly in agriculture activities to meet the population demand for food. Agriculture depends on water and other services produced by the ecosystem nearby such as forests and mountains. In return, these communities receive monetary currency that can be used to purchase goods and services. The increasing population in a fast-developing city like Labuan Bajo has triggered greater demand for food and water, among other things. This motivates farmers to expand farms and plantations as they wish to capture the opportunities to sell more crops. However, this means that they need to convert the natural habitat into farms thereby reducing ecosystem services quality and quantity. Clearly, in the landscape, all features and processes are interconnected based on the nature of the relationship they are engaged in.

The landscapes in western and northern Flores are linked to the global tourism industry which requires more and more space to host visitors from around the globe and to provide them with attractions that are expected to be able to lengthen their stay. As it will be described, tourism development has been advancing in the western landscape and seascape. There is a conflicting demand for space amongst the different sectors such as tourism and agriculture, not to mention other sectors' demands such as infrastructure, housing and conservation. Each of these sectors needs to be managed optimally.

In many places, sectors are still managed individually and isolated from other sectors which often results in fierce competition for land as well as other resources. In the past, protected areas and forests are managed or delineated solely for conservation purposes without looking into the needs of local communities and the relationship they have established with nearby resources. Such management style has resulted in many conflicts between park/forest management and local communities even the local government which brings loss to all engaged in conflict. The landscape approach was firstly embraced by professionals and organizations working in the field of nature conservation and natural resource management. The approach was put into practice to replace the previous paradigm and practice when certain features and processes in an area such as forests and parks were managed in a fragmented manner, disconnected from the lives and livelihoods of inhabitants. More specifically, the landscape approach is characterized by the following elements[1], among others;

- Holistic, by trying to integrate the different but interconnected land-uses into the management system
- Multi-functionality, by recognizing the different functions that exist in the landscape
- Multi-stakeholder, by bringing people from multi-sector to work together in collaboration

[1] EdX - University of Wageningen. Online course on Sustainable and Inclusive Landscapes.

- Inclusive yet efficient decision making, otherwise people will not be willing to collaborate
- Shared landscape objective, despite differing interests among parties there should be a principal goal that unifies all

Landscapes do not exist in isolation. They are increasingly entangled in global issues like climate change, migration, and food security. This means that landscapes are more and more impacted by global policies, decisions, and processes. Landscapes are dynamic as exemplified by Labuan Bajo 30 years ago was just another settlement of local fishing folk, with very traditional and small volume trade to transport local sea and farm produce. Conservation and tourism have for the first time put this hilly coastal area on a map, including the barren islands across the strait that later become a national park. It looks dramatically different today than it was, although changes at small and micro-scale have certainly taken over time and transformed the landscape gradually. To anticipate the dynamic, and adaptive management and continual learning[2] are required to help landscape managers and dwellers to cope with changes and to yield optimum results of it.

Landscape is not just about a place with its biological and physical components, but also about people whose values and institutions have played the role in shaping landscape to its current state. Some landscapes are even determined not by the physical boundaries or characteristics but more by the non-physical attributes such as the cultural identity of a community group that stretches beyond physical boundaries and jurisdictions.

The landscape approach is also in line with the principle of a more democratic and participatory development process. Thorough identification of landscape actors and institutions will help ensure that no one, and no sector, is left behind or compromised for the advancement of certain actors and sectors. A better understanding of landscape actors and institutions is required to ensure mutually accepted goals and shared benefits.

III. Landscape actors

Both in the north and west landscapes/seascapes, the actors that have interests or stake in the landscapes/seascape have been identified. There were no less than 45 actors identified and interviewed during the PPG. Based on interests and influence they can be classified into 4 groups[3]. Some of these actors will be discussed here in the context of landscape-level governance. However, the discussion will not follow the grouping of actors as in the Stakeholder Engagement Plan. Rather, it will refer to their rights and role in land-use and natural resources management.

1. Regional government actors

The government actors that normally have authority over sector development but with limited scope according to its task:

a. The district government's planning agency (Bappeda), is considered to have a significant role and responsibilities in Landscape-Seascape management. The agency coordinates development planning among government agencies and reviews proposals from other agencies. The Bappeda is responsible for ensuring that district medium-term development planning (RPJMD) is translated into the annual work and budget plans of agencies.
b. The district government's planning agency is responsible for reviewing spatial plan regulation (RTRW) as well as overseeing its implementation. The agency and the regulation have high relevance for the protection of wildlife habitat outside protected areas.
c. The district government's agriculture agency is responsible for the implementation of the agriculture program and food security. It, therefore, has a broad interest in the development of agriculture programs across land-uses. The agriculture agency often oversees food crops, plantation, and livestock production.
d. Village empowerment agency delivers and supervises programs and budgets for village development, including village funds. The agency has a potential yet less optimized role to guide the allocation of village funds to meet the highest priority of the population.

[2] Sayer et al. 2012. Ten principles for a landscape approach to reconciling agriculture, conservation, and other competing land uses. Proceedings of the National Academy of Science of the United States of America.
[3] Annex 9 to IN-FLORES Project Document: Stakeholders Engagement Plan. 2021

e. Tourism agency is responsible to guide tourism development in the district through both programs (attraction) development and infrastructure development. The tourism agency could be very relevant to promote low-impact and ecologically friendly tourism across Landscape-Seascape.
f. Environment agency, despite its name only has limited responsibility to cover just sanitation, water, and air quality, and sometimes waste management.
g. Forest management unit is authorized to develop forestry planning and implement forestry activities over the production and protection of forest areas.
h. National parks and conservation agencies are the central government structure to manage activities in protected areas such as national parks and nature/wildlife reserves. These are technical units of the Ministry of Environment and Forestry under the DG of KSDAE.
i. Labuan Bajo – Flores Tourism Authority Body (BPOLBF) is a powerful organization tasked by the president to carry out the acceleration of tourism development, including its supporting infrastructure and ecosystem across Flores island. The authority body has not only a program but also a budget to implement its plans, supported by resources available in national government across ministries. Despite being based in Flores it represents the policy and interest of the national government.

2. Community-level actors

The community members living in the landscape have legality over private land legally owned as well as legitimacy overuse of the several public resources, such as water springs, grazing fields, etc. However, they have little influence over sector development policy.

a. Village government is responsible for the basic civic administration, development planning, and implementation at the village level. The village government has the authority to issue regulations about the utilization of public resources in the village such as rivers, water springs, and grazing fields.
b. Village community representatives are the legislative body at the village level. They are responsible for approving village development plans and budget on development plans.
c. Individual landowners or household is the one implementing land-use activity and normally have interaction with forest and other resources
d. Farmer groups are community-level organizations founded for implementing certain collective purposes or programs such as irrigation, commodity planting, subsidy or credit, etc. Groups can be founded by farmers or facilitated by an external entity such as the government.
e. Customary board normally exists in villages with strong traditional beliefs and customs. Their functions vary from leading ceremonies, deciding on certain matters to being part of village leadership along with formal village government.

3. Private sector and civil society

a. Civil society organizations are both regional and local actors that work in different areas such as influencing the policy and advancing the practice of conservation and natural resources management.
b. Commodity middlemen, are people who work as traders of local agriculture commodities produced by smallholder farmers which they would then sell to larger middlemen or markets. While farmers have their power over the farm, the middlemen undoubtedly control the supply chain off-farm.
c. Hotel, restaurant, and travel agents are depending on the landscape's ecosystem services, especially water and the physical state of nature which are critical for the tourism industry. They also depend to some extent on local people to work in hotels and restaurants or other services such as cultural shows.

The above actors have different shapes of interaction with the landscape and with other landscape actors. The type of relationship has the potential to transform the state or shape of the landscape or influence the dynamic of the landscape. As such, landscape actors especially those whose influence at its level is key in landscape governance, and their roles should be carefully considered.

IV. Relevant Key Policies and Regulations

1. Land-Use and Development Plans

In Indonesia, the mosaic of landscape-seascape has also been influenced by the different laws and policies governing land, forest, marine, and other resources management. Key relevant policies to describe the Landscape-Seascape for IN-FLORES Project are including on spatial planning, conservation, and forestry.

The Indonesian Law No. 26 the Year 2007 is the main national policy on the spatial plan. The law regulates the different aspects of spatial planning at national, provincial, and district levels. In 2008, the National Spatial Plan or *Tata Ruang Wilayah Nasional* (RTRWN) has been approved and enforced through Government Regulation No. 26 the Year 2008.

For the East Nusa Tenggara Province, the provincial spatial plan for the period of 2010-2020 has been approved in 2011 (Provincial Government Regulation No.1 the Year 2011). The spatial plan is now being revised is and expected to be finalized by the first quarter of 2022.

All of the three main districts covering most of the landscapes/seascapes of this project have produced their spatial plans in 2012. The district spatial plan for West Manggarai for the period of 2012 to 2032 has been approved and enforced through District Government Regulation No. 9 the Year 2012. The spatial plan for the East Manggarai District has been approved for the period until 2032. It is enforced through the District Government Regulation No. 6 the Year 2012. Ngada District has also established its spatial plan in 2012 for the period until 2032 which has been enforced through the District Government Regulation No. 3 the Year 2012. The spatial plans of the three main districts are currently under review process.

Based on Government Regulation No. 13 Year 2017 on the revision of the RTRWN, Komodo National Park is one the National Strategic Areas or *Kawasan Strategis Nasional* (KSN). In addition, the Indonesia's Medium Term Development Plan for 2020 – 2024 (*Rencana Pembangunan Nasional Menengah* or RPJMN), has selected the city of Labuan Bajo as one of the Strategic National Tourism Area or KSPN (*Kawasan Strategic Pariwisata Nasional*).

Led by the Ministry of Public Work, an Integrated Tourism Master Plan (ITMP) for Komodo National Park – Labuan Bajo is being developed to integrate the development of Labuan Bajo as one of the super-premium tourism destinations. The coverage of the plan will include the national park and the western coastal areas of Flores. See the profile of west Flores Landscape-Seascape.

2. Conservation

Indonesia's protected area system is based on Law No. 5 the Year 1999 regarding the Conservation of Natural Resources and Ecosystem. The management of the protected areas in Indonesia is regulated using Government Regulation No. 28 the Year 2011. Protected areas in Indonesia are broadly categorized into Nature Reserve Areas (*Kawasan Suaka Alam* or KSA) and Nature Protection Areas (*Kawasan Perlindungan Alam* or KPA).

There are two types of nature reserve areas in Indonesia's protected area system: nature reserve and wildlife reserve. The former is a nature reserve area that has unique plant species and/or plants diversity as well as natural features and ecosystems which require protection and conservation so that their survival can be sustained naturally. The latter is a nature reserve area that has unique fauna species and/or wildlife diversity requiring protection and management of the population and their habitat for their survival.

There are three types of nature protection areas in Indonesia's protected area system: national park, forest park (*Taman Hutan Rakyat* or Tahura), and nature recreation park (*Taman Wisata Alam*). National Park is a nature protection area that has a natural ecosystem and is managed using ng zonation system for research, science, education, and support cultivation, tourism, and recreation. Taman Hutan Rakyat is a nature protection area for the collection of flora and fauna which are endemic and non-endemic but not invasive to be utilized for research, science, education, and to support cultivation, tourism, and recreation. *Taman Wisata Alam* is a nature protection area specifically for nature tourism and recreation.

In addition to the above nature reserve and nature protection areas, the Indonesian Government has been increasing efforts to conserve biodiversity beyond the formal protected area network. Due to this, the Ministry

of Environment and Forestry (MoEF) has set the target to identify about 43 million ha of KNKT (*Kawasan Bernilai Keanekaragaman Hayati Tinggi*) or High Biodiversity Value Areas (HBVAs) from 2020 until 2024 as part of the targets under the National Medium Term Development Plan or RPJMN (*Rencana Pembangunan Jangka Menengah Nasional*).

To achieve the above target, the criteria for identifying and verifying HBVAs have been set in the regulation of the DG KSDAE No. P.8/2021. The criteria include: recorded threatened species, protected species, restricted-range species, endemic species, and local symbolic species; forest cover; and water availability.

3. Forestry

Indonesia's Forestry Law (No.41/1999 and its amendments), classifies forest functions within the designated state forest areas into production, conservation, protection. The production forest areas have been designated mainly for timber production, but recently encouraged for multiple businesses Conservation forest areas are set aside for wildlife and ecosystems conservation. Protection forest areas are for watershed protection.

Based on the most recent Government Regulation No. 23 the Year 2021, Indonesia's official forest area designation is divided into two categories: state forest and customary forest areas (*hutan adat*). These forest areas are subject to forestry administration and assigned to certain forest functions: conservation, protection, or production.

Also under the above-mentioned government regulation, state protection and production forest areas are managed as forest management units. KPH (*Kesatuan Pengelolaan Hutan*) or FMUs (Forest Management Units) manage and administer the decentralized forest units under the provincial government.

V. Overview of the landscapes and seascapes

1. Extent of the Landscapes and Seascapes

To increase connectivity of the protected areas with potential high biodiversity value areas, it is necessary to link up as much as possible the distribution areas of the Komodo dragon and other globally threatened species with the other natural habitats in the north and west Flores Landscape-Seascape. The proposed project areas have been defined to include: a) distribution areas of Komodo dragons; b) protected areas that overlap with the distribution area of Komodo dragon; c) KBAs connected with or in proximity to the distribution areas of Komodo dragon and; d) primary forests connected with the distribution area of Komodo dragon or the connected KBAs.

As the project will deploy area-based conservation measures, including OECMs, a jurisdictional approach will be used, e.g. in selected FMUs and villages. Therefore, the landscape-seascape boundaries should consider the village administrative boundaries, the FMU areas, and protected area boundaries. The following criteria were used to define the boundaries of the project areas:

1. Villages that overlap with the distribution area of Komodo dragons or with the connected terrestrial KBAs
2. Villages that overlap with or share significant boundaries (adjacent to) with selected protected areas
3. Villages that overlap with FMU areas that connect with the distribution area of Komodo dragon
4. Villages that overlap with FMU areas that have significant forest connectivity
5. Marine areas within the selected protected areas
6. Marine areas between protected areas and KBAS/distribution areas of the Komodo dragon.

Using the above criteria, an estimated 472,030 ha of land and marine areas have been identified as part of the proposed project areas in the north and west Flores landscapes/seascapes.

Table 1. The estimated extent of terrestrial and marine areas in the landscapes-seascapes (ha)

Landscape-Seascape	Terrestrial	Marine	Grand Total
1. Northern Flores Land and Seascape	100,735	6,105	106,840
2. Western Flores Land and Seascape	243,479	121,711	365,190
Grand Total	**344,214**	**127,816**	**472,030**

About 65% of the terrestrial and marine areas are managed by government agencies as conservation areas and state forest areas. These include about 111,274 ha of state forest areas classified as protection and production forests being managed by five forest management units. Community lands and open marine areas are about 35% (167,304 ha).

2. Protected area network

There are a total of six (6) protected areas in the target landscapes-seascapes totaling an area of about 187,446 ha. These include cumulative 47,062 ha of terrestrial coverage and 140,384 ha of marine coverage (see Table 2).

Table 2. Protected areas in the landscapes-seascapes (ha)

Landscape-Seascape	Protected Area	Terrestrial	Marine	Total
West Flores Landscape-Seascape	Wae Wuul Nature Reserve	1,485	-	1,485
	Komodo National Park	40,728	132,572	173,300
	Core Zone of the Savu Sea Marine National Park		925	925
Sub-Total		**42,213**	**133,497**	**175,710**
North Flores Landscape-Seascape	Riung Nature Reserve	416	-	416
	Wolo Tado Nature Reserve	4,017	-	4,017
	Tujuh Belas Pulau Nature Recreation Park*)	416	6,887	7,303
Sub-Total		**4,849**	**6,887**	**11,736**
Total		**47,062**	**140,384**	**187,446**

Note:
All of the figures are rounded and collected from the METT assessment and the Management Plan of Savu Sea except for the breakdown of the terrestrial and marine areas for Tujuh Belas Pulau Nature Recreation Park which are GIS estimates (not official).

3. Potential High Biodiversity Value Areas

Outside of the protected area network, there is an estimated 176,396 ha of potentially High Biodiversity Value Areas (HBVAs). These include the indicative distribution areas of Komodo dragons, Key Biodiversity Areas, and other primary forests in state forest areas as well as in community lands. If assessed using the DG KDSAE regulation, these areas are likely to be identified as HBVAs *(KNKT)*. See Table 3 below for the details.

The potential HBVAs are distributed across the landscapes in the FMU areas and community lands. The total extent of the potential HBVAs in both areas are almost the same: 91,385 ha and 84,542 ha respectively. In addition, there is about 469 ha of marine KBAs in the west Flores seascape outside of the PAs. Outside of the Komodo dragon distribution areas, the potential HBVAs on community lands also include a significant extent of other primary forests which is about 35,519 ha. This indicates the importance to work together with the communities managing the land and forest to conserve biodiversity and primary forests.

The potential HBVAs are to different degrees connected with other natural habitats such as secondary forests and savannas both in state forest areas and in community lands totaling about 52,455 ha which provide connectivity for the HBVAs.

Secondary forests on the community lands may include agroforest systems producing candlenut, teak wood, coffee, and cocoa. These are common commodities produced by communities in western and northern Flores. These agroforest systems are commonly found adjacent to the natural forests and therefore provide connectivity.

Table 3. Estimated extent of the main land-use management categories outside of the protected area network in the west and north Flores landscapes/seascapes (ha)

Landscape-Seascape	Project Area Category	Project Site Category	Terrestrial	Marine	Grand Total
North Flores Landscape-Seascape	Potential HBVAs	Komodo - KBA areas	22,451		22,451
		Primary forests in state forest areas	22,847		22,847
		Primary forests on community lands	12,795		12,795
	Secondary forests outside PAs & HBVAs	Secondary forests in state forest areas	10,570		10,570
		Secondary forests on community lands	6,338		6,338
	Savanna outside PAs & HBVAs	Savanna in state forest areas	1,764		1,764
		Savanna on community lands	9,397		9,397
	Agriculture & other land-uses		8,749		8,749
	Marine areas outside PAs & HBVAs			0	0
Total for North Flores Landscape-Seascape			94,910	0	94,910
West Flores Landscape-Seascape	Potential HBVAs	Komodo - KBA areas	65,869	469	66,338
		Primary forests in state forest areas	29,241		29,241
		Primary forests on community lands	22,724		22,724
	Secondary forests outside PAs & HBVAs	Secondary forests in state forest areas	3,122		3,122
		Secondary forests on community lands	16,691		16,691
	Savanna outside PAs & HBVAs	Savanna in state forest areas	192		192
		Savanna on community lands	4,381		4,381
	Agriculture & other land-uses		38,815		38,815
	Marine areas outside PAs & HBVAs			2,163	2,163
Total for West Flores Landscape-Seascape			181,036	2,632	183,668
Grand Total			**275,946**	**2,632**	**278,578**

VI. Biophysical and socio-economic features of West Flores Landscape-Seascape

The West Flores landscape-seascape covers key Komodo dragon habitats, including the famed Komodo National Park as well as critical production and protection forest and other conservation areas in the western part of Flores Island.

1. Geographical areas and administration boundaries

The proposed project area in West Flores landscape-seascape covers land and marine areas of about 365,190 ha. The Landscape-Seascape is spread across two district jurisdictions: West Manggarai and Manggarai. The western coast of Flores is part of the former so the west seascape is within the district. About 97% of the landscape-seascape is in West Manggarai District.

Table 4. Estimated district areas within the West Flores Landscape-Seascape (ha)

District	Terrestrial	Marine	Grand Total
Manggarai	10,859		10,859
West Manggarai	232,621	121,711	354,332
Grand Total	**243,479**	**121,711**	**365,190**

2. Land-Use and Marine areas

The extensive coverage of the Komodo National Park has made the protected area the largest land-use category in the Landscape-Seascape of West Flores. There are also significant areas categorized as protection forests. These are mostly situated in the hilly areas, such as Mbeliling. Production forest areas are mostly in the northern part of the landscape in the lowland areas along the coast.

Table 5. Estimated extent of the main land-use categories in the West Flores Landscape-Seascape (ha)

Land-use categories	Estimated total extent (ha)
State protected areas (conservation areas) – terrestrial and marine	181,522
State protection forest areas	52,308
State production forest areas	17,403
Other land-use and open marine areas	113,957
Grand Total	**365,190**

3. Protected Area Network

As noted above, Komodo National Park is the largest protected area in West Flores Landscape-Seascape. Unfortunately, the protected area network in the western part of the mainland Flores is very limited. There is only one nature reserve on the west coast: Wae Wuul which has a small size of only 1,484 ha.

Table 6. Protected areas in West Flores Landscape-Seascape (ha)

Protected Area	Terrestrial	Marine	Grand Total
Wae Wuul Nature Reserve	1,484	0	1,484
Komodo National Park	40,728	132,572	173,300
Core Zone of the Savu Sea Marine National Park		925	925
Grand Total	**64,657**	**133,497**	**175,709**

Note: the figures are rounded and based on information gathered for METT assessment (official figures)

4. Forest Management Unit Areas

There are two forest management units that overlap with the West Flores landscape-seascape. About 69,711 ha of FMU West Manggarai and FMU Manggarai are part of the landscape-seascape. Most of these state forest areas are categorized as protection forest.

Table 7. Forest management unit areas in West Flores Landscape-Seascape (ha)

FMU	Protection forest	Production forest	Total
West Manggarai	48,616	17,403	66,018
Manggarai	3,693	0	3,693
Total	**52,308**	**17,403**	**69,711**

5. Key Biodiversity Areas (KBAs)

There are 6 terrestrial KBAs and 1 marine KBA already identified in the West Flores landscape-seascape covering an area of about 236,724 ha. Almost all of the marine KBA site is in covered in protected area while more than half (53%) of the terrestrial KBAs are within the protected area network. The Komodo National Park contributes significantly to the coverage of the KBAs in the protected area.

However, in the western part of mainland Flores the coverage of terrestrial KBAs in the protected area network is very small; only 3%. Most of the KBAs are in protected forest areas (41%) and other land-uses (45%). These indicate that conservation needs to be promoted in protection forest as well as other land-uses.

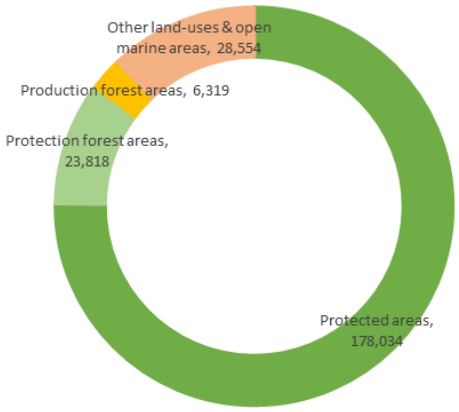


Chart 1. Coverage of Key Biodiversity Areas in different land-use categories

Komodo dragon is one of the triggered species in four KBA sites: KBA Komodo Rinca, KBA Wae Wuul, KBA Mbeliling - Tanjung Keritamese, and KBA Nangalili.

Table 8. Distribution of Key Biodiversity Areas across main land-use categories in West Flores Landscape-Seascape (ha)

KBA Sites	Protected Areas	Protection Forest	Production Forest	Community lands & open marine areas	Grand Total
Terrestrial					
IDN280 - Komodo - Rinca	60,851	0	0	0	60,851
IDN282 - Wae Wuul	1,450	157	0	2,846	4,452
IDN283 - Nggorang Bowosie	0	277	6,319	6,926	13,523
IDN284 - Mbeliling -Tanjung Kerita Mese	0	19,099	0	13,676	32,776
IDN285 - Sesok	0	4,284	0	2,155	6,440
IDN286 - Nangalili	0	0	0	429	429
Sub-total	*62,301*	*23,818*	*6,319*	*26,248*	*117,832*

Marine					
IDN281 - Perairan Komodo - Rinca	115,733			2,521	118,254
Sub-total	*115,733*			*2,521*	*118,254*
Grand Total	**178,034**	**23,818**	**6,319**	**28,554**	**236,724**

6. Biodiversity – Globally Threatened Species

In 7 of the KBAs in west Flores Landscape-Seascape, there are 265 globally threatened species identified. Most of them are coral species. There are 47 globally threatened terrestrial species distributed in the KBAs.

Table 9. Number of globally threatened species in West Flores Landscape-Seascape

Key Biodiversity Area	Critically Endangered	Endangered	Vulnerable	Total Species
IDN280-Komodo Rinca	2	2	4	8
IDN281-Perairan Komodo-Rinca	10	20	193	223
IDN282-Wae Wuul	2	2	1	5
IDN283-Nggorang Bowosie	2	2	2	6
IDN284-Mbeliling Tanjung Keritamese	2	5	6	13
IDN285-Sesok	1	4	4	9
IDN286-Nangalili	0	1	0	1
Total Species	**19**	**36**	**210**	**265**

Table 10. Number of globally threatened terrestrial species in West Flores Landscape-Seascape

Key Biodiversity Area	Bird	Mammal	Plant	Reptile	Grand Total
IDN280-Komodo Rinca	3	1	1	3	8
IDN281-Perairan Komodo-Rinca	0	0	0	5	5
IDN282-Wae Wuul	3	1	0	1	5
IDN283-Nggorang Bowosie	6	0	0	0	6
IDN284-Mbeliling Tanjung Keritamese	6	1	4	2	13
IDN285-Sesok	6	1	1	1	9
IDN286-Nangalili	0	0	0	1	1
Grand Total	**24**	**4**	**6**	**13**	**47**

7. Mainland cover types and forests

In the West Flores Landscape, forests and savanna are the dominant land cover types showing a significant extent of natural habitats in terrestrial ecosystems. A total of 123,359 ha of forests were identified based on the land cover map for 2019 produced by MoEF. A significant extent of primary forest totaling 86,773 ha can be found mainly in community lands, state protection forest areas, and state production forest areas.

Table 11. Estimated extent of main land cover types in the West Flores Landscape-Seascape (ha)

Main categories of land cover types	Grand Total
Marine and aquatic areas	121,638
Primary forest	86,773

Secondary forest	36,586
Savanna	50,399
Agriculture	38,651
Other land-uses	31,143
Grand Total	**365,190**

The estimated extent of primary forests outside of the protected area network is significant: 86,471 ha distributed in community lands and state protection forest areas. This indicates the importance of the landscape for forest conservation.

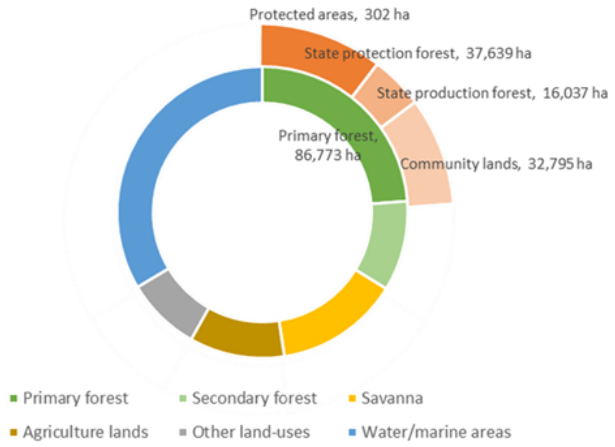


Chart 2. Main land cover types and the distribution of primary forests

8. Potential High Biodiversity Value Areas (HBVAs) Outside of the PA Network

Using the indicative distribution areas of Komodo dragon and other globally threatened species as well as areas covered with primary forests, it is estimated that about 118,303 ha of land and marine areas can be considered to have high biodiversity values. These areas are expected to meet two out of the three criteria set by the regulation issued by the DG of KSDAE on the identification and verification of HBVAs outside of protected areas. The distribution areas of other globally threatened species are based on the already identified KBAs in the Landscape-Seascape.

Table 12. Potential High Biodiversity Value Areas (HBVAs) in West Flores Landscape-Seascape (ha)

Potential HBVAs	Terrestrial	Marine	Grand Total
1. Komodo distribution areas and KBAs outside of the PA network (incl. the primary forests within)	65,869	469	66,338
2. Other primary forests inside the state forest area	29,241	0	29,241
3. Other primary forests on community lands	22,724	0	22,724
Grand Total	**117,834**	**469**	**118,303**

Note: other primary forests (2 & 3) are primary forests outside the KBA distribution areas and KBAs

More than half of the potential HBVAs are in forest management unit (FMU or KPH) areas. These areas are mostly in the state protection forest areas. However, a significant extent of potential HBVAs is identified in land and areas managed by communities (59,261 ha).

Table 13. Distribution of potential HBVAs in formal land-use categories in West Flores Landscape-Seascape (ha)

Categories of Potential HBVAs	Protection forest in FMU areas	Production Forest in FMU areas	Community lands	Open marine areas	Grand Total
Komodo-KBA Area	28,045	6,319	31,505	469	66,338
Other primary forests in state forest area	19,310	9,931	0		29,241
Other primary forests outside state forest area	0	0	22,724		22,724
Grand Total	**47,335**	**16,250**	**54,229**	**469**	**118,303**

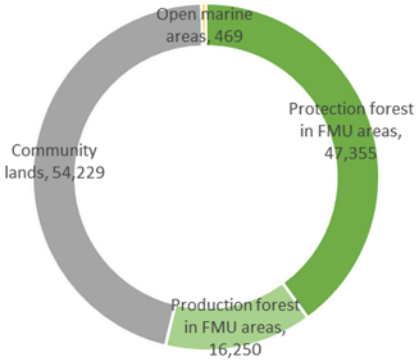


Chart 3. Distribution of potential HBVAs in formal land-use categories in West Flores Landscape-Seascape (ha)

9. Economic Development

As mentioned at the beginning that about 97% of the Landscape-Seascape are in the West Manggarai District. The dominant economic sector contributing to the regional income *(Pendapatan Domestik Regional Bruto)* is agriculture, forestry, and fishery. From 2018 to 2020, on average, the sector contributed at least 41% to the regional income. The sector contributed about 3.5% of the regional income growth during 2018-2019.

It was the sector of accommodation and food/beverage services that contribute most to the regional income growth in the West Manggarai District. During 2018-2019, the sector contributed about 12% to the regional income growth.

The above indicates that the sector is part of the support to tourism development that is growing in the district. Until 2020, there are already 9 starred hotels in the district which is the highest number across the districts in Flores Island. Further, the Komodo National Park and Labuan Bajo have been one of the super-priority for tourism development in Indonesia. A Master Plan for Integrated Tourism Development is being developed. All of these are expected to increase the contribution of the tourism sector to the regional income.

10. Demography and Human Development

In 2020, the total population of the West Manggarai District was 265,317 with a population growth of about 1.41%. The population density is about 81.59 per sq. km. Most of the population, about 21% were living in Komodo Sub-district which covers also the Komodo National Park.

The above suggests that opportunities for economic development can be created to affect a significant portion of the human population in the district through tourism development in Komodo National Park and Labuan Bajo. However, this will also put a challenge in terms of delivering conservation of the Komodo dragon and other globally threatened in west Flores Landscape-Seascape. Further, the natural values including biodiversity underpin the national priority to develop tourism in the district.

In 2019, the human development index in the district was 63.50. This was lower than the index for the East Nusa Tenggara which was 65.23.

11. National Strategic Tourism Area (Kawasan Strategis Pariwisata Nasional) Komodo National Park – Labuan Bajo

Komodo National Park together and the western coast of Flores Island have been designated as one of the National Strategic Tourism Areas or KSPN (Kawasan Strategis Pariwisata Nasional) by the government. There are five sub-districts in West Manggarai Barat that are part of the KSPN. Further, about 400 ha of production forest area within the FMU West Manggarai Barat in Nggorang Bowosie has been allocated for the development of high-end tourism facilities. The management authority of the area is being handed over to the BPOLPF. An Integrated Tourism Management Plan (ITMP) for the KSPN Komodo and Labuan Bajo is being prepared under the auspices of the Ministry of Public Works.

VII. Biophysical and socio-economic features of the North Flores Landscape-Seascape

1. Geographical areas and administration boundaries

The landscape-seascape in north Flores has been defined covering an area of 106,840 ha. The landscape-seascape is expanded west to east from the East Manggarai District, Ngada District, and Nagekeo District along the northern coast of Flores Island.

Table 14. District areas within North Flores Landscape-Seascape (ha)

District	Terrestrial	Marine	Grand Total
East Manggarai	45,695		45,695
Nagekeo	4,807		4,807
Ngada	50,234	6,105	56,338
Grand Total	**100,735**	**6,105**	**106,840**

2. Land-Uses and Marine areas

Most of the land and marine areas in the northern Landscape-Seascape are managed by communities. Government agencies manage protected areas, protection forests, and production forest areas. These indicate the need for collaboration between state and communities to deliver conservation and sustainable resource management in the Landscape-Seascape.

Table 15. Land-use management categories and marine areas in the Landscape-Seascape (ha)

Land-use categories	Estimated areas
State protected areas – terrestrial & marine	11,930
State protection forest areas	40,009
State production forest areas	1,555
Other land-use and open marine areas	53,347
Grand Total	**106,840**

3. Protected Area Network

Protected areas in the north Flores Landscape-Seascape are clustered in the northern coast of Flores between East Manggarai District and Ngada District. Similar to the west Landscape-Seascape, the PA coverage in north Flores is very limited, less than 10%.

Table 16. Protected areas in North Flores Landscape-Seascape (ha)

Protected Areas	Terrestrial	Marine	Grand Total
Riung Nature Reserve	416	0	416
Wolo Tado Nature Reserve	4,017	0	4,017
Tujuh Belas Pulau Nature Recreation Park	416	6,887	7,303
Grand Total	**4,849**	**6,887**	**11,736**

Note: the figures are rounded and based on information gathered for METT assessment (official figures), except for the estimated extent of terrestrial and marine areas of Tujuh Belas Pulau Nature Recreation Park

4. Forest Management Units

There are 3 forest management units that overlap with the North Flores landscape-seascape. About 41,563 ha of FMU East Manggarai, FMU Ngada, and FMU Nagekeo are part of the landscape-seascape. Most of these state forest areas are categorized as protection forest.

Table 17. Forest management unit areas in North Flores Landscape-Seascape (ha)

FMU	Protection forest	Production forest	Total
East Manggarai	23,574	1,549	25,123
Ngada	14,858	5	14,864
Nagekeo	1,577	0	1,577
Total	**40,009**	**1,555**	**41,563**

5. Key Biodiversity Areas

There are five KBAs overlap with the landscape-seascape. Four of the KBAs are fully within the landscape-seascape whereas another one (marine KBA Riung Tujuh Belas Pulau) is partly overlap. Since the Tujuh Belas Pulau Nature Recreation Park is fully cover the part of the marine KBA, about 61% of the KBA sites are covered in the PA network. About 26% of the KBA sites are on the community lands while 13% are in state protection forest areas

Table 18. Key Biodiversity Areas in North Flores Landscape-Seascape (ha)

KBA Sites	Protected Areas	Protection Forest	Other Land-Uses	Grand Total
Terrestrial				
IDN289 - Gapong	0	0	155	155
IDN290 - Pota	0	0	702	702
IDN294 - Wolo Tado	3,643	2,160	3,357	9,160
IDN296 - Pulau Ontoloe	377	0	0	377
Sub-total	*4,020*	*2,160*	*4,214*	*10,393*
Marine				
IDN295 - Riung 17 Pulau*)	6,106	0		6,106
Sub-total	*6,106*	*0*	*0*	*6,106*
Grand Total	**10,126**	**2,160**	**4,214**	**16,499**

*) only partly overlap with the landscape-seascape

6. Biodiversity – Globally Threatened Species

It is estimated that based on the KBA sites that are situated within or overlap with the landscape-seascape, there are 231 globally threatened species of which 13 are terrestrial species in the landscape-seascape. Two of the terrestrial KBAs are triggered by the distribution of the Komodo dragon. These are KBA Pota and KBA Pulau Ontoloe.

Table 19. Number of globally threatened species in North Flores Landscape-Seascape

Key Biodiversity Area	Critically Endangered	Endangered	Vulnerable	Total Species
IDN289-Gapong	0	1	2	3
IDN290-Pota	0	1	0	1
IDN294-Wolo Tado	1	1	1	3
IDN295-Riung 17 Pulau	10	20	193	223
IDN296-Pulau Ontoloe	0	1	0	1
Total Species	**11**	**24**	**196**	**231**

Table 20. Number of globally threatened terrestrial species in North Flores Landscape-Seascape

KBA	Bird	Reptile	Total Species
IDN289-Gapong	3	0	3
IDN290-Pota	0	1	1
IDN294-Wolo Tado	3	0	3
IDN295-Riung 17 Pulau	0	5	5
IDN296-Pulau Ontoloe	0	1	1
Grand Total	**6**	**7**	**13**

Two of the KBAs are also triggered by the distribution of the Komodo dragon. These are KBA Pota and KBA Pulau Ontoloe.

7. Main cover types and forests

Based on the land cover map of 2019 (MoEF), the dominant land cover in north Flores is forests and savanna. Significant primary forests (46,597 ha) are distributed mostly in state protection forest areas and community land. Long-term conservation and management of the primary forests will require collaboration between state agencies managing the forest areas and the communities.

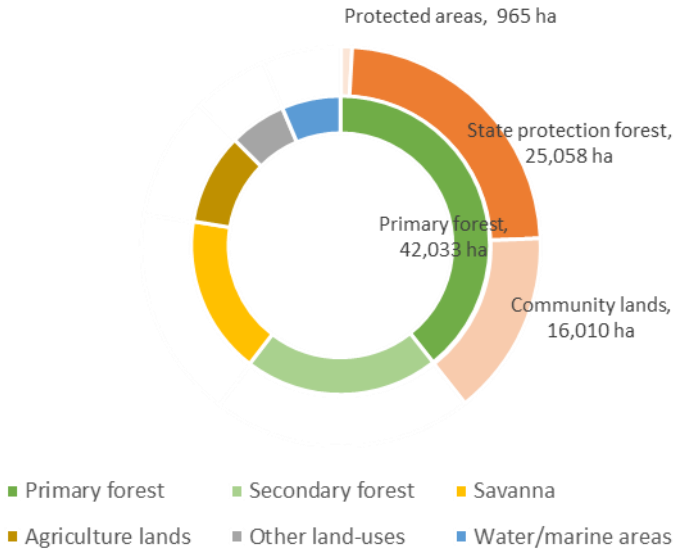


Chart 4. Main land cover types and distribution of primary forests in North Flores Landscape-Seascape (ha)

Table 21. Coverage of main land cover types in the formal land-use categories in North Flores Landscape-Seascape (ha)

Main categories of land-uses	State Protected Areas	State Protection Forest Areas	State Production Forest Areas	Other land/sea uses managed by communities	Grand Total
Primary forest	2,076	25,387	0	19,135	46,597
Secondary forest	1,969	11,016	1,497	11,357	25,839
Savanna	1,537	2,317	33	15,899	19,786
Agriculture	111	858	11	13,316	14,296
Water areas	6,699	96	0	21,528	28,323
Other land-uses	707	737	16	6,430	7,890
Grand Total	**13,098**	**40,411**	**1,556**	**87,665**	**142,731**

8. Potential High Biodiversity Value Areas (HBVAs) Outside of the PA Network

About 39,165 ha of the indicative distribution of Komodo dragon and KBA sites are distributed in north Flores Landscape-Seascape. Added with primary forests both inside and outside of the state forest areas, the total potential HBVAs is 78,164 ha.

Table 22. Potential High Biodiversity Value Areas (HBVAs) in North Flores Landscape-Seascape (ha)

Categories of HBVAs	Terrestrial	Marine	Grand Total
1. Komodo-KBA Area	22,526	16,639	39,165
2. Other primary forests in state forest areas	23,168	0	23,168
3. Other primary forest outside state forest areas	15,830	0	15,830
Grand Total	**61,525**	**16,639**	**78,164**

Note: other primary forests (2 & 3) are primary forests outside the KBA distribution areas and KBAs

Most of the potential HBVAs (about 50,047 ha) are in community land and marine areas of which about 15,830 ha are primary forests. This indicates the need for collaboration with communities to deliver biodiversity conservation outside of the PA network. In addition, there is about 28,044 ha of potential HBVAs in protection forest being managed by the forest management units in districts. Most of these potential HBVAs are also primary forests.

Table 23. Distribution of potential HBVAs in formal land-use categories in North Flores Landscape-Seascape (ha)

Categories of Potential HBVAs	Protection forest in FMU areas	Production Forest in FMU areas	Other land uses and areas managed by communities	Grand Total
Komodo-KBA Area	4,876	73	34,217	39,165
Other primary forests in state forest area	23,168	0	0	23,168
Other primary forests outside state forest area	0	0	15,830	15,830
Grand Total	**28,044**	**73**	**50,047**	**78,164**

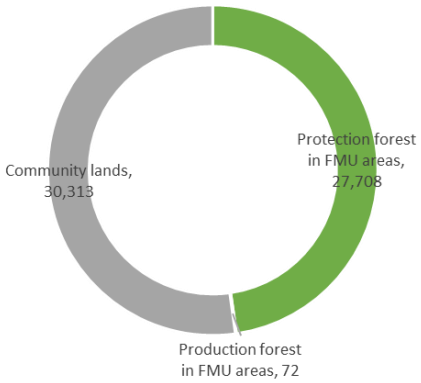


Chart 5. Distribution of potential HBVAs in formal land-use categories in North Flores Landscape-Seascape (ha)

9. *Adat* communities and territories

In north Flores Landscape-Seascape, there are adat communities that still exist and manage traditional land/marine territories. Among them, the well-known is Baar tribe *(Suku Baar)* and the Toring tribe *(Suku Toring).* The former is concentrated in Sambinasi Village (Ngada District) but they are also distributed in other villages to the west into East Manggarai District. The second tribe is concentrated in Lengko Sambi Village in Ngada District.

Torong Padang Peninsula in Sambinasi Village is an example of traditional adat land belonging to Baar communities. The land is called *Tanah Pirong* which has been set aside and managed from generation to generation for seasonal traditional hunting. This practice is continuing until today. Torong Padang is part of the distribution area of the Komodo dragon. Therefore, any conservation measures on these lands have to be agreed upon by the communities.

Other adat communities in the Landscape-Seascape include *Suku Towak, Suku Cila, Suku Tadho*, and *Suku Riung*. Their traditional adat land and territories need to be recognized and mapped out as part of area-based conservation measures.

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Peraturan Daerah Kabupaten Manggarai Barat No. 9 Tahun 2012 Tentang Rencana Tata Ruang Wilayah Kabupaten Manggarai Barat Tahun 2012 – 2032

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate

SECTION I

PLEASE NOTE THAT THIS TOOL IS ONLY FOR USE FOR GEF-7 Protected Area Projects

I. General Data	Please indicate your answer here	Notes
Please complete this section for all projects under Objective 1.		
Project Title	Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
GEF Project ID	10728	
Agency Project ID	6506	
Implementing Agency	Directorate General, Natural Resources and Ecosystem Conservation-Ministry of Environment and Forestry	
Project Type	FSP	FSP or MSP
Country	Indonesia	
Region	EAP	
Date of submission of the tracking tool	February 11, 2022	Month DD, YYYY (e.g., May 12, 2010)
Name of reviewers completing tracking tool and completion date	Ria Saryanthi, Jihad, Lalu Abdi Wirastami	Completion Date
Planned project duration	6	years
Actual project duration		years under implementation to date
Lead Project Executing Agency (ies)	Directorate General, Natural Resources and Ecosystem Conservation-Ministry of Environment and Forestry	

II. Total Extent by Biome	Please indicate your answer here	
Please complete this table with the total extent of protected areas targeted by the project by terrestrial, freshwater, and marine biome. Please complete this section for all projects under Objective 1.		
Terrestrial (insert total hectares for terrestrial coverage)	47,062.05	ha
Freshwater (insert total hectares for freshwater coverage)		ha
Marine (insert total hectares for marine coverage)	139,485.95	ha

III. Targeted Protected Areas	Please indicate your answer here	
Please complete the table below for the protected areas that are the target of the GEF intervention (i.e. completing a METT). Add new tables (copy/paste rows) for each protected area, as needed. Use N/A for not applicable.		
1. Protected Area		
Name of Protected Area	Wae Wuul Nature Reserve	
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	1,484.84 ha	
Biome type	Terrestrial	Please select from the drop-down list.
Global designation or priority lists	Biosphere Reserve	Please select from the drop-down list.
Local Designation of Protected Area	Nature Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection	Please select from the drop-down list.
2. Protected Area		
Name of Protected Area	Komodo National Park	
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	40,728 ha	
Biome type	Terrestrial	Please select from the drop-down list.

Global designation or priority lists	here Reserve and World Heritage	Please select from the drop-down list.
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	Please select from the drop-down list.

3. Protected Area		
Name of Protected Area	Komodo National Park	
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	132,572 ha	
Biome type	Marine	Please select from the drop-down list.
Global designation or priority lists	here Reserve and World Heritage	Please select from the drop-down list.
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	Please select from the drop-down list.

4. Protected Area		
Name of Protected Area	Wolo Tadho Nature Reserve	
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	4,016 ha	
Biome type	Terrestrial	Please select from the drop-down list.
Global designation or priority lists		Please select from the drop-down list.
Local Designation of Protected Area	Nature Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	1	Please select from the drop-down list.

5. Protected Area		
Name of Protected Area	Riung Nature Reserve	
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	416.2 ha	
Biome type	Terrestrial	Please select from the drop-down list.
Global designation or priority lists		Please select from the drop-down list.
Local Designation of Protected Area	Nature Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	1	Please select from the drop-down list.

6. Protected Area		
Name of Protected Area	h Belas Pulau Nature Recreation	Park
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	416.21 ha	
Biome type	Terrestrial	Please select from the drop-down list.
Global designation or priority lists		Please select from the drop-down list.
Local Designation of Protected Area	Nature Recreation Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	5	Please select from the drop-down list.

7. Protected Area		
Name of Protected Area	h Belas Pulau Nature Recreation	Park
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	6,886.95 ha	
Biome type	Marine	Please select from the drop-down list.
Global designation or priority lists		Please select from the drop-down list.
Local Designation of Protected Area	Nature Recreation Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	5	Please select from the drop-down list.

8. Protected Area		
Name of Protected Area	Sawu Sea Marine National Park	
Is this a new protected area that is being established through this project intervention?	0	Yes = 1, No = 0
Area in Hectares	924.67 ha	Represents the core zone within the project landscape-seascape
Biome type	Marine	Please select from the drop-down list.
Global designation or priority lists		Please select from the drop-down list.
Local Designation of Protected Area	Marine National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	Please select from the drop-down list.

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate
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 to improve management effectiveness and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has five data sheets:
Data Sheet 1: Records details of the assessment and some basic information about the site, such as name, size and location etc.
Data Sheet 2: Provides a specific list of threats that the project is addressing.
Data Sheet 3: Condition of biodiversity in the protected area.
Data Sheet 4: 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.
Data Sheet 5: Datasources and methods on which above assessments of condition of biodiversity in the protected area in Question 30 are based.

PLEASE NOTE THAT THIS TOOL IS FOR USE ONLY IN GEF-7 Protected Area PROJECTS

Data Sheet 1: Reporting Progress at Protected Area Sites

Questions	Please indicate your answers here			Notes
	Project Start-up	Midterm	Project Completion	
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Chrismiawati and Desy Muliati			
Date assessment carried out	August 14, 2019			Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	ae Wuul Nature Reserve			
WDPA site code (these codes can be found on www.protectedplanet.net)	20419			
Country	Indonesia			
Location of protected area (province and if possible map reference)	Manggarai Barat District, Nusa Tenggara Timur Province			
Date of establishment	Menhut No. 427/Kpts-II/1996 (9 August 1996)			
Ownership details (please choose 1-4)	1			1: State 2: Private 3: Community 4: Other
Management Authority	BBKSDA NTT			
Size of protected area (ha)	1,484.84 ha			
Number of Permanent staff	3			Recent data from 2021
Number of Temporary staff	1			
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs	USD 6,144 / year			
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs	USD 3,483 / year			
What are the main values for which the area is designated	Protection of Komodo Dragon, wildlife and its habitat along with its ecosystem and landscape			
List the two primary protected area management objectives in below:				Management plan not available
Management objective 1	N/A			
Management objective 2	N/A			
No. of people involved in completing assessment	7 persons			
Including: (please choose 1-8)	1; 2; 3			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: Key Biodiversity Indicators Used in This Protected Area

At project start-up, identify and list up to five key biodiversity indicators that are monitored on a regular basis in the protected area; these indicators can relate to any/all trophic levels OR using other indicators. For each identified indicator, provide the current (project start-up) status of that indicator in numerical terms or with a short description (see examples below), as appropriate. The examples are only illustrative and the protected area manager should use the indicators that currently are being monitored and/or will be monitored.

At project midterm and at project completion, provide updates on the status of the same indicator(s) identified at project start.

The overall condition of biodiversity -- based on the status of the indicator(s) identified here -- will be reported on in Question 30 in Data Sheet 4 (METT Assessment Form). Therefore the inputs here require focused analysis to assess whether trends are positive, negative or neutral.

Indicator	Project Start-up	Midterm	Project Completion	Comments (optional)
Example Indicator 1: Degree of soil compaction and/or erosion, as indicated by test sites compared with exclosures *Example Indicator 2: Average total area of grassland burnt by fire per year, as indicated by plotting GPS points following fire events* *Example Indicator 3: Total area deforested or with forest significantly degraded, as indicated by satellite imagery* *Example Indicator 4: Estimated population of a key herbivore species as indicated by dung counts* *Example Indicator 5: Estimated population of a key carnivore species as indicated by camera traps*	*23 hectares*	*35 hectares*	*50 hectares*	
Indicator 1 : Komodo Dragon population density	average 29.12; estimation 22-36 individuals	average 29.12; estimation 22-36 individuals	average 29.12; estimation 22-36 individuals	Stable Komodo Dragon population. Baseline data based on population monitoring conducted by KSP (Komodo Survival Program) & BBKSDA NTT since 2008. The density estimation of komodo at each camera trap observation location was calculated based on the detection of the presence of the komodo caught on camera. Furthermore, the data was analysed using PRESENCE software version 2.12.36, using the analysis model "single-season, Heterogeneity (Royle-Nichols)", which was then converted into data on the komodo density per km2 to be converted to potential habitat area, then to produce an estimate of the total population of komodo at each site. Information source: infographic of map of komodo distribution areas in Flores, outside of Komodo National Park produced by BBKSDA NTT in 2020.
Indicator 1. Komodo Dragon population	18 individuals	18 individuals	18 individuals	Stable Komodo Dragon population. Data from the results of the captured camera trap in form of image/photo and video analysis. Based on observation of the time the individual was caught on camera, individual size, physical markings on the komodo, as well as the location of camera trap placement, therefore the estimation of the minimum number of individuals in each location is predicted. Source: Short inventory report of komodo dragon in Wae Wuul Nature Reserve by BBKSDA NTT in 2021.
Indicator 2				
Indicator 3				
Indicator 4				
Indicator 5				

Data Sheet 3: Protected Areas Threats

Please describe each threat that the project is directly addressing and provide the threat reduction indicator that the project is using from the project logframe to measure progress in reducing each threat. An example is provided.

Questions	Please enter your answers in this column.	Comments (optional)
Example Threat	***Illegal hunting for bushmeat***	
Threat reduction indicator	*Quantity of bushmeant coming from Xanadu PA sold in markets*	
Baseline status	*At the start of project bushmeat sales in markets are 20 tons/per year (baseline upon which progress will be measured).*	
Target	*Quantities of bushmeat coming from "Xanadu Protected Area" sold in markets are reduced by 70% over the project period*	
Midterm status	*Bushmeat sales are recorded to be 14 tons per year.*	
End of project status	*Bushmeat sales are recorded to be 12 tons per year.*	
Threat 1	**Livestock and grazing**	
Threat reduction indicator	Number of livestock grazing in the PA are reduced	
Baseline status	High Threat:	
Target	Number of grazing livestock in PA area are reduced 75% over the project period	
Midterm status		
End of project status		
Threat 2	**Hunting, killing and gathering of terrestrial animals**	Timor Deer hunting is the most dominant target
Threat reduction indicator	Hunting of Timor Deer is reduced	
Baseline status	High Threat:	
Target	Number of Timor Deer hunting reduced by 100% over the project period	
Midterm status		
End of project status		
Threat 3	**Plants collection and non-timber forest product harvesting**	Honey harvesting
Threat reduction indicator	Number of honey harvesting are reduced	
Baseline status	High Threat:	
Target	Number of honey harvesting reduced by 90% over the project period	
Midterm status		
End of project status		
Threat 4	**Fire and fire suppression (including intentional burning)**	Rate of savanna burnt by fire is very high
Threat reduction indicator	Average total area of grassland burnt by fire per year are reduced	
Baseline status	High Threat:	
Target	Area of grassland burnt by fire are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 5	**Non-native/alien invasive plants (grass)**	
Threat reduction indicator	Average total area of land covered by invasive plant species are reduced	
Baseline status	Medium	
Target	Total area of land covered by invasive plant species area reduced by 50% over project period	
Midterm status		
End of project status		

Data Sheet 4: METT Assessment Form

Please select a score from the drop-down list for each question. If a question is not applicable, then do not select a score and enter "N/A" in the comments space along with a brief explanation.

Questions	Project start-up	Midterm	Project Completion	Criteria and Scores
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	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	Dissemination of the Wae Wuul PA Boundary to the Stakeholders Some of boundary poles hasn't installed yet Boundary reconstruction will be proposed to BPKH (Forest Gazettement Agency) in 2022			
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	2			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	Coordinate and consult with Directorate of Protected Area Planning for the approval process of block/Zonation documents Infrastructure ; Operational (cost)			
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	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	Addition of permanent and contract staff of the PA, increase in human resources capacity through training and education, as well as increasing the patrol budget.			
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
Comments and Next Steps	Need to prepare a PA Management Plan to synchronize PA management activities in accordance with its designation			

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?	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) 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	Cooperate with stakeholders to survey the habitat (breeding nest) of Komodo dragons around the area, if found, then habitat protection efforts will be carried out by building agreements with surrounding land stakeholders to protect the habitat			
6. Protected area boundary demarcation: Is the boundary known and demarcated?	2			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	Need to completely reconstruct the PA boundaries, socialize the boundaries of the area to the community and the stakeholders. Boundary mark haven't all been installed			
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
Comments and Next Steps	Not written yet. Implementation and activities in the PA are based on the priority scale of the planned activities from the budget which incidental such as surveys, monitoring patrols, making firebreaks, community empowerment, socialization etc. Next step :produce Wae Wuul NR management plan			
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	0			0: No 1: Yes
Comments and Next Steps	Public consultation of the management plan with stakeholders			
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
Comments and Next Steps	There is a plan for management plan review/evaluation. If the management plan has been prepared in accordance with PP No. 28 of 2011 with a period of 10 years			
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0			0: No 1: Yes

Comments and Next Steps	Clear enough			
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
Comments and Next Steps	Preparation of work plans and budget allocation for PA management in accordance with management objectives (Management Plan).			
9. Resource inventory: Do you have enough information to manage the area?	3			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	Need more comprehensive and regular study to update informastion on the protected area			
10. Protection systems: Are systems in place to control access/resource use in the protected area?	2			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	Need additional support on staff and funding for the patrol could be conducted more intensive.			
11. Research: Is there a programme of management-orientated survey and research work?	2			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	There have been research activities in collaboration with partners (Yayasan Komodo Survival Program) for research and conservation activities for Komodo dragons (Research for Komodo dragons (2009 to present), Survey of bird diversity, survey of Komodo prey, inventory of ecological potential, inventory of social and cultural affairs, monitoring of weather data and It is necessary to make a road map on the research.			

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
Comments and Next Steps	Improved management of other important biodiversity.			
13. Staff numbers: Are there enough people employed to manage 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	Need staff for administrative, forestry workers as well as increasing the number of forest police officers (POLHUT).			
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
Comments and Next Steps	Increase the budget for training assistance funds for field staff so that they can take part in training that requires quite large transportation costs			
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
Comments and Next Steps	Allocate budget for activities according to area needs in addition to costs for routine patrols			
16. Security of budget: Is the budget secure?	2			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	Synchronization between budget disbursement so that it is in suitable with PA workplan			

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
Comments and Next Steps	There must be a budget allocation for activities for each area on a regular basis not only for patrol activities, such as monitoring and survey activities needed in area management.			
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
Comments and Next Steps	Adding equipment to support area management such as the procurement of patrol motorbikes and equipment that can support activities.			
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
Comments and Next Steps	Need additional budget for equipment and facilities maintenance			
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
Comments and Next Steps	Needs to prepare programs for routine education and awareness-raising activities by officers with regular budgeting and adding forestry officer			
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
Comments and Next Steps	Needs to completely reconstruct the boundaries to clarify the boundaries of the area, increase the intensity of patrols and socialize the boundaries of the area to the community.			
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

Comments and Next Steps	The landscape in PA has considered adequate environmental carrying capacity to ensure the sustainability of important habitats Example: downstream area, upstream planning must consider the potential for water pollution into the area			
21b. Land and water planning for connectivity: 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
Comments and Next Steps				
21c. Land and water planning for ecosystem services and species 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
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
Comments and Next Steps	Forming a forum/group consisting of all elements (three pillars) that have an interest in the area.			
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	0			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	Not applicable			
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
Comments and Next Steps	Developing a mechanism so that the community can have a role in supporting the management of the area, can be done through the concept of three pillars			
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1			0: No 1: Yes
Comments and Next Steps	Regular froum			

24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1			0: No 1: Yes
Comments and Next Steps	Clear enough			
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1			0: No 1: Yes
Comments and Next Steps	There are regional regulations/village regulations, customs (active) that support the conservation of the area			
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
Comments and Next Steps	Information not available			
26. Monitoring and evaluation: Are management activities monitored against performance?	2			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	Data from RBM (resort based management) collection after being analyzed to be able to provide feedback. Accelerate the preparation of RPJPn			
27. Visitor facilities: Are visitor facilities adequate?	0			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	Not applicable			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0			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	Not applicable			

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
Comments and Next Steps	Not applicable			
30. What is the overall condition of the biodiversity of the protected area in terms of the indicator(s) indicated in Data Sheet 2 above?	2			0: Severely degraded 1: Partially degraded 2: Mostly intact 3: Completely intact
Comments and Next Steps	**Please complete Data Sheet 5 for Question 30 that follows below.**			
Total METT Score (automatically calculated)	**42**	**0**	**0**	**Provide comments here (optional)**

Data Sheet 5: Data sources and methods used to assess the present overall condition of biodiversity in the protected area (METT Question 30, above).

Summarize the data sources used to track the indicator(s) given in Data Sheet 2, and outline the method for assessing the indicator results. The indicator(s) will automatically appear in this table once entered in Data Sheet 2.

This table (Data Sheet 5) should be updated, as appropriate, during each application of the METT. An example is provided.

Indicator	Summarize the data sources used to track this indicator	Outline the method used for assessing the indicator results and what these show about the condition of biodiversity
Example: *Average total area of grassland burnt by fire per year*	**Example**: *Records of fire events during the period of monitoring - showing the extent of the area burnt, as recorded by park rangers using hand-held GPS devices to plot boundaries of area and calculate total number of hectares*	***EXAMPLE:*** *- Observation of overall trend - more, less or same amount of fire disturbance* *- Reference to scientific literature on ecosystem types to understand optimum fire intervals* *- Examination of fire record to determine historical trends in fires in the PA* *- Analysis of pattern to determine fire frequency in particular parts of PA in and beyond*
Indicator 1 : Komodo Dragon population density	Conducting annual population monitoring survey	Analysis of Komodo Dragon population trend by using camera trap and capture - mark - recapture
Indicator 2		
Indicator 3		
Indicator 4		
Indicator 5		

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate
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 to improve management effectiveness and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has five data sheets:
Data Sheet 1: Records details of the assessment and some basic information about the site, such as name, size and location etc.
Data Sheet 2: Provides a specific list of threats that the project is addressing.
Data Sheet 3: Condition of biodiversity in the protected area.
Data Sheet 4: 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.
Data Sheet 5: Datasources and methods on which above assessments of condition of biodiversity in the protected area in Question 30 are based.

PLEASE NOTE THAT THIS TOOL IS FOR USE ONLY IN GEF-7 Protected Area PROJECTS

Data Sheet 1: Reporting Progress at Protected Area Sites

Questions	Please indicate your answers here			Notes
	Project Start-up	Midterm	Project Completion	
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Silfiana Nugrahaeni			
Date assessment carried out	August 3, 2017			Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Wolo Tadho Nature Reserve			
WDPA site code (these codes can be found on www.protectedplanet.net)	555571244			
Country	Indonesia			
Location of protected area (province and if possible map reference)	Ngada District, Nusa Tenggara Timur Province			
Date of establishment	Menhut No. 429/Kpts-II/1992, on May 5, 1992			
Ownership details (please choose 1-4)	1			1: State 2: Private 3: Community 4: Other
Management Authority	BBKSDA NTT			
Size of protected area (ha)	4,016.8 ha			
Number of Permanent staff	2			4 staff cover three Protected Area sites (Wolo Tadho, Riung, and Tujuh Belas Pulau) in 2021
Number of Temporary staff	2			
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs	USD 2,090 / year			
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs	USD 3,483 / year			
What are the main values for which the area is designated	Protection of Komodo Dragon, wildlife and its habitat along with its ecosystem and landscape			
List the two primary protected area management objectives in below:				
Management objective 1	N/A			
Management objective 2	N/A			
No. of people involved in completing assessment	20			

Including: (please choose 1-8)	1, 2, 3			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: Key Biodiversity Indicators Used in This Protected Area

At project start-up, identify and list up to five key biodiversity indicators that are monitored on a regular basis in the protected area; these indicators can relate to any/all trophic levels OR using other indicators. For each identified indicator, provide the current (project start-up) status of that indicator in numerical terms or with a short description (see examples below), as appropriate. The examples are only illustrative and the protected area manager should use the indicators that currently are being monitored and/or will be monitored.

At project midterm and at project completion, provide updates on the status of the same indicator(s) identified at project start.

The overall condition of biodiversity -- based on the status of the indicator(s) identified here -- will be reported on in Question 30 in Data Sheet 4 (METT Assessment Form). Therefore the inputs here require focused analysis to assess whether trends are positive, negative or neutral.

Indicator	Project Start-up	Midterm	Project Completion	Comments (optional)
Example Indicator 1: Degree of soil compaction and/or erosion, as indicated by test sites compared with exclosures *Example Indicator 2: Average total area of grassland burnt by fire per year, as indicated by plotting GPS points following fire events* *Example Indicator 3: Total area deforested or with forest significantly degraded, as indicated by satellite imagery* *Example Indicator 4: Estimated population of a key herbivore species as indicated by dung counts* *Example Indicator 5: Estimated population of a key carnivore species as indicated by camera traps*	*23 hectares*	*35 hectares*	*50 hectares*	
Indicator 1 : Status of Komodo Dragon occurrence	N/A			No data available
Indicator 2				
Indicator 3				
Indicator 4				
Indicator 5				

Data Sheet 3: Protected Areas Threats

Please describe each threat that the project is directly addressing and provide the threat reduction indicator that the project is using from the project logframe to measure progress in reducing each threat. An example is provided.

Questions	Please enter your answers in this column.	Comments (optional)
Example Threat	***Illegal hunting for bushmeat***	
Threat reduction indicator	*Quantity of bushmeant coming from Xanadu PA sold in markets*	
Baseline status	*At the start of project bushmeat sales in markets are 20 tons/per year (baseline upon which progress will be measured).*	
Target	*Quantities of bushmeat coming from "Xanadu Protected Area" sold in markets are reduced by 70% over the project period*	
Midterm status		
End of project status		
Threat 1	**Tenurial conflict due protected area boundary**	
Threat reduction indicator	Number of tenurial conflict due to boundary events are reduced	

Baseline status	High Threat	
Target	Number of tenurial conflict events in the PA are reduced by 10% over project period	
Midterm status		
End of project status		
Threat 2	**Fire and fire suppression (including intentional burning)**	
Threat reduction indicator	Average total area of grassland burnt by fire per year are reduced	
Baseline status	High Threat	
Target	Area of grassland burnt by fire are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 3	**Poaching of terrestrial animals**	
Threat reduction indicator	Quantity of wildlife poaching event are reduced	
Baseline status	High Threat	
Target	Number of wildlife poaching event are reduced by 75% over the project period	
Midterm status		
End of project status		

Data Sheet 4: METT Assessment Form

Please select a score from the drop-down list for each question. If a question is not applicable, then do not select a score and enter "N/A" in the comments space along with a brief explanation.

Questions	Project start-up	Midterm	Project Completion	Criteria and Scores
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	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	The legal basis of the area is clear, based on SK Menhut No. 429/Kpts-II/1992 tangal 5 Mei 1992			
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3			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	Zonation/PA Block document has been formalized			

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
Comments and Next Steps	Addition of POLHUT (forest ranger) and PEH (technical) staff in the PA as well as increasing human resources through Education and Training. Routine Patrol Budget increased to 12 months.			
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
Comments and Next Steps	Need to prepare a Management Plan to synchronize area management activities so that they are in accordance with their designation.			
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?	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) 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	Assessment of area design in PA to provide animal corridor			
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
Comments and Next Steps	Increasing the intensity of patrols, counseling, and outreach to the community.			

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
Comments and Next Steps	No management plan are being made			
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	0			0: No 1: Yes
Comments and Next Steps	Public consultation of the PA by involving stakeholders			
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
Comments and Next Steps	There is a plan for Management Plan (RP) review/evaluation. If the RP has been prepared in accordance with PP No. 28 of 2011 with a period of 10 years			
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0			0: No 1: Yes
Comments and Next Steps	Clear enough			
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
Comments and Next Steps	Preparation of work plans and budget allocation for area management in line with management objectives (RP).			
9. Resource inventory: Do you have enough information to manage the area?	2			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	Need to carry out a potential inventory to determine the value of the area			
10. Protection systems: Are systems in place to control access/resource use in the protected area?	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	Additional staff and financial support so that patrol activities can be carried out more frequently and intensively.			

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
Comments and Next Steps	Need to conduct a survey and monitoring of flora and fauna by PA managers and increase researches with partners (KSP) on a time series basis and other stakeholder			
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
Comments and Next Steps	Conduct time series study of Komodo dragons with KSP			
13. Staff numbers: Are there enough people employed to manage 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	Need to add permanent staff and contract workers who have basic knowledge in forestry			
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
Comments and Next Steps	Capacity building of employees through collaboration with the Puslitbang Kehutanan (forestry research) and BDK Kupang			
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
Comments and Next Steps	There needs to be an outreach program for schools around the buffer zones			

16. Security of budget: Is the budget secure?	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	Additional budget so that activities needed in area management can be planned and implemented.			
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
Comments and Next Steps	There must be a budget allocation for activities for each area on a regular basis, not only for patrol activities, such as monitoring needed in PA management.			
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
Comments and Next Steps	Resort level minimum equipment has been budgeted for 2018			
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
Comments and Next Steps	Maintenance of field technical equipment (cameras and GPS)			
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
Comments and Next Steps	It is necessary to carry out education and awareness-raising activities on a regular basis by officers with regular budgeting and adding forestry extension workers. Currently the BBKSDA NTT only has 3 forestry counseling officer			

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
Comments and Next Steps	Need to monitor development progress and update the Spatial Planning (RTRW) so that preventive actions can be taken against activities that will cause losses in the future.			
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
Comments and Next Steps	The landscape in which PA are included has considered adequate environmental carrying capacity to ensure the sustainability of the habitats			
21b. Land and water planning for connectivity: 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
Comments and Next Steps				
21c. Land and water planning for ecosystem services and species 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
Comments and Next Steps	Planning addresses the specific needs of ecosystems and/or the needs of certain species at an ecosystem scale (eg volume, quality and timing of freshwater flows for the survival of certain species, fire management to maintain savanna habitat, etc.)			
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
Comments and Next Steps	Collaborating with local government and the private sector			

23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	1			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	developing a mechanism so that the community can have a role in supporting the management of the PA, can be done through the concept of three pillars			
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
Comments and Next Steps	Developing a mechanism so that the community can have a role in supporting the management of the PA, can be done through the concept of three pillars			
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1			0: No 1: Yes
Comments and Next Steps	Regular forum established			
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1			0: No 1: Yes
Comments and Next Steps	Clear enough			
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1			0: No 1: Yes
Comments and Next Steps	There are regional regulations/village regulations, customs (active) that support the protection of the PA			
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
Comments and Next Steps	Information not available			

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
Comments and Next Steps	There is no Management Plan yet so there is no evaluation activity			
27. Visitor facilities: Are visitor facilities adequate?	0			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	Not Applicable			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0			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	Not Applicable			
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
Comments and Next Steps	Not Applicable			
30. What is the overall condition of the biodiversity of the protected area in terms of the indicator(s) indicated in Data Sheet 2 above?	2			0: Severely degraded 1: Partially degraded 2: Mostly intact 3: Completely intact
Comments and Next Steps	**Please complete Data Sheet 5 for Question 30 that follows below.**			
Total METT Score (automatically calculated)	38	0	0	**Provide comments here (optional)**

Data Sheet 5: Data sources and methods used to assess the present overall condition of biodiversity in the protected area (METT Question 30, above).

Summarize the data sources used to track the indicator(s) given in Data Sheet 2, and outline the method for assessing the indicator results. The indicator(s) will automatically appear in this table once entered in Data Sheet 2.

This table (Data Sheet 5) should be updated, as appropriate, during each application of the METT. An example is provided.

Indicator	Summarize the data sources used to track this indicator	Outline the method used for assessing the indicator results and what these show about the condition of biodiversity
Example: *Average total area of grassland burnt by fire per year*	**Example**: *Records of fire events during the period of monitoring - showing the extent of the area burnt, as recorded by park rangers using hand-held GPS devices to plot boundaries of area and calculate total number of hectares*	***EXAMPLE:*** *- Observation of overall trend - more, less or same amount of fire disturbance* *- Reference to scientific literature on ecosystem types to understand optimum fire intervals* *- Examination of fire record to determine historical trends in fires in the PA* *- Analysis of pattern to determine fire frequency in particular parts of PA in and beyond*
Indicator 1 : Status of Komodo Dragon occurrence	Comprehensive survey to assess Komodo Dragon status in the PA	Analysis using direct observation, transect, and camera trap
Indicator 2		
Indicator 3		
Indicator 4		
Indicator 5		

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate
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 to improve management effectiveness and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has five data sheets:
Data Sheet 1: Records details of the assessment and some basic information about the site, such as name, size and location etc.
Data Sheet 2: Provides a specific list of threats that the project is addressing.
Data Sheet 3: Condition of biodiversity in the protected area.
Data Sheet 4: 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.
Data Sheet 5: Datasources and methods on which above assessments of condition of biodiversity in the protected area in Question 30 are based.

PLEASE NOTE THAT THIS TOOL IS FOR USE ONLY IN GEF-7 Protected Area PROJECTS

Data Sheet 1: Reporting Progress at Protected Area Sites

Questions	Please indicate your answers here			Notes
	Project Start-up	Midterm	Project Completion	
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Aty Nuban			
Date assessment carried out	August 3, 2017			Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Riung Nature Reserve			
WDPA site code (these codes can be found on www.protectedplanet.net)	317275			
Country	Indonesia			
Location of protected area (province and if possible map reference)	Ngada District, Nusa Tenggara Timur Province			
Date of establishment				
Ownership details (please choose 1-4)	1			1: State 2: Private 3: Community 4: Other
Management Authority	BBKSDA NTT			
Size of protected area (ha)	416.2 ha			
Number of Permanent staff	2			4 staff cover three Protected Area (Wolo Tadho, Riung, and Tujuh Belas Pulau) in 2021
Number of Temporary staff	2			
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs	USD 2,090 / year			
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs	USD 3,483 / year			
What are the main values for which the area is designated	Protection of Komodo Dragon, wildlife and its habitat along with its ecosystem and landscape			
List the two primary protected area management objectives in below:				
Management objective 1	N/A			
Management objective 2	N/A			
No. of people involved in completing assessment	20			

Including: (please choose 1-8)	1, 2, 3			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: Key Biodiversity Indicators Used in This Protected Area

At project start-up, identify and list up to five key biodiversity indicators that are monitored on a regular basis in the protected area; these indicators can relate to any/all trophic levels OR using other indicators. For each identified indicator, provide the current (project start-up) status of that indicator in numerical terms or with a short description (see examples below), as appropriate. The examples are only illustrative and the protected area manager should use the indicators that currently are being monitored and/or will be monitored.

At project midterm and at project completion, provide updates on the status of the same indicator(s) identified at project start.

The overall condition of biodiversity -- based on the status of the indicator(s) identified here -- will be reported on in Question 30 in Data Sheet 4 (METT Assessment Form). Therefore the inputs here require focused analysis to assess whether trends are positive, negative or neutral.

Indicator	Project Start-up	Midterm	Project Completion	Comments (optional)
Example Indicator 1: Degree of soil compaction and/or erosion, as indicated by test sites compared with exclosures *Example Indicator 2: Average total area of grassland burnt by fire per year, as indicated by plotting GPS points following fire events* *Example Indicator 3: Total area deforested or with forest significantly degraded, as indicated by satellite imagery* *Example Indicator 4: Estimated population of a key herbivore species as indicated by dung counts* *Example Indicator 5: Estimated population of a key carnivore species as indicated by camera traps*	*23 hectares*	*35 hectares*	*50 hectares*	
Indicator 1 : Komodo Dragon Population Density	N/A			No data available
Indicator 2				
Indicator 3				
Indicator 4				
Indicator 5				

Data Sheet 3: Protected Areas Threats

Please describe each threat that the project is directly addressing and provide the threat reduction indicator that the project is using from the project logframe to measure progress in reducing each threat. An example is provided.

Questions	Please enter your answers in this column.	Comments (optional)
Example Threat	***Illegal hunting for bushmeat***	
Threat reduction indicator	*Quantity of bushmeant coming from Xanadu PA sold in markets*	
Baseline status	*At the start of project bushmeat sales in markets are 20 tons/per year (baseline upon which progress will be measured).*	
Target	*Quantities of bushmeat coming from "Xanadu Protected Area" sold in markets are reduced by 70% over the project period*	
Midterm status	*Bushmeat sales are recorded to be 14 tons per year.*	
End of project status	*Bushmeat sales are recorded to be 12 tons per year.*	
Threat 1	**Tenurial conflict due protected area boundary**	

Threat reduction indicator	Number of tenurial conflict due to boundary events are reduced	
Baseline status	High Threat	
Target	Number of tenurial conflict events in the PA are reduced by 10% over project period	
Midterm status		
End of project status		
Threat 2	**Livestock and grazing**	
Threat reduction indicator	Number of livestock grazing in the PA are reduced	
Baseline status	High Threat	
Target	Number of grazing livestock in PA area are reduced 75% over the project period	
Midterm status		
End of project status		
Threat 3	**Transport and service corridors within conservation areas**	
Threat reduction indicator	Reduce negative impact of road construction to wildlife and its habitat	
Baseline status	High Threat	
Target	Roadkill events of Komodo Dragon are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 4	**Hunting, killing, and poaching terrestrial animals**	
Threat reduction indicator	Quantity of wildlife poaching event are reduced	
Baseline status	High Threat	
Target	Number of wildlife poaching event are reduced by 75% over the project period	
Midterm status		
End of project status		
Threat 5	**Fire and fire suppression (including intentional burning)**	
Threat reduction indicator	Average total area of grassland burnt by fire per year are reduced	
Baseline status	High Threat	
Target	Area of grassland burnt by fire are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 6	**Non-native/alien invasive plants**	
Threat reduction indicator	Average total area of land covered by invasive plant species *(Leucaena leucocephala*) are reduced	
Baseline status	Medium Threat	
Target	Total area of land covered by invasive plant species *(Leucaena leucocephala*) area reduced by 50% over project period	
Midterm status		
End of project status		

Data Sheet 4: METT Assessment Form

Please select a score from the drop-down list for each question. If a question is not applicable, then do not select a score and enter "N/A" in the comments space along with a brief explanation.

Questions	Project start-up	Midterm	Project Completion	Criteria and Scores

1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	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	Already have legal status document. (SK Menhut No.3911/MENHUT-VII/KUH/2014 date May 14, 2014 ; Area confirmation by coordinating with all parties (BAPLAN, BPKH, Pemprov, BAPPEDA, etc)			
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
Comments and Next Steps	Management block has not been prepared; Need to prepare management block			
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	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	The number of employees (4 civil servants, 2 contract workers) is not proportional to the area, the condition of the area is quite open access, the quality of human resources needs to be improved to be more effective in carrying out tasks. Budget constraints ; The addition of staff according to their respective functions, improving the quality of human resources through training according to their respective duties and responsibilities			
4. Protected area objectives: Is management undertaken according to agreed objectives?	0			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	Implementation and activities in the area based on priority scale have been carried out (surveys, monitoring patrols, building firebreaks, community empowerment, socialization, etc.); It is necessary to prepare a Management Plan to synchronize area management activities so that they are in accordance with their designation.			

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?	0			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
Comments and Next Steps	The management mandate is the conservation of Komodo dragons, while the area is mostly settlements; Changes in the designation/evaluation of area functions.			
6. Protected area boundary demarcation: Is the boundary known and demarcated?	0			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	The area has not been demarcated; It is necessary to demarcate the area			
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
Comments and Next Steps	Not compiled yet. Implementation and activities in the area based on the priority scale have been carried out only routine patrols; Management Plan Preparation			
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	0			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
Comments and Next Steps				
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	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
Comments and Next Steps	The Short Term Management Plan has not yet been prepared, currently management activities are carried out in the form of general protection activities such as patrols. ; Preparation of Work Plan			
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
Comments and Next Steps	Information is still very little, only about the general description of the area. ;			
10. Protection systems: Are systems in place to control access/resource use in the protected area?	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	There is a challenge for resort staff due to responsibility in managing three protected area sites; limited budget to do patrol to cover all areas; needs additional staff number; increased budget for patroling			
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
Comments and Next Steps	Timor deer research by BPK (forestry research institute) Kupang in 2012 (no data), a survey of Komodo dragons in nature reserve was conducted but based on the Decree of the Change of Designation of the survey location to outside the area. ; Request for data at the Kupang Forestry Research Institute - It is necessary to conduct a survey and monitoring of the potential for biodiversity in the area.			

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
Comments and Next Steps	Management is still a priority scale for protection (routine patrols); Proposed activities for area management such as biodiversity inventory, Sosekbud, etc.			
13. Staff numbers: Are there enough people employed to manage 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	The number of employees (4 civil servants, 2 contract workers) is not proportional to the area, the condition of the area is quite open access, the quality of human resources needs to be improved to be more effective in carrying out tasks. Budget constraints ; Additional police and forestry extension staff are needed.			
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
Comments and Next Steps	The management objective is the conservation of Komodo dragons, while the existing employees do not yet have expertise on Komodo dragons. ; Increasing the capacity of employees through knowledge transfer towards the management objectives in collaboration with the Kupang Forestry Research and Development Center and the Kupang Education and Training Center - it is necessary to include training related to the conservation of the Komodo dragon.			
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
Comments and Next Steps	Inadequate budget for the implementation of activities in the field; Allocate budget for activities according to area needs in addition to funds for routine patrols			

16. Security of budget: Is the budget secure?	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	Every year there is a budget available but it has not been accommodated as needed, only for routine area patrol activities. ; Additional budget so that activities needed in area management can be planned and implemented.			
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
Comments and Next Steps	The budget for each area is currently still limited to the budget for routine patrols and for other management activities that are still incidental.; budget allocation for activities required in area management according to the level of urgency.			
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
Comments and Next Steps	Equipment and facilities are still inadequate; Resort level equipment budgeted for 2018			
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
Comments and Next Steps	There are only 2-wheeled vehicle maintenance costs (vehicle operating costs); additional budget for equipment and facilities maintenance			
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
Comments and Next Steps	BBKSDA NTT does not have a planned program for education and awareness activities; Must develop an education and awareness program strategy for the Riung Nature Reserve area			

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
Comments and Next Steps	The existence of settlements close to the area has an effect on the area; encourage the process of area gazettement			
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
Comments and Next Steps	N/A			
21b. Land and water planning for connectivity: 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
Comments and Next Steps	N/A			
21c. Land and water planning for ecosystem services and species 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
Comments and Next Steps	N/A			
22. State and commercial neighbours:Is there co-operation with adjacent land and water users?	0			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	No/no communication and with related parties. ; Formation of forums/groups consisting of all elements (three pillars) that have an interest in the area.			
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	1			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	Managers provide space for indigenous peoples to provide input in area management; Develop a mechanism so that the community can play a role in supporting the management of the area			
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
Comments and Next Steps	Community activity in and around the area is quite high; developing a mechanism so that the community can have a role in supporting the management of the area, can be done through the concept of three pillars			
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	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	1			0: No 1: Yes
Comments and Next Steps				
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	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
Comments and Next Steps	Information not available			
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
Comments and Next Steps	There is no area management plan so there is no evaluation and monitoring activity. ; Preparation of Monitoring Plan document			
27. Visitor facilities: Are visitor facilities adequate?	0			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	Not Applicable			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0			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	Not Applicable			
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
Comments and Next Steps	Not Applicable			
30. What is the overall condition of the biodiversity of the protected area in terms of the indicator(s) indicated in Data Sheet 2 above?	1			0: Severely degraded 1: Partially degraded 2: Mostly intact 3: Completely intact
Comments and Next Steps	**Please complete Data Sheet 5 for Question 30 that follows below.**			
Total METT Score (automatically calculated)	**28**	**0**	**0**	**Provide comments here (optional)**

Data Sheet 5: Data sources and methods used to assess the present overall condition of biodiversity in the protected area (METT Question 30, above).

Summarize the data sources used to track the indicator(s) given in Data Sheet 2, and outline the method for assessing the indicator results. The indicator(s) will automatically appear in this table once entered in Data Sheet 2.

Indicator	Summarize the data sources used to track	Outline the method used for assessing the indicator results and what these show
Example: *Average total area of grassland burnt by fire per year*	**Example**: *Records of fire events during the*	***EXAMPLE:*** *- Observation of overall trend - more, less or same amount of fire*
Indicator 1 : Komodo Dragon Population Density	Population survey of Komodo Dragon	Analysis using direct observation, transect, and camera trap
Indicator 2		
Indicator 3		
Indicator 4		
Indicator 5		

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate
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 to improve management effectiveness and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has five data sheets:
Data Sheet 1: Records details of the assessment and some basic information about the site, such as name, size and location etc.
Data Sheet 2: Provides a specific list of threats that the project is addressing.
Data Sheet 3: Condition of biodiversity in the protected area.
Data Sheet 4: 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.
Data Sheet 5: Datasources and methods on which above assessments of condition of biodiversity in the protected area in Question 30 are based.

PLEASE NOTE THAT THIS TOOL IS FOR USE ONLY IN GEF-7 Protected Area PROJECTS

Data Sheet 1: Reporting Progress at Protected Area Sites

Questions	Please indicate your answers here			Notes
	Project Start-up	Midterm	Project Completion	
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Sindi dan Marliana			
Date assessment carried out	November 8, 2015			Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Tujuh Belas Pulau Nature Recreation Park/TWA Tujuh Belas Pulau			
WDPA site code (these codes can be found on www.protectedplanet.net)	26496			
Country	Indonesia			
Location of protected area (province and if possible map reference)	rict, Nusa Tenggara Timur Province			
Date of establishment	SK Perubahan Fungsi Menhut No. SK: 589/Kpts-II/1996 and SK Penunjukan Menhut No.SK :3911/MENHUT-VII/KUH/2014 (14 May 2014)			
Ownership details (please choose 1-4)	1			1: State 2: Private 3: Community 4: Other
Management Authority	BBKSDA NTT			
Size of protected area (ha)	7,303.16 ha (416.21 ha terrestrial and 6,886.95 ha)			
Number of Permanent staff	2			4 staff cover three Protected Area (Wolo Tadho, Riung, and Tujuh Belas Pulau) in 2021
Number of Temporary staff	2			
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs	USD 2,090 / year			
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs	USD 3,483 / year			
What are the main values for which the area is designated	Wildlife conservation and tourism development			
List the two primary protected area management objectives in below:				
Management objective 1	Protect key species and their habitats and ecosystems			
Management objective 2	Tourism development; komodo protection in Ontoloe Island			
No. of people involved in completing assessment	N/A			

Including: (please choose 1-8)	1,2			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: Key Biodiversity Indicators Used in This Protected Area

At project start-up, identify and list up to five key biodiversity indicators that are monitored on a regular basis in the protected area; these indicators can relate to any/all trophic levels OR using other indicators. For each identified indicator, provide the current (project start-up) status of that indicator in numerical terms or with a short description (see examples below), as appropriate. The examples are only illustrative and the protected area manager should use the indicators that currently are being monitored and/or will be monitored.

At project midterm and at project completion, provide updates on the status of the same indicator(s) identified at project start.

The overall condition of biodiversity -- based on the status of the indicator(s) identified here -- will be reported on in Question 30 in Data Sheet 4 (METT Assessment Form). Therefore the inputs here require focused analysis to assess whether trends are positive, negative or neutral.

Indicator	Project Start-up	Midterm	Project Completion	Comments (optional)
Example Indicator 1: Degree of soil compaction and/or erosion, as indicated by test sites compared with exclosures *Example Indicator 2: Average total area of grassland burnt by fire per year, as indicated by plotting GPS points following fire events* *Example Indicator 3: Total area deforested or with forest significantly degraded, as indicated by satellite imagery* *Example Indicator 4: Estimated population of a key herbivore species as indicated by dung counts* *Example Indicator 5: Estimated population of a key carnivore species as indicated by camera traps*	*23 hectares*	*35 hectares*	*50 hectares*	
Indicator 1 : Komodo Dragon population density	average 18.84; estimation 13-24 individuals	average 18.84; estimation 13-24 individuals	average 18.84; estimation 13-24 individuals	Stable Komodo Dragon population. Baseline data based on population monitoring conducted by KSP (Komodo Survival Program) & BBKSDA NTT since 2008. The density estimation of komodo at each camera trap observation location was calculated based on the detection of the presence of the komodo caught on camera. Furthermore, the data was analysed using PRESENCE software version 2.12.36, using the analysis model "single-season, Heterogeneity (Royle-Nichols)", which was then converted into data on the komodo density per km2 to be converted to potential habitat area, then to produce an estimate of the total population of komodo at each site. Information source: infographic of map of komodo distribution areas in Flores, outside of Komodo National Park produced by BBKSDA NTT in 2020.

Indicator 1: Komodo Dragon population	26 individuals	26 individuals	26 individuals	Stable Komodo Dragon population. Data from the results of the captured camera trap in form of image/photo and video analysis. Based on observation of the time the individual was caught on camera, individual size, physical markings on the komodo, as well as the location of camera trap placement, therefore the estimation of the minimum number of individuals in each location is predicted. Source: Short inventory report of komodo dragon in Ontoloe Island, Tujuh Belas Pulau Nature Recreation Park by BBKSDA NTT in 2021.
Indicator 2 : Sea turtle population	N/A			No data available
Indicator 3				
Indicator 4				
Indicator 5				

Data Sheet 3: Protected Areas Threats

Please describe each threat that the project is directly addressing and provide the threat reduction indicator that the project is using from the project logframe to measure progress in reducing each threat. An example is provided.

Questions	Please enter your answers in this column.	Comments (optional)
Example Threat	***Illegal hunting for bushmeat***	
Threat reduction indicator	*Quantity of bushmeant coming from Xanadu PA sold in markets*	
Baseline status	*At the start of project bushmeat sales in markets are 20 tons/per year (baseline upon which progress will be measured).*	
Target	*Quantities of bushmeat coming from "Xanadu Protected Area" sold in markets are reduced by 70% over the project period*	
Midterm status	*Bushmeat sales are recorded to be 14 tons per year.*	
End of project status	*Bushmeat sales are recorded to be 12 tons per year.*	
Threat 1	**Destructive Fishing**	
Threat reduction indicator	Number of destructive fishing are reduced	
Baseline status	High Threat	
Target	Number of destructive fishing are reduced by 75% over project period	
Midterm status		
End of project status		

Data Sheet 4: METT Assessment Form

Please select a score from the drop-down list for each question. If a question is not applicable, then do not select a score and enter "N/A" in the comments space along with a brief explanation.

Questions	Project start-up	Midterm	Project Completion	Criteria and Scores

1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	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	SK Changes in the Function of the Minister of Forestry No. SK: 589/Kpts-II/1996 and Decree of the Appointment of the Minister of Forestry No. SK: 3911/MENHUT-VII/KUH/2014, May 14, 2014 ; Support zoning efforts			
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	2			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 zoning/management block has been prepared but has not yet been ratified; Efforts need to be made to ratify the management zoning/block			
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	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	The number of employees is still very minimal and they handle three conservation areas at once (Riung Nature Reserve, Wolo Tadho Nature Reserve, Tujuh Belas Pulau Nature Recreation Park), in addition to the level of vulnerability and high level of danger related to illegal fishing with the use of bombs. ; The existence of PPNS (state inventigation officer) at Resort of Wolo Tadho Nature Reserve, Riung Nature Reserve, and Tujuh Belas Pulau Nature Recreation Park is required on a permanent basis, so that any violation can be processed by law quickly and accurately. Polhut (forest ranger) needs to be equipped with firearms due to the high level of vulnerability and danger.			
4. Protected area objectives: Is management undertaken according to agreed objectives?	3			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	N/A			

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
Comments and Next Steps	In accordance of management plan			
6. Protected area boundary demarcation: Is the boundary known and demarcated?	1			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	The community already knows the boundaries of the area, but the community still uses it outside the utilization zone; Socialization related to the arrangement of regional boundaries to the community			
7. Management plan: Is there a management plan and is it being implemented?	3			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
Comments and Next Steps	The Management Plan has been prepared but not yet ratified, so it has not been implemented; Efforts need to be made to ratify the Management Plan			
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1			0: No 1: Yes
Comments and Next Steps	In carrying out the preparation of the Monitoring Plan, public consultations are carried out to involve stakeholders and convey their aspirations			
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1			0: No 1: Yes
Comments and Next Steps				
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1			0: No 1: Yes
Comments and Next Steps				

8. Regular work plan: Is there a regular work plan and is it being implemented	3			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	Management plan has been approved and implemented			
9. Resource inventory: Do you have enough information to manage the area?	3			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	Information of area potential is known			
10. Protection systems: Are systems in place to control access/resource use in the protected area?	2			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	In accordance to management plan			
11. Research: Is there a programme of management-orientated survey and research work?	2			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	In accordance to management plan			
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

Comments and Next Steps	In accordance to management plan			
13. Staff numbers: Are there enough people employed to manage 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	The number of employees is still very minimal and they handle three conservation areas at once (Riung Nature Reserve, Wolo Tadho Nature Reserve, Tujuh Belas Pulau Nature Recreation Park); The existence of PPNS (state investigation officer) at Resort of Wolo Tadho Nature Reserve, Riung Nature Reserve, and Tujuh Belas Pulau Nature Recreation Park is required permanently, so that management activities can be carried out effectively.			
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
Comments and Next Steps	Existing employees do not meet the standards in terms of quality and quantity. Training for staff in the field is still lacking due to cost constraints if there is an invitation for training in Kupang; even distribution and prioritization of training for field staff who are supported by costs so that they can participate in training that requires large transportation costs (the location of the training needs to be reached by plane).			
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
Comments and Next Steps	Insufficient budget ; Allocate the budget according to the needs of the region			
16. Security of budget: Is the budget secure?	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	increase budget for PA based on management plan			

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
Comments and Next Steps	Improve budget effectiveness			
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
Comments and Next Steps	The existing management infrastructure is in the form of entrance ticket withdrawal building (1), guard post (1), speed boat (1), work hut (1), Tujuh Belas Pulau Nature Recreation Park conservation resort office (1); Improving equipment and infrastructure to support area management.			
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
Comments and Next Steps	Improve equipment maintenance			
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
Comments and Next Steps	Only done incidentally not a routine activity; it is necessary to carry out education and awareness-raising activities on a regular basis by officers with regular budgeting and adding forestry extension workers. Currently the BBKSDA NTT only has 3 extension workers.			
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	2			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	The Provincial Spatial Planning (RTRW) is still in process and has not been ratified; Support efforts to ratify the Provincial RTRW			
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

Comments and Next Steps				
21b. Land and water planning for connectivity: 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
Comments and Next Steps				
21c. Land and water planning for ecosystem services and species 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
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
Comments and Next Steps	Collaboration with private sector for tourism development; permit is in process			
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	0			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
Comments and Next Steps	Local communities still do not understand the important values of marine conservation areas ; Conduct socialization and public consultation with local communities regarding management activities			
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	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	1			0: No 1: Yes
Comments and Next Steps				
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	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?	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	Increase the potential of economic benefit for local communities			
26. Monitoring and evaluation: Are management activities monitored against performance?	2			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	Monev is still done incidentally. With the RBM (resort based management) system, monitoring and evaluation of area management activities can be carried out by analyzing the results of the RBM data analyzed in the form of potential and disturbances. ; Updating RBM data for monitoring and evaluation activities on a regular basis			
27. Visitor facilities: Are visitor facilities adequate?	1			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	There's already tourism facilities in Pulau Rutong			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0			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	Need to improve engagement with tour operator			

29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	1			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	Improve the management of the collected fees			
30. What is the overall condition of the biodiversity of the protected area in terms of the indicator(s) indicated in Data Sheet 2 above?	1			0: Severely degraded 1: Partially degraded 2: Mostly intact 3: Completely intact
Comments and Next Steps	**Please complete Data Sheet 5 for Question 30 that follows below.**			
Total METT Score (automatically calculated)	**55**	**0**	**0**	**Provide comments here (optional)**

Data Sheet 5: Data sources and methods used to assess the present overall condition of biodiversity in the protected area (METT Question 30, above).

Summarize the data sources used to track the indicator(s) given in Data Sheet 2, and outline the method for assessing the indicator results. The indicator(s) will automatically appear in this table once entered in Data Sheet 2.

This table (Data Sheet 5) should be updated, as appropriate, during each application of the METT. An example is provided.

Indicator	Summarize the data sources used to track this indicator	Outline the method used for assessing the indicator results and what these show about the condition of biodiversity
Example: *Average total area of grassland burnt by fire per year*	**Example**: *Records of fire events during the period of monitoring - showing the extent of the area burnt, as recorded by park rangers using hand-held GPS devices to plot boundaries of area and calculate total number of hectares*	***EXAMPLE:*** *- Observation of overall trend - more, less or same amount of fire disturbance* *- Reference to scientific literature on ecosystem types to understand optimum fire intervals* *- Examination of fire record to determine historical trends in fires in the PA* *- Analysis of pattern to determine fire frequency in particular parts of PA in and beyond*
Indicator 1 : Komodo Dragon population density	Regular population monitoring survey of	Analysis using direct observation, transect, and camera trap
Indicator 2 : Sea turtle population	regular monthly monitoring of the nesting	nest count, hatchling count
Indicator 3		
Indicator 4		
Indicator 5		

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate
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 to improve management effectiveness and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has five data sheets:
Data Sheet 1: Records details of the assessment and some basic information about the site, such as name, size and location etc.
Data Sheet 2: Provides a specific list of threats that the project is addressing.
Data Sheet 3: Condition of biodiversity in the protected area.
Data Sheet 4: 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.
Data Sheet 5: Datasources and methods on which above assessments of condition of biodiversity in the protected area in Question 30 are based.

PLEASE NOTE THAT THIS TOOL IS FOR USE ONLY IN GEF-7 Protected Area PROJECTS

Data Sheet 1: Reporting Progress at Protected Area Sites

Questions	Please indicate your answers here			Notes
	Project Start-up	Midterm	Project Completion	
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Sugiarto & Margaretha Priska. N			
Date assessment carried out	October 28, 2021			Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Komodo National Park			
WDPA site code (these codes can be found on www.protectedplanet.net)	67725			
Country	Indonesia			
Location of protected area (province and if possible map reference)	Manggarai Barat District, Nusa Tenggara Timur Province			
Date of establishment	February 29, 1992 for terestrial and June 29, 2000 for Marine			
Ownership details (please choose 1-4)	1			1: State 2: Private 3: Community 4: Other
Management Authority	Balai Taman Nasional Komodo			
Size of protected area (ha)	173,300 Ha (40,728 Ha Terrestrial and 132,572 Ha Marine)			
Number of Permanent staff	56			
Number of Temporary staff	65			
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs	USD 1,068,667			The figure is including staff cost
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs	USD 567,993			The figure is including staff cost
What are the main values for which the area is designated	Komodo Dragon and marine ecosystem			
List the two primary protected area management objectives in below:				
Management objective 1	Komodo Dragon and Yellow-crested Cockatoo Protection			
Management objective 2	Marine ecosystems (coral reefs, manta rays, sharks, dugongs, marine mammals, turtles, mangroves, and seagrass beds)Ekosistem pe			
No. of people involved in completing assessment	27			
Including: (please choose 1-8)	1, 2, 5, 7, 8 (tour operator)			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: Key Biodiversity Indicators Used in This Protected Area

At project start-up, identify and list up to five key biodiversity indicators that are monitored on a regular basis in the protected area; these indicators can relate to any/all trophic levels OR using other indicators. For each identified indicator, provide the current (project start-up) status of that indicator in numerical terms or with a short description (see examples below), as appropriate. The examples are only illustrative and the protected area manager should use the indicators that currently are being monitored and/or will be monitored.

At project midterm and at project completion, provide updates on the status of the same indicator(s) identified at project start.

The overall condition of biodiversity -- based on the status of the indicator(s) identified here -- will be reported on in Question 30 in Data Sheet 4 (METT Assessment Form). Therefore the inputs here require focused analysis to assess whether trends are positive, negative or neutral.

Indicator	Project Start-up	Midterm	Project Completion	Comments (optional)
Example Indicator 1: Degree of soil compaction and/or erosion, as indicated by test sites compared with exclosures *Example Indicator 2: Average total area of grassland burnt by fire per year, as indicated by plotting GPS points following fire events* *Example Indicator 3: Total area deforested or with forest significantly degraded, as indicated by satellite imagery* *Example Indicator 4: Estimated population of a key herbivore species as indicated by dung counts* *Example Indicator 5: Estimated population of a key carnivore species as indicated by camera traps*	*23 hectares*	*35 hectares*	*50 hectares*	
Indicator 1 : Komodo Dragon population	3,163 individuals	3,163 individuals	3,163 individuals	Stable population. Baseline data based on population monitoring of komodo conducted in 2020 by Komodo Survival Program (KSP) and Komodo National Park in 5 (five) islands: Komodo, Rinca, Gili Motang, Nusa Kode, Padar. Method: camera trap and capture-mark-release-recapture (CMRR) (BTNK & KSP, 2020)
Indicator 2 : Yellow-crested Cockatoo	1,113 individuals	1,113 individuals	1,113 individuals	Stable population. Baseline population number based on the survey of cockatoo made in 2017 that conducted by Anna Reuleaux in Komodo Island, in Komodo National Park. Method: combination of distance sampling and density surface modeling (DSM) to predict local densities and estimate total population size for Komodo Island (Reuleaux, A. et al., 2020).
Indicator 3 : Marine species protection (Parrotfish & Butterflyfish)	N/A			
Indicator 4 : Coral reefs cover	N/A			
Indicator 5				

Data Sheet 3: Protected Areas Threats

Please describe each threat that the project is directly addressing and provide the threat reduction indicator that the project is using from the project logframe to measure progress in reducing each threat. An example is provided.

Questions	Please enter your answers in this column.	Comments (optional)
Example Threat	***Illegal hunting for bushmeat***	
Threat reduction indicator	*Quantity of bushmeant coming from Xanadu PA sold in markets*	
Baseline status	*At the start of project bushmeat sales in markets are 20 tons/per year (baseline upon which progress will be measured).*	
Target	*Quantities of bushmeat coming from "Xanadu Protected Area" sold in markets are reduced by 70% over the project period*	

Midterm status	*Bushmeat sales are recorded to be 14 tons per year.*	
End of project status	*Bushmeat sales are recorded to be 12 tons per year.*	
Threat 1	**Annual or Year-round Non-timber cultivation**	
Threat reduction indicator	Area used for year-round non-timber cultivation in the PA are reduced	
Baseline status	Medium Threat	In the Komodo village there are gardens or agriculture (multicultural), in the traditional zone of the other 4 villages there are wood plants (Teak, coconut)
Target	Area used for year-round non-timber cultivation in the PA are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 2	**Livestock and grazing**	
Threat reduction indicator	Number of livestock grazing in the PA are reduced	
Baseline status	Medium Threat	There are goats and chickens in the special settlement zone, but they do not have a significant impact on key animals. Goats are non-native livestock in the area so they can have an impact on key animals such as Komodo dragons, but the impact is low because they can still be removed from the area. According to the community, it is not threatening, it is actually beneficial for the Komodo dragon.
Target	Number of grazing livestock in PA area are reduced 75% over the project period	
Midterm status		
End of project status		
Threat 3	**Shipping lanes and canals**	
Threat reduction indicator	Number of ship passing outside of arranged route are reduced and maintained	
Baseline status	Medium Threat	for ships in the Komodo area, it has been arranged according to the GT tonnage and does not cross the routes used by key animals such as parimantas. All partners have understood the route, but if the ship comes from outside our partners, there are still ships that violate the route so that it can disturb the animals in the Komodo area, which has an impact on the movement of these animals, for example Parimanta. When the tourist season is high, ships often throw anchors carelessly so that it can have an impact on coral damage. Based on the results of coral monitoring conducted by the Komodo National Park, the damage occurred at certain points/locations.
Target	Number of ship passing outside of arranged route are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 4	**Hunting, killing and gathering of terrestrial animals**	Timor Deer hunting by village communities around the national park
Threat reduction indicator	Quantity of wildlife hunting and poaching event in the PA are reduced	
Baseline status	High	
Target	Number of wildlife hunting and poaching event in the PA are reduced by 75% over the project period	
Midterm status		
End of project status		
Threat 5	**Fishing, killing and harvesting water resources**	

Threat reduction indicator	Number of illegal and destructive fishing event in the PA are reduced	
Baseline status	Medium Threat	In 2020, more than a dozen cases of water zoning violations were found. In 2020, there were two legal cases of fishing with explosives. The intensity of fishing events does not have an impact on reducing the population of key species such as parrot fish and butterflyfish. In 2021 there were 2 cases of fish bombing and coral plucking.
Target	Number of illegal and destructive fishing event in the PA are reduced by 50% over projet period	
Midterm status		
End of project status		
Threat 6	**Fire and fire suppression (including intentional burning)**	
Threat reduction indicator	Average total area of grassland burnt by fire per year are reduced	
Baseline status	Medium Threat	There were savanna fires on Gili Lawa Darat, Loh Pede, and Loh Gong in 2018, in 2020 1 case on Komodo Island in the Komodo village resort area, in 2021 a fire occurred on Komodo Island in the western part of the working area, loh Wenci, but did not have a significant impact for the area's importance and can still be controlled.
Target	Area of grassland burnt by fire are reduced by 50% over project period	
Midterm status		
End of project status		
Threat 7	**Domestic sewer or municipal sewerage**	
Threat reduction indicator	Number of household waste management facility are build and operated in three villages	
Baseline status	Medium Threat	There is a household waste channel that flows into the area in a special residential zone. There are liquid wastes discharged from the Living on Board (LOB) tourists. The number of tourist boats is quite high, where most of the ships dump engine oil directly into the ocean.
Target	Three household waste management facilities are built and operated in the three villages located in the PA over project period	
Midterm status		
End of project status		
Threat 8	**Garbage, solid waste and liquid waste**	
Threat reduction indicator	Volume of garbage, solid waste and liquid waste are reduced	
Baseline status	High Threat	The condition of waste and waste in the Komodo National Park area has a high impact on the area's important values. Garbage, solid waste and liquid waste are problems in the area. The waste, solid waste, and liquid waste come from ships operating in the area.
Target	Volume of garbage, solid waste and liquid waste are reduced by 50% over project period	
Midterm status		
End of project status		

Data Sheet 4: METT Assessment Form

Please select a score from the drop-down list for each question. If a question is not applicable, then do not select a score and enter "N/A" in the comments space along with a brief explanation.

Questions	Project start-up	Midterm	Project Completion	Criteria and Scores
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	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	Follow up the process of determining the SK for land areas with the relevant agencies.			
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3			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	Following up on the ongoing RPJP review and conducting socialization related to the latest Komodo National Park zoning. (RPHPJ/Management Plant is finalized in November 2021)			
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	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	Propose additional operations and human resources for Polhut, increase cooperation with Gakkum so that legal authority in the KSDAE area is better.			
4. Protected area objectives: Is management undertaken according to agreed objectives?	3			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	Accelerate the review of the latest RPJP in 2021 with third parties. Increasing the database of marine biota animals, and collaboration with partners related to this field. It is necessary to make a mapping of important animals in the waters of Komodo National Park such as Mantas, Sharks and Indicator Fish.			

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
Comments and Next Steps	It is necessary to pay attention to an effective management strategy with the design of the existing conservation area. There needs to be an increase in terms of security in the water area. Increased cooperation with partners in the water sector. There needs to be an increase in the frequency of patrols carried out by the Komodo National Park office and an increase in qualified personnel (HR).			
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
Comments and Next Steps	Socialization to the community using the area			
7. Management plan: Is there a management plan and is it being implemented?	3			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
Comments and Next Steps	The accelerated completion of the RPJP document with a target of November 2021, the review of the RPJP has been completed. Establish more intense communication with third parties to complete the RPJP according to the agreed time.			
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1			0: No 1: Yes
Comments and Next Steps	The public consultation has been carried out and will be re-socialized after the RPJP review is completed in November.			
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1			0: No 1: Yes
Comments and Next Steps	The first 5 years have been evaluated, so there is a need for additional strategies to achieve management targets for the following year.			
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1			0: No 1: Yes
Comments and Next Steps	The results of monitoring, research and evaluation have been incorporated into the RPJP on a regular basis			

8. Regular work plan: Is there a regular work plan and is it being implemented	1			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	Prepare RPJPn and annual activity Roadmap to support the RPJP, so that management objectives are more focused. (The annual work plan already refers to the RPJP Komodo National Park)			
9. Resource inventory: Do you have enough information to manage the area?	2			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	A marine division was created to strengthen the water data in Komodo National Park. It is necessary to increase monitoring of aquatic resources with partners.			
10. Protection systems: Are systems in place to control access/resource use in the protected area?	2			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	It is necessary to increase capacity, operations, and cooperation with partners in securing and protecting the marine area in the Komodo National Park. Improvement of SOPs and socialization for divers who are active in the Komodo National Park area regarding the existing rules in the area. In the future, it is targeted that security patrols can reach vulnerable locations on a regular basis.			
11. Research: Is there a programme of management-orientated survey and research work?	2			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	Create a research roadmap and database system according to management needs, especially in the marine sector and key animals in Komodo National Park.			

12. Resource management: Is active resource management being undertaken?	3			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	Establishment of a marine division to support marine resource management. Capacity building and intensity in area management			
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
Comments and Next Steps	Increase the number of human resources and increase the capacity for new human resources. Propose additional staff. Recruitment of additional contract workers. Collaborating with partners or the community in managing the area.			
14. Staff training: Are staff adequately trained to fulfill management objectives?	3			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	It is necessary to increase the number of employees.			
15. Current budget: Is the current budget sufficient?	2			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	Increase budget effectiveness			
16. Security of budget: Is the budget secure?	2			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	Increase cooperation with partners in assisting the management of the Komodo National Park area.			

17. Management of budget: Is the budget managed to meet critical management needs?	3			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	Maintain the effectiveness of budget management			
18. Equipment: Is equipment sufficient for management needs?	2			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	Upgrading equipment			
19. Maintenance of equipment: Is equipment adequately maintained?	2			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	There is a need for improvement in infrastructure maintenance			
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	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	There needs to be a refresher for the MMP and MPA communities. Increased socialization for fishermen and tourism actors.			
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	2			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	Rearrangement of spatial planning for RTRW that are not in accordance with the function of conservation areas.			
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
Comments and Next Steps				
21b. Land and water planning for connectivity: 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
Comments and Next Steps	Komodo National Park is a migration route for animals, both marine biota and aves			

21c. Land and water planning for ecosystem services and species 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
Comments and Next Steps	Become biosphere reserve			
22. State and commercial neighbours:Is there co-operation with adjacent land and water users?	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	There is cooperation between Komodo National Park and IPPA holders in water and land use. All water used is only within the scope of the Komodo National Park and does not leave the area. The use of water and land is used together but not bound by a cooperation agreement. There was cooperation with the Sape Nusa Tenggara Barat community and the Flores community even though it was within the scope of coordination.			
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
Comments and Next Steps	Communities in the area are involved in making decisions for several management activities, such as zoning and compiling RPJP			
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	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	The community is involved in making carrying capacity decisions.			
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1			0: No 1: Yes
Comments and Next Steps	N/A			
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1			0: No 1: Yes
Comments and Next Steps	The formation of new business groups and the independence of the community through activities that are in accordance with the needs of the community and optimizing the function of BUMDES (village-owned entreprises)			

24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1			0: No 1: Yes
Comments and Next Steps	Guarding the Village Regulation by taking an active role in being involved in making the Village Regulation that supports community activities in the area and supports the activities of the Komodo National Park			
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	3			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	Conduct studies related to the economy that are always updated every year, in every sector			
26. Monitoring and evaluation: Are management activities monitored against performance?	3			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	The results of monitoring evaluations related to RBM (resort based management), community empowerment monitoring, evaluation of patrols, the results of monitoring and evaluation activities have not been optimized. Komodo National Park has been monitoring and collecting socio-economic information data using sw maps and smart patrols.			
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
Comments and Next Steps	There needs to be an increase in infrastructure to support the interests of tourists.			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	3			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	Improve communication relations with tourism actors in maintaining conservation values in the Komodo National Park area			
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	2			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 already retribution related to PNBP, IUPSWA and IUPJWA and there are also regional retribution within the Komodo National Park area. At KNP there is a fee for naturalist guides collected by the cooperative, and naturalist guides contribute directly to area management.			
30. What is the overall condition of the biodiversity of the protected area in terms of the indicator(s) indicated in Data Sheet 2 above?	3			0: Severely degraded 1: Partially degraded 2: Mostly intact 3: Completely intact
Comments and Next Steps	**Please complete Data Sheet 5 for Question 30 that follows below.**			
Total METT Score (automatically calculated)	**81**	**0**	**0**	**Provide comments here (optional)**

Data Sheet 5: Data sources and methods used to assess the present overall condition of biodiversity in the protected area (METT Question 30, above).

Summarize the data sources used to track the indicator(s) given in Data Sheet 2, and outline the method for assessing the indicator results. The indicator(s) will automatically appear in this table once entered in Data Sheet 2.

This table (Data Sheet 5) should be updated, as appropriate, during each application of the METT. An example is provided.

Indicator	Summarize the data sources used to track this indicator	Outline the method used for assessing the indicator results and what these show about the condition of biodiversity
Example: *Average total area of grassland burnt by fire per year*	**Example**: *Records of fire events during the period of monitoring - showing the extent of the area burnt, as recorded by park rangers using hand-held GPS devices to plot boundaries of area and calculate total number of hectares*	***EXAMPLE:*** *- Observation of overall trend - more, less or same amount of fire disturbance* *- Reference to scientific literature on ecosystem types to understand optimum fire intervals* *- Examination of fire record to determine historical trends in fires in the PA* *- Analysis of pattern to determine fire frequency in particular parts of PA in and beyond*
Indicator 1 : Komodo Dragon population	Conduct annual population monitoring of Komodo Dragon	Analysis using camera trap ; capture - mark - recapture
Indicator 2 : Yellow-crested Cockatoo	Conduct annual population monitoring of yellow-crested cockatoo	Analysis using roost count, direct observation and density analysis
Indicator 3 : Marine species protection (Parrotfish & Butterflyfish)	Conduct survey on parrotfish and butterflyfish	Direct counting of the trigger species (parrotfish and butterflyfish) will be started in 2022
Indicator 4 : Coral reefs cover	Conduct bi-annual monitoring of coral reef	Use line intercept and analyze the coral reef cover
Indicator 5		

Tracking Tool for GEF-7 Protected Area Projects in the Biodiversity Focal Area

GEF 7 Objective 2: Improving Financial Sustainability, Effective Management, and Ecosystem Coverage of the Global Protected Area Estate
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 to improve management effectiveness and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:
The Tracking Tool has five data sheets:
Data Sheet 1: Records details of the assessment and some basic information about the site, such as name, size and location etc.
Data Sheet 2: Provides a specific list of threats that the project is addressing.
Data Sheet 3: Condition of biodiversity in the protected area.
Data Sheet 4: 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.
Data Sheet 5: Datasources and methods on which above assessments of condition of biodiversity in the protected area in Question 30 are based.

PLEASE NOTE THAT THIS TOOL IS FOR USE ONLY IN GEF-7 Protected Area PROJECTS

Data Sheet 1: Reporting Progress at Protected Area Sites

Questions	Please indicate your answers here			Notes
	Project Start-up	Midterm	Project Completion	
Name, affiliation and contact details for person responsible for completing the METT (email etc.)				
Date assessment carried out				Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Taman Nasional Perairan Laut Sawu/Laut Sawu MPA (SK Menteri KKP No.5/Kepmen-KP/2014)			
WDPA site code (these codes can be found on www.protectedplanet.net)	555,511,970			
Country	Indonesia			
Location of protected area (province and if possible map reference)	Nusa Tenggara Timur (East Nusa Tenggara)			
Date of establishment				
Ownership details (please choose 1-4)	1			1: State 2: Private 3: Community 4: Other
Management Authority	Balai Kawasan Konservasi Perairan Nasional Kupang			
Size of protected area (ha)	3,355,352.82 Ha			
Number of Permanent staff	55			
Number of Temporary staff				
Annual budget (US$) for recurrent (operational) funds - excluding staff salary costs				
Annual budget (US$) for project or other supplementary funds - excluding staff salary costs				
What are the main values for which the area is designated	Protecting and conserving fish and other marine resources, safeguarding marine ecosystems to ensure sustainability of their ecological functions and services.			
List the two primary protected area management objectives in below:				
Management objective 1				
Management objective 2				
No. of people involved in completing assessment				

Including: (please choose 1-8)				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: Key Biodiversity Indicators Used in This Protected Area

At project start-up, identify and list up to five key biodiversity indicators that are monitored on a regular basis in the protected area; these indicators can relate to any/all trophic levels OR using other indicators. For each identified indicator, provide the current (project start-up) status of that indicator in numerical terms or with a short description (see examples below), as appropriate. The examples are only illustrative and the protected area manager should use the indicators that currently are being monitored and/or will be monitored.

At project midterm and at project completion, provide updates on the status of the same indicator(s) identified at project start.

The overall condition of biodiversity -- based on the status of the indicator(s) identified here -- will be reported on in Question 30 in Data Sheet 4 (METT Assessment Form). Therefore the inputs here require focused analysis to assess whether trends are positive, negative or neutral.

Indicator	Project Start-up	Midterm	Project Completion	Comments (optional)
Example Indicator 1: Degree of soil compaction and/or erosion, as indicated by test sites compared with exclosures *Example Indicator 2: Average total area of grassland burnt by fire per year, as indicated by plotting GPS points following fire events* *Example Indicator 3: Total area deforested or with forest significantly degraded, as indicated by satellite imagery* *Example Indicator 4: Estimated population of a key herbivore species as indicated by dung counts* *Example Indicator 5: Estimated population of a key carnivore species as indicated by camera traps*	*23 hectares*	*35 hectares*	*50 hectares*	
Indicator 1				
Indicator 2				
Indicator 3				
Indicator 4				
Indicator 5				

Data Sheet 3: Protected Areas Threats

Please describe each threat that the project is directly addressing and provide the threat reduction indicator that the project is using from the project logframe to measure progress in reducing each threat. An example is provided.

Questions	Please enter your answers in this column.	Comments (optional)
Example Threat	***Illegal hunting for bushmeat***	
Threat reduction indicator	*Quantity of bushmeant coming from Xanadu PA sold in markets*	
Baseline status	*At the start of project bushmeat sales in markets are 20 tons/per year (baseline upon which progress will be measured).*	
Target	*Quantities of bushmeat coming from "Xanadu Protected Area" sold in markets are reduced by 70% over the project period*	
Midterm status	*Bushmeat sales are recorded to be 14 tons per year.*	
End of project status	*Bushmeat sales are recorded to be 12 tons per year.*	
Threat 1		
Threat reduction indicator		

Baseline status		
Target		
Midterm status		
End of project status		
Threat 2		
Threat reduction indicator		
Baseline status		
Target		
Midterm status		
End of project status		

Data Sheet 4: METT Assessment Form

Please select a score from the drop-down list for each question. If a question is not applicable, then do not select a score and enter "N/A" in the comments space along with a brief explanation.

Questions	Project start-up	Midterm	Project Completion	Criteria and Scores
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?				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				
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?				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				
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?				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				

4. Protected area objectives: Is management undertaken according to agreed objectives?				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?				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
Comments and Next Steps				
6. Protected area boundary demarcation: Is the boundary known and 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				
7. Management plan: Is there a management plan and is it being implemented?				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
Comments and Next Steps				
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan				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: No 1: Yes
Comments and Next Steps				

7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning				0: No 1: Yes
Comments and Next Steps				
8. Regular work plan: Is there a regular work plan and is it being implemented				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				
9. Resource inventory: Do you have enough information to manage the area?				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				
10. Protection systems: Are systems in place to control access/resource use in the protected area?				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				
11. Research: Is there a programme of management-orientated survey and research work?				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?				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?				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				
14. Staff training: Are staff adequately trained to fulfill management objectives?				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?				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: 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?				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				
18. Equipment: Is equipment sufficient for management needs?				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?				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?				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				
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?				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				
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.				0: No 1: Yes
Comments and Next Steps				
21b. Land and water planning for connectivity: 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).				0: No 1: Yes
Comments and Next Steps				

21c. Land and water planning for ecosystem services and species 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.)"				0: No 1: Yes
Comments and Next Steps				
22. State and commercial neighbours:Is there co-operation with adjacent land and water users?				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?				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?				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				
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers				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: No 1: Yes
Comments and Next Steps				
24 c. Impact on communities: Local and/or indigenous people actively support the protected area				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: 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: 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?				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				
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?				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: 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				
30. What is the overall condition of the biodiversity of the protected area in terms of the indicator(s) indicated in Data Sheet 2 above?				0: Severely degraded 1: Partially degraded 2: Mostly intact 3: Completely intact
Comments and Next Steps	**Please complete Data Sheet 5 for Question 30 that follows below.**			
Total METT Score (automatically calculated)	0	0	0	**Provide comments here (optional)**

Data Sheet 5: Data sources and methods used to assess the present overall condition of biodiversity in the protected area (METT Question 30, above).

Summarize the data sources used to track the indicator(s) given in Data Sheet 2, and outline the method for assessing the indicator results. The indicator(s) will automatically appear in this table once entered in Data Sheet 2.

This table (Data Sheet 5) should be updated, as appropriate, during each application of the METT. An example is provided.

Indicator	Summarize the data sources used to track this indicator	Outline the method used for assessing the indicator results and what these show about the condition of biodiversity
Example: *Average total area of grassland burnt by fire per year*	**Example**: *Records of fire events during the period of monitoring - showing the extent of the area burnt, as recorded by park rangers using hand-held GPS devices to plot boundaries of area and calculate total number of hectares*	***EXAMPLE:*** *- Observation of overall trend - more, less or same amount of fire disturbance* *- Reference to scientific literature on ecosystem types to understand optimum fire intervals* *- Examination of fire record to determine historical trends in fires in the PA* *- Analysis of pattern to determine fire frequency in particular parts of PA in and beyond*
Indicator 1		
Indicator 2		
Indicator 3		
Indicator 4		
Indicator 5		

PIMS 6506 IN-FLORES: Breakdown of baseline METT assessment scores		Terrestrial PA's				Marine PA's	
METT Assessment Form (GEF7 BD tracking tool for protected area projects, template 08 Aug 2018**)**	**Maximum possible score**	**Komodo National Park**	**Wae Wuul Nature Reserve**	**Riung Nature Reserve**	**Wolo Tadho Nature Reserve**	**Tujuh Belas Pulau Nature Recreation Park**	**Sawu Sea Marine National Park**
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	3	3	3	3	3	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	3	2	1	3	2	
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	3	2	2	2	1	2	
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	3	1	0	1	3	
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	3	2	0	2	3	
6. Protected area boundary demarcation: Is the boundary known and demarcated?	3	3	2	0	3	1	
7. Management plan: Is there a management plan and is it being implemented?	3	3	0	0	0	3	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	1	0	0	0	1	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	1	0	0	0	1	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	1	0	0	0	1	
8. Regular work plan: Is there a regular work plan and is it being implemented	3	1	0	0	0	3	
9. Resource inventory: Do you have enough information to manage the area?	3	2	3	1	2	3	
10. Protection systems: Are systems in place to control access/resource use in the protected area?	3	2	2	1	1	2	
11. Research: Is there a programme of management-orientated survey and research work?	3	2	2	1	1	2	
12. Resource management: Is active resource management being undertaken?	3	3	1	1	1	1	
13. Staff numbers: Are there enough people employed to manage the protected area?	3	2	1	1	1	1	
14. Staff training: Are staff adequately trained to fulfill management objectives?	3	3	1	1	1	1	
15. Current budget: Is the current budget sufficient?	3	2	1	1	1	1	
16. Security of budget: Is the budget secure?	3	2	2	1	1	1	
17. Management of budget: Is the budget managed to meet critical management needs?	3	3	1	1	1	1	
18. Equipment: Is equipment sufficient for management needs?	3	2	1	1	1	1	
19. Maintenance of equipment: Is equipment adequately maintained?	3	2	1	1	1	1	
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	3	2	1	1	1	1	
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	3	2	1	1	1	2	
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	1	1	1	1	1	
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	1	1	1	1	1	
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	1	1	1	1	1	
22. State and commercial neighbours:Is there co-operation with adjacent land and water users?	3	2	1	0	1	1	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	2	0	1	1	0	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	3	2	1	1	1	1	

PIMS 6506 IN-FLORES: Breakdown of baseline METT assessment scores		Terrestrial PA's				Marine PA's	
METT Assessment Form (GEF7 BD tracking tool for protected area projects, template 08 Aug 2018**)**	**Maximum possible score**	**Komodo National Park**	**Wae Wuul Nature Reserve**	**Riung Nature Reserve**	**Wolo Tadho Nature Reserve**	**Tujuh Belas Pulau Nature Recreation Park**	**Sawu Sea Marine National Park**
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	1	1	1	1	1	
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	1	1	1	1	1	
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	1	1	1	1	1	
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	3	3	0	0	0	1	
26. Monitoring and evaluation: Are management activities monitored against performance?	3	3	2	0	0	2	
27. Visitor facilities: Are visitor facilities adequate?	3	2	N/A	N/A	N/A	1	
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	3	3	N/A	N/A	N/A	0	
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	3	2	N/A	N/A	N/A	1	
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	3	2	1	2	1	
Total METT score	**99**	**81**	**42**	**28**	**38**	**55**	
Adjusted maximum possible total METT score		99	90	90	90	99	
% of maximum possible total METT score		**82%**	**47%**	**31%**	**42%**	**56%**	
Median of baseline scores (% of maximum possible total METT score)	**47%**						
Average of baseline scores (% of maximum possible total METT score)	**51%**						

General guidance:

<33%	Inadequate management
33-67	Basic management
>67%	Sound management

Annex 17. Management effectiveness gaps identified in the baseline METT assessments

Prepared by: Burung Indonesia

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

Introduction

The objective of the IN-FLORES Project is to promote the conservation the of Komodo dragon and other globally threatened species in Flores through strengthened and integrated manage multiple-use use landscapes and seascapes in the northern and western part of Flores Island.

There are six protected areas in the landscapes-seascapes that are crucial for the survival of the Komodo dragon and other globally threatened species. These are Komodo National Park, Wae Wuul Nature Reserve, and the Core Zone of Savu Sea Marine NP in the west Flores landscape-seascape; then Riung Nature Reserve, Wolo Tado Nature Reserve, and Tujuh Belas Pulau Nature Recreation Park in the north Flores landscape-seascape.

Except for the core zone of the Savu Sea National Park the management effectiveness of the PAs in the landscapes-seascapes has been assessed using METT Tool for GEF-7 Protected Area Projects. The same METT Tool has also been adopted in Indonesia and regulated in 2017 by the DG of KSDAE as the guideline to assess the management effectiveness of protected areas in Indonesia.

This report summarizes the gap analysis of the PA management effectiveness using the METT Tool. The analysis has been aligned with the above-mentioned regulation. Based on the regulation, the results of the assessment have been grouped according to the elements of assessment. These are context, planning, input, process, output, and outcome elements. A narrative summary will be provided to offer an overview of the elements across the PAs. Important gaps that are identified during the assessment will be highlighted.

Design and Planning

Context

All of the protected areas in the landscapes-seascapes are legally established. The decrees of the establishment are issued by the responsible minister, e.g. Ministry of Forestry of the Republic of Indonesia. However, there are two PAs that are still facing threats due to the tenurial conflicts. In Riung Nature Reserve, the tenurial issue has led to the uncertainty about the demarcation of the PA boundaries. In Wolo Tadho Nature Reserve, the tenurial conflict has also led to the instability of the PA boundaries.

Livestock grazing is one of the common threats faced by the PAs at medium to high levels in Komodo National Park, Wae Wuul Nature Reserve, and Riung Nature Reserve. The grazing activity may have been traditionally carried out by the surrounding communities on savanna lands.

Hunting, poaching, killing, and gathering of terrestrial animals are common threats faced by all of the terrestrial PAs. The threat is considered at a high level since some of the animals are either protected or prey of the Komodo dragon.

Another common threat faced by all of the terrestrial PAs is fire and fire suppression, including intentional burning from medium to high levels. This threat may also be due to the extensive areas of savanna in the PAs. Also related to the extensive savanna lands, another threat faced by the PAs is alien invasive species. Non-native grass has been a threat to the indigenous vegetation in Wae Wuul Nature Reserve and Riung Nature Reserve at a medium level.

Table 1: Summary the identified threats faced by the PAs during the METT assessment

Threats	Komodo NP	Wae Wuul NR	Riung NR	Wolo Tadho NR	Tujuh Belas Pulau NR
Tenurial conflict due to protected area boundary			High	High	
Annual or Year-round Non-timber cultivation	Medium				
Livestock and grazing	Medium	High	High		
Shipping lanes and canals	Medium				
Hunting, killing, and gathering of terrestrial animals, include. poaching	Un-specified	High	High	High	
Plants collection and non-timber forest product harvesting		High			
Fishing, killing, and harvesting water resources	Medium				
Destructive fishing					High
Fire and fire suppression (including intentional burning)	Medium	High	High	High	
Domestic sewer or municipal sewerage	Medium				
Garbage, solid waste, and liquid waste	High				
Non-native/alien invasive plants (grass)		Medium	Medium		
Transport and service corridors within conservation areas			High		

In terms of the PA design, only Komodo National Park and Tujuh Belas Pulau Nature Recreation Park have been established with sufficient size to be managed and in the appropriate location. Riung Nature Reserve has a major issue due to the existing use of the area for settlement. Further assessment will be required to redesign conservation efforts reflecting the current condition of the area designated. Nature reserve may not be the best management category given the existing condition. In Wae Wuul NR and Wolo Tadho NR, it is recognized the need to work together with the neighboring land-uses to increase the coverage of habitat protection and conservation, including establishing corridors and implementing area-based conservation measures outside of the PAs.

The ability to control land-use activities varies across the PAs. As indicated above, Riung NR is facing difficulties to control land utilization. In Wae Wuul NR and Tujuh Belas Pulau NRP, the ability to control land-use activities can still be improved by strengthening the zoning within each of the PAs to improve clarity in monitoring and controlling the use of the lands.

Although all of the PAs have been legally established, only Komodo NP and Tujuh Belas Pulau NRP that have active management plans. The other 3 PAs do not have yet their management plans. As a result, regular work plans are not available. Further, the absence of management plans has affected the ability to undertake management activities according to the agreed objectives. Therefore, strengthening the planning process should be a priority for Wae Wuul NR, Riung NR, and Wolo Tadho NR. In addition, the regular work plan for the Komodo National Park should also be ensured.

Overall, the management of the PAs is not sufficiently integrated with the regional spatial planning that governs the management of land and water on the island. The revision of the Provincial Spatial Planning is expected to improve support to the PA management.

The result of the METT assessment on the context and planning elements is presented in Table 2.

Table 2. Scoring result of context and planning elements

Elements	METT Assessment	Komodo NP	Wae Wuul NR	Riung NR	Wolo Tadho NR	Tujuh Belas Pulau NRP
Context	1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	3	3	3	3

Elements	METT Assessment	Komodo NP	Wae Wuul NR	Riung NR	Wolo Tadho NR	Tujuh Belas Pulau NRP
Planning	2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	2	1	3	2
Planning	4. Protected area objectives: Is management undertaken according to agreed objectives?	3	1	0	1	3
Planning	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	2	0	2	3
Planning	7. Management plan: Is there a management plan and is it being implemented?	3	0	0	0	3
Planning process	7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0	0	0	1
Planning process	7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0	0	0	1
Planning process	7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0	0	0	1
Planning/ Outputs	8. Regular work plan: Is there a regular work plan and is it being implemented	1	0	0	0	3
Planning	21. Planning for land and water use: Does land and water use planning recognize the protected area and aid the achievement of objectives?	2	1	1	1	2
Planning	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	1	1	1	1
Planning	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	1	1	1	1
Planning	21c. Land and water planning for habitat conservation: "Planning addresses 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	1	1	1	1
		21	**9**	**5**	**10**	**22**

Adequacy and Appropriateness

Input

Overall, the capacities of law enforcement in all of the PAs have been minimal. The main reason has been the limited number of staff available to manage the PAs. Excluding Komodo NP, each of the other PAs is managed by a resort office under the BKSDA East Nusa Tenggara. Law enforcement officers are not yet permanently assigned to these PAs. In addition, the available staff assigned to manage the sites are not sufficient.

The above reflects the level of adequacy of human resources employed to manage the PAs. For all of the PAs, including Komodo NP, the number of staff employed is not yet optimal. In addition, training for the staff is still

required. Except for the Komodo NP, capacity building is a priority for improving the management effectiveness of the other PAs managed by the BKSDA.

In terms of budget and equipment, except for Komodo NP, all of the other PAs do not have adequate budget and equipment to manage their PAs. For Komodo NP, budget and equipment are considered acceptable but some deficiencies remain.

Except for Riung NR, all the other PAs have sufficient basic information to inform management decisions. However, there have been limited management-oriented research programs to improve understanding of some of the management issues. Despite the support that has been provided by NGOs such as KSP in the monitoring program, there have been limited research programs to improve PA management.

The result of the METT assessment on input elements is presented in Table 3.

Process

There are issues related to the boundary demarcation process in three of the PAs in the landscape-seascape. Only Komodo NP and Wolo Tadho NR that have their boundaries known by the surrounding communities. However, as noted above that there is a tenurial issue in Wolo Tadho NR. While the boundaries are physically visible, the tenurial issues still need to be resolved. Similarly, the tenurial issue may have been the main reason that the boundaries of Riung NR have not been demarcated. In Tujuh Belas Pulau NRP, although the boundaries are known by the surrounding communities, there has been lack of awareness on the zonation system.

Further, there have been limited inputs and involvement of local communities in the PA management. Although all of the PAs are legally established as state conservation areas, there are traditional communities in the North Flores landscape-seascape that should be consulted and involved in the PA management. The tenurial issues in Riung NR and Wolo Tadho will be difficult to be resolved if communities are excluded.

The above situation is also reflected in the level of community awareness programs that have been implemented. Except for the Komodo NP, limited programs have been implemented in the other PAs.

In terms of resource management, only Komodo NP that has an active resource management process in place. The other PAs have very limited means to manage the resources. The protection system across all of the PAs is either partly or moderately effective in controlling resource use.

With an exception of Komodo NP, all of the PAs have been struggling to manage their budget to meet the critical needs. Similarly, it is also the case with the management of equipment. Most of the PAs do not have sufficient equipment to support the management while Komodo NP still has some gaps. All of these are also reflected in the input budget and input equipment discussed in the above section.

The monitoring and evaluation process has been taking place in three of the PAs. Komodo NP has a good monitoring and evaluation system that is implemented and informs the management decision. In Wae Wuul NR and Tujuh Belas Pulau NR, although the system is in place but yet to provide feedback to the management. No monitoring and evaluation systems have been in place in Riung NR and Wolo Tadho NR.

Finally, only in Komodo NP where good cooperation between the management authority with tourism operators that have been developed to enhance the visitors' experience and maintain the PA values. The other PAs with legal status as a nature reserve which is equivalent to 'strict protection' is not allowed for such a commercial operation within the PAs.

The result of METT assessment on the process elements is presented in Table 3.

Table 3. Scoring result of input and process elements

Element	METT Assessment	Komodo NP	Wae Wuul NR	Riung NR	Wolo Tadho NR	Tujuh Belas Pulau NRP
Input	3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	2	2	2	1	2
Input	9. Resource inventory: Do you have enough information to manage the area?	2	3	1	2	3
Input	11. Research: Is there a programme of management-orientated survey and research work?	2	2	1	1	2
Input	13. Staff numbers: Are there enough people employed to manage the protected area?	2	1	1	1	1
Input/ Process	14. Staff training: Are staff adequately trained to fulfill management objectives?	3	1	1	1	1
Input	15. Current budget: Is the current budget sufficient?	2	1	1	1	1
Input	16. Security of budget: Is the budget secure?	2	2	1	1	1
Input	18. Equipment: Is equipment sufficient for management needs?	2	1	1	1	1
Input	29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	2	n/a	n/a	n/a	1
Process	6. Protected area boundary demarcation: Is the boundary known and demarcated?	3	2	0	3	1
Process/ Outcome	10. Protection systems: Are systems in place to control access/resource use in the protected area?	2	2	1	1	2
Process	12. Resource management: Is active resource management being undertaken?	3	1	1	1	1
Process	17. Management of budget: Is the budget managed to meet critical management needs?	3	1	1	1	1
Process	19. Maintenance of equipment: Is equipment adequately maintained?	2	1	1	1	1
Process	20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	1	1	1	1
Process	22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	1	0	1	1
Process	23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0	1	1	0
Process	24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	1	1	1	1
Process	24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	1	1	1	1
Process	24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	1	1	1	1
Process	24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	1	1	1	1
Process	26. Monitoring and evaluation: Are management activities monitored against performance?	3	2	0	0	2
Process	28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	3	n/a	n/a	n/a	0
		49	**28**	**19**	**23**	**27**

Delivery

Outputs

Tourism is the main service of Komodo NP and Tujuh Belas Pulau NRP. The visitor facilities are considered adequate in Komodo NP but still limited in Tujuh Belas NRP. The other PAs do not have any visitor facilities due to the legal status of the PAs that is equivalent to 'strict protection'.

Outcomes

The economic benefits of the PA for the local communities are already demonstrated in the case of Komodo NP whereas in Tujuh Belas Pulau NRP plan to the real economic benefits is still in development. There have been no potential economic benefits that have been recognized from the other PAs by the surrounding communities.

The biodiversity outcomes of the PAs are considered to be completely intact in the case of Komodo NP, mostly intact in Wae Wuul NR and Wolo Tadho NR, and partly degraded in the other 2 PAs.

Results of the METT assessment on the outputs and outcomes elements are presented in Table 4.

Table 4. Scoring result of outputs and outcomes

Element	METT Assessment	Komodo NP	Wae Wuul NR	Riung NR	Wolo Tadho NR	Tujuh Belas Pulau NRP
Output	27. Visitor facilities: Are visitor facilities adequate?	2	n/a	n/a	n/a	1
Outcome	25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	3	0	0	0	1
Outcome	30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	2	1	2	1
		8	**2**	**1**	**2**	**3**

Recommendations

Based on the identified gaps discussed in the previous sections, the following are general recommendations to improve the management effectiveness of the PAs:

1. Strengthen PA management plans and the annual work plan of all of the PAs, including improving the planning process.
2. Resolve tenurial conflicts in Riung NR and Wolo Tadho NR to improve the stability of the boundaries.
3. Improve staff capacities on key management aspects of the PAs, especially for the PAs managed by the BKSDA East Nusa Tenggara.
4. Develop and/or improve the protection system for all of the PAs and implement it.
5. Develop and implement community awareness programs for all of the PAs.

Annex 18. Baseline report on area-based conservation policies

Prepared by: Burung Indonesia

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

1. Introduction

The Post-2020 Biodiversity Framework calls on countries to immediately halt the loss of biodiversity and start to reverse this loss so that nations are 'nature positive' by 2030. This will contribute to the 2050 Vision that states, "biodiversity is valued, conserved, restored and wisely used, maintaining ecosystem services, sustaining a healthy planet and delivering benefits essential for all people". To accomplish this, the draft Post-2020 Framework sets a target of at least 30% coverage for lands and waters by 2030 (CBD 2020)[1]. This will require investing in biodiversity protection on multiple kinds of lands outside legally defined protected areas including key biodiversity areas[2] and other effective area-based conservation management areas (OECMs). OECMs may include lands that may not have biodiversity as a primary goal but are nevertheless managed to include long-term biodiversity outcomes such as contributions from Indigenous people's lands, privately owned lands and more[3]. In November 2018, Parties to the CBD adopted the following definition of OECMs, as well as guiding principles, common characteristics and criteria for their identification:

> A geographically defined area other than a Protected Area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in situ conservation of biodiversity with associated ecosystem functions and services and where applicable, cultural, spiritual, socio–economic, and other locally relevant values. (CBD Decision 14/8)

The call to extend conservation measures beyond the protected area network is especially relevant to Indonesia which has over 105 million ha categorized as important ecosystems with high conservation value that are outside the nation's protected area network. This includes important ecosystems in Flores where there are globally endangered species that are outside the protected area conservation network. Designation of Protected Areas has been the primary approach for achieving the long-term protection and conservation of marine, coastal, freshwater and terrestrial ecosystems in Indonesia. A complementary approach introduced in Aichi Target 11 of the Convention of Biological Diversity (CBD) – Other Effective Area-based Conservation Measures (OECMs) – enables the protection and conservation of important biodiversity in areas that are outside of the Protected Area network.

Since at least 2000, the Ministry of Environment and Forestry (MoEF) has been developing policy instruments to that would enable conserving important ecosystems and buffers/connectors that are outside the government's protected area networks. A number of policy instruments have been developed such as ecosystem restoration concessions, areas of High Biodiversity Conservation Value, essential ecosystem areas (KEE) and community based coastal marine areas.

1.2 Objective

This paper will examine some of the most relevant of policy instruments to extend conservation measures beyond the Protected Area (PA) network to inform the design of the IN-FORES project. The information in the baseline report will provide information on current policy gaps, as well as describe the entry points for developing and implementing OECMs for the IN-FLORES project.

1.3 Limits of Study

This is a desk study review of area based conservation measures in Indonesia with a focus on new policy directions on how to extend conservation measures beyond the PA network in Flores.

[1] IUCN's Key Messages First Draft of the Post-2020 Global Biodiversity Framework
https://www.iucn.org/sites/dev/files/iucn_key_messages_and_detailed_views_first_draft_post-2020_gbf_0.pdf

[2] Kulberg P, Di Minin E, Moilanen A 2019 Using key biodiversity areas to guide effective expansion of the global protected area network Global Ecology and Conservation 20:e00768.

[3] S.T. Garnett, N.D. Burgess, J.E. Fa, Á. Fernández-Llamazares, Z. Molnár, et al. A spatial overview of the global importance of Indigenous lands for conservation Nature Sustainability, 1 (2018), pp. 369-374, 10.1038/s41893-018-0100-6

2. Indonesia's efforts to extend conservation measures beyond its protected area network

Based on a Gap Analysis by the Ministry of Forestry and various institutions in 2010, there are more than 105 million hectares which are categorized as important ecosystems and buffers/connectors that are outside conservation areas. These important ecosystems have high conservation value and function as wildlife corridors and buffer zones. Approximately 80% of protected animals of important value are found outside the conservation area network.[4] In Kalimantan for example, 60% of protected species are located outside conservation areas, located in areas such as production forests or among oil palm plantations.[5] In recent years, conservation policy and conservation area management advocates have sought to find new ways of deploying policy instruments to incorporate conservation considerations beyond the borders of the PA network.

2.1 Essential Ecosystem Areas (KEE)

In 2015 the Ministry of Environment and Forestry introduced the concept of Essential Ecosystem Areas (Kawasan Ekosistem Esensial KEE/EEA) as a means to address the need to conserve areas of high biodiversity value outside PA areas that did not previously have any sort of formal protection. This policy instrument seeks to extend conservation measures beyond classical conservation zones to support initiatives that emerge voluntarily, even in areas that might not have been historically thought of as conservation areas. It would be applicable to all land categories, including private and public. The policy also expands the scope of conservation area management approaches recognizing the need for multiple stakeholders. As Table 1 below indicates, there are four categories that can be proposed as KEE includes; wetland ecosystems, wildlife/animal corridors, High Conservation Value Areas (ABKT), and biodiversity parks.

Table 1: Proposed scope of KEE

Wetland ecosystem	Wildlife corridor	High Conservation Value Areas (ABKT)	Biodiversity Park
▪ Unique ecosystem ▪ Habitat for water birds (migratory birds) ▪ Habitat for rare, threatened, endemic (LTE) species ▪ Clean water reserves ▪ Economic, scientific, other environmental service values	▪ Vegetation nodes that connect two/more ecosystems ▪ Corridor for LTE species ▪ The potential for animal vs human conflict is high	▪ Possessing high biodiversity ▪ Large landscape essential for natural ecological processes ▪ Unique, rare, vulnerable, and threatened ecosystems ▪ Providing ecosystem services ▪ Areas that have social and cultural functions in the utilization of environment ▪ High carbon stock areas	Fulfill the criteria for the site as natural park under the provisions of laws and regulations.

As can be seen from Table 1 above, the scope of KEE explicitly involves many dimensions of spatial allocation, not merely conventional conservation areas, protected forests, or even forest areas. It also involves protection for Areas for Other Purposes (APL) or cultivation areas that are outside all conventional locations. This is evident in a number of KEE proposals where the government itself, especially the Directorate General of KSDAE, that is eager to drive this scheme with an intention that goes beyond Nature Reserve Areas (KSA) and Nature Conservation Area (KPA) such as National Parks, Nature Reserves, and even forest areas.

To date, there are nearly 1 million ha of areas with high biodiversity that are classified as KEE. There are 63 sites under preparation and are located among various zoning categories, ranging from different types of public and commons lands and a variety of arrangements for private land. This consists of 12 Mangrove KEE units, 4 Karst KEE units, 9 Wildlife Corridor KEE units, 9 KEE areas with High Biodiversity Value, and 29 KEE Biodiversity Parks. In its 2020-2024, strategic plan, BPEE has set a target of verifying 70 million ha for biodiversity protection (BPEE, 2020b).

Regulatory Framework for KEEs

KEE is loaded with spatial dimensions and sectoral authority involving roles across themes/sectors and local governments. One of the challenges confronting the implementation of the KEEs is the need for a legal framework that

[4] Ministry of Environment and Forestry. 2020. Laporan Kinerja (LKj) Direktorat Bina Pengelolaan Ekosistem Esensial
[5] Meijaard et al., 2011. Quantifying Killing of Orangutans and Human-Orangutan Conflict in Kalimantan, Indonesia https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0027491

allows it to be effective beyond conservation areas. The following section is not intended to be an exhaustive discussion of the issues, but merely to highlight some of its limitations and to provide possible alternatives.[6]

Under laws and regulations, the terms and arrangements for KEE can be found in conservation arrangements and local government legal regimes. In terms of nomenclature, the term KEE can only be explicitly found in the revision of Government Regulation No 68/1998 on Nature Reserve Areas and Nature Conservation Areas by Government Regulation (PP) 28/2011 which was further amended under Government Regulation (PP) 108/2015.[7] Without going into all the details here, confusion has emerged as to the scope of KEEs which appears to be focused on forest protection of Nature Reserve Areas (KSA) and Nature Conservation Area (KPA) such as National Parks, Nature Reserves, and even forest areas[8]. This implies that the KEE regulatory regime cannot be separated from the character of the conservation legal regime and as such KEE is not something completely different from the conservation regimes. In the elucidation of Article 24 PP 28/201 it is stated, KEE is a continuation of KSA/KPA outside the conservation area and is part of a forest area whose regulation is related to forest protection. Yet, as noted above, the scope of KEE includes karst ecosystems, wetlands (lakes, rivers, swamps, brackish, and tidal areas. Not all of these are under the authority of MoEF, but rather are related to several other laws and regulations with distributed authorities as shown in Table 2 below.

Table 2. KEE and Other Sectoral Regulations

Scope of KEE	Regulation	Authority
Karst ecosystem	Presidential Decree 32/1990 Government Regulation (PP) 43/2008 Law 39/2014	Provincial/District Governments may designate protected areas*[1]) The Minister, Governors, or Regents/Mayors determine groundwater protected areas, groundwater conservation zones.
Wetlands	Presidential Decree No. 48 of 1991 on Convention on Wetlands of International Importance Especially as Water fowl Habitat	Peat-related wetlands are designated by the Ministry of Environment and Forestry
Swamp/brackish water	PP 72/2013 on Swamps	The Ministry of Public Works stipulated the swamp area
Tidal zones	PP 73/2013 on Swamps	Tidal swamp area is stipulated by the Ministry of Public Works

Note: 1*) This is not referring to protected area as it has been defined by the IUCN. In this context, "protected areas" may have meant *area perlindungan* or protection areas.

It is not only sectoral fragmentation that is at issue here but also the division of authorities between national and local governments. The Law on Local Government (UU 23/2014) authorizes local governments to establish KEE. The Province has the authority to implement the management of important ecosystem areas for nature reserves and conservation areas. The provincial authorities only carry out the management of KEE. Beyond that, it is the central government's authority, in this case including the authority to appoint and determine the KEE. This is inseparable from the regulation of conservation authority under Law 23/2014. It is clearly stated there that the conservation area is the central government's authority (Article 360). It is stated that in order to carry out certain government functions that are strategic for the national interest, the central government may designate special areas in provincial and/or district/city areas, such as protected forest areas, conservation forest areas, and nature reserves.

Thus, although the designation of special areas includes the respective areas, the Province has no authority to determine a conservation area, even though the area is within the territory of the respective province. The same fact also applies to the district/city government. Provinces may submit proposals if areas are in forest areas as referred to the elucidation of PP 28/2011. However, the decision is entirely under the authority of the central government.

Spatial Planning

Given some of these legal constraints, observers have noted that the Law 26/2007 on Spatial Planning (UUTR) is an effective means to extend conservation measures. In the spatial planning legal regime, there is a conservation concept

[6] The following section draws mainly on: Bernadinus Steni Essential Ecosystem Areas (KEE) has to be integrated in spatial planning https://inobu.org/essential-ecosystem-areas-kee-has-to-be-integrated-in-spatial-planning. June 14 2021
Bernadinus Steni Essential Ecosystem Area (KEE) and Other Alternative Strategic Areas for Flores Karst Protection https://inobu.org/essential-ecosystem-area-kee-and-other-alternative-strategic-areas-for-flores-karst-protection September 8 2021.
[7] See Ir. Haryanto R. Putro, MS. 2016. Management of Essential Ecosystem Areas" for a discussion of some of the issues when KEEs were first established.
[8] On Forest Protection, namely PP 45/2004 as amended by PP 60/2009, does not mention, let alone regulate the concept of KEE.

called the Environmental Strategic Areas (KSLH). KSLH is one of the categories Law 26/2007 on Spatial Planning (UUTR) which would allow the integration of proposed KEE into future spatial planning.

The spatial planning regime has recognized the term Environmental Strategic Area (KSLH), which almost has the same scope as KEE. The two initiatives have different starting points but both promote comprehensive environmental protection at the landscape scale. This law has been used to classify areas for environmental protection and conservation such as Lorentz National Park, Ujung Kulon National Park, and Komodo National Park (Elucidation of article 5 paragraph 5 Law on Spatial Planning (UUTR).

In PP 15/2010, the criteria for strategic areas under the KSLH include (Article 51): (1) biodiversity protection areas, (2) protected areas designated for the protection of ecosystems, flora and/or fauna that are endangered or predicted to be extinct which must be protected and/or conserved, (3) areas that provide protection for the balance of water use that each year have the probability to cause losses, (4) areas that provide protection against macro-climate balance, (5) areas that require high priority to improve the quality of the environment, (6) areas prone to natural disasters; or (7) areas that truly determine the change of natural settings and have broad impacts on the continuity of life. Thus, the spatial planning regime has provided a "home" for the possibility of proposing KSLH based on jurisdictional considerations, whether national, provincial or district/city level. In the spatial planning provisions, it is stated that the District/City Government may determine strategic areas, one of which is based on environmental considerations. If the area involves two or more districts, then the Province will make the decision. In the case of more than one province, the central government is in charge.[9]

Policy implications

In juridical-normative terms, especially referring to PP 28/2011 in conjunction with PP 108/2015, the scope of the KSLH is not different, it is even the same as the KEE proposal as can be seen in Table 3 on the following page. The main difference lies in the proposed location. The lack of legal basis for KEE leads to an incomplete definition of KEE in the elucidation of Article 24 PP 28/2011. In the regulation KEE is a continuation of forest protection outside the conservation area. Article 24 also states that the "laws and regulations" protecting KEE are government regulations on forest protection. However, the Government Regulation (PP) on Forest Protection, namely PP 45/2004 as amended by PP 60/2009, does not mention, let alone regulate the concept of KEE.[10]

Table 3. Comparison of KEE and Environmental Strategic Areas

KEE		**KSLH**	
Indicator	Location	Indicator	Location
Karst ecosystem	Forest areas (protected forest, production forest, convertible production forest,) that have KEE characteristics	Provide protection for the balance of the water balance that annually has the probability to cause losses	Forest areas, APL, and other non-forest areas that fulfill the characteristics of KSLH
Wetlands (lakes, rivers, swamps, brackish water, and tidal areas not more than 6 (six) meters		Provides protection against the macro-climate balance	
Mangroves and peatland		Is a protected area designated for the protection of ecosystems, flora and/or fauna that are endangered or estimated to be extinct which must be protected and/or conserved	
Wildlife corridor		Really determines the chances in natural setting and has a broad impact on the continuity of life	
High conservation value areas		Demands high priority to improve the quality of the environment	
Biodiversity park		Has an activity center in a disaster-prone area and has a risk of natural disasters	

As the above discussion suggests the legal basis for KEEs is unclear as regulations are overlapping and its scope appears to be limited to forest protection only outside of the conservation area network. In contrast, the KSLH approach has a more solid legal framework and a strong institutional structure under spatial coordination with a standardized way of

[9] Bernadinus Steni June 14 2021 Essential Ecosystem Areas (KEE) has to be integrated in spatial planning https://inobu.org/essential-ecosystem-areas-kee-has-to-be-integrated-in-spatial-planning
[10] Ibid

working. This legal framework is better in answering the challenge of area protection that meets the characteristics of the KEE and KSLH, but their location is outside forest areas such as APL and cultivation areas.

Unfortunately, discussions regarding the relationship between KEE and the spatial law regime have not been explicitly expressed in proposed KEE regulations.[11] Although various studies have not linked KEE with KSLH, it is clear that the KSLH is the authority of the provincial and district/city governments. Meanwhile, KEE, as far as can be ascertained from the prevailing regulations, is the authority of the central government. In addition, KSLH is a spatial planning concept where discussions do not require to design a separate forum, let alone a completely new concept.

Essential Ecosystem Areas in the Local Government Regime

The Law on Local Government (UU 23/2014) authorizes local governments to establish KEE. The Province has the authority to implement the management of important ecosystem areas or what is called KEE and buffer areas for nature reserves and conservation areas. Meanwhile, districts/cities only have the authority over Forest Parks (Annex BB Division of Government Affairs in the Forestry Sector).

Thus, it is clear that the provincial authorities only carry out the management of KEE. Beyond that, it is the central government's authority, in this case including the authority to appoint and determine the KEE. This is inseparable from the regulation of conservation authority under Law 23/2014. It is clearly stated there that the conservation area is the central government's authority (Article 360). It is stated that in order to carry out certain government functions that are strategic for the national interest, the central government may designate special areas in provincial and/or district/city areas, such as protected forest areas, conservation forest areas, and nature reserves

Thus, even though the designation of special areas includes the respective areas, the Province has no authority to determine a conservation area, even though the area is within the territory of the respective province. The same fact also applies to the district/city government. Provinces may submit proposals if areas are in forest areas as referred to the elucidation of PP 28/2011. However, the decision is entirely under the authority of the central government.

In fact, at the regional level there are already a number examples of KEEs. In West Kalimantan, the Governor of West Kalimantan enacted Governor Decree No. 718/2017 on the establishment of KEE in Districts of Ketapang and North Kayong for the orangutan corridors (Tropenbos Indonesia, May 2019). In East Kalimantan, the provincial government initiated orangutan corridors in the Wehea-Kelay Landscape (TNC 2016).[12]

Essential Ecosystem Areas in Flores

In 2020, the Governor of East Nusa Tenggara issued a decree[13] for the establishment of an Essential Ecosystem Areas on Flores Island located specifically in the Mbeliling landscape in West Manggarai District, Nggorang Bowosie, Longos Island and Todo Repok in West Manggarai District and Torong Padang in Ngada District. The Komodo dragon is found in all of these areas. This was followed up with the establishment of a Collaborative Forum for Management of Essential Ecosystem Areas on Flores Island[14]. Unfortunately, these initiatives have not been followed up with concrete measures. The forum is not active and there is no sign of a budget for field activities. During the program preparation phase, interview results indicated minimal knowledge in the communities and amongst government officials regarding these decrees and the activities of the forum.

2.2 High Biodiversity Value Areas

The KEE is not the only approach that has been employed to increase efforts at conserving biodiversity outside of the protected area network. High Conservation Values (HCVs) are biological, ecological, social or cultural values that are

[11] Ibid
[12] See the following articles for examples of KEEs: https://newsroom.wcs.org/News-Releases/articleType/ArticleView/articleId/12806/The-Designation-of-Rote-Essential-Ecosystem-Area-as-the-Habitat-for-the-Roti-Island-Snake-Necked-Turtle.aspx; https://www.tropenbos.org/news/joint+management+of+the+essential+ecosystem+area+orangutan+corridor+in+west+kalimantan,+indonesia+will+guarantee+protection,+preservation+and+sustainable+use+of+the+area
https://fwi.or.id/lesson-learned-pengelolaan-kawasan-ekosistem-esensial-kee-di-tiga-lokasi/
[13] Governor Decree of East Nusa Tenggara number 238/KEP/HK/2020 concerning Essential Ecosystem Areas on Flores Island, East Nusa Tenggara Province.
[14] Decree of the Governor of East Nusa Tenggara Number 267/KEP/HK/2020 concerning the Collaborative Forum for Management of Essential Ecosystem Areas on Flores Island, East Nusa Tenggara Province.

considered outstandingly significant or critically important, at the national, regional or global levels. An HCV initiative is aimed at establishing conservation and protection of those values located in production lands, complementing official conservation efforts. The concept of HCVF (High Conservation Value Forest) emerged as Principal 9 of the Forest Stewardship Council (FSC) standard for certified well-managed forest in 1996. The HCVF concept was designed to help forest managers improve the social and environmental sustainability of wood production, through a two-step process: first, to identify areas inside or near the forest management unit (MU) with exceptionally important social, cultural, or environmental values, and, second, to implement a system of management and monitoring to guarantee these values will be maintained or enhanced. A fundamental principal of the HCV concept is that areas found to support high conservation values are not necessarily designated no-go protection zones where development is forbidden. Rather, the HCV concept requires that development be undertaken in a manner that ensures the maintenance of the values. In this regard, the HCV approach can be seen as a planning tool for helping society to achieve a rational balance between environmental conservation, social justice and economic development.[15]

In practice, however, the assessment and identification of HCVs are largely associated with a requirement for voluntary certification schemes for producers of timber and agro-commodities. To date, application of the HCV approach as a tool for spatial planning and other policy platforms is rare in Indonesia.[16] One of the challenges to its use, has been that the identification of High Conservation Value Areas has been carried out exclusively at the management unit (UP) level without coordination with other management units. The implication is that HCV areas which are expected to be connected to each other to form ecological corridors, for example, do not occur. The lack of HCV connectivity between plantation forests, for example, limits the scope of HCVA's effectiveness in protecting areas of high conservation value. Indeed, for the HCV approach to become more effective, it was argued that it needed to take into account the wider context of the landscape. For example, paying attention to connections with other HCV areas and protected areas could identify opportunities for wildlife corridors.

The HCV Toolkit Indonesia by Tropenbos International and its partners in 2008 was designed for management unit (MU) as part of a larger landscape or ecosystem. The HCV concept and approach cover elements for conservation and protection, ranging from biodiversity aspects, natural landscapes, endangered ecosystems, water and hydrological functions, soil erosion prevention, fire prevention to important areas for local livelihoods and culture. MUs are supposed to conduct assessment and identify HCV areas by following the procedures set in the toolkit. 'HCV Toolkit Indonesia' has been nationally acknowledged as the official guideline for determining HCVs in the context of certification schemes such as RSPO.

Similar to the discussion of KEE above, finding a legal "home" for the HCV approach has been difficult. Its proponents argue that the KLHS can benefit from the HCV approach to provide recommendations on conservation and protection areas. Application of Landscape HCV can become the basis to develop collaborative efforts in conservation and protection, to plan for ecological connectivity across the entire landscape, to provide safeguards for development programs, and as a reference for HCV assessment at finer scales and management unit level.[17] Such an application has shown to be successful in KLHS of the spatial planning in Ketapang and Kayong Utara districts in West Kalimantan. The inclusion of Landscape HCV as part of KLHS in district or provincial plans can further serve as safeguard reference for various productive and conservation activities underway in the landscape.

Alongside the discussion of and refinement of the HCV Toolkit, there has been a shift in the terminology used by the MoEF. Government documents refer to the need to identify High Biodiversity Value Areas (HBVAs). As noted above, the MoEF has set a target of identifying and verifying 43 million ha of or High Biodiversity Value Areas outside of the protected area network. The target has been included in the government's mid-term development plan (RPJMN) for 2020 – 20204.

In order to achieve the above target, a set of variables has been selected and regulated by the DG of KSDAE in 2020. The DG Regulation No. P.8/2020 set three main variables for the identification of HBVAs: a) Land cover; b) Water availability; c) Plant and wildlife. In addition, there are six supportive variables: a) Ecosystem type; b) Biodiversity; c) Topography; d) Soil type; e) Carbon stock; f) Other supportive variables.

[15] The Consortium for Revision of the HCV Toolkit Indonesia. 2009. Guidelines for the Identification of High Conservation Value in Indonesia (HCV Toolkit Indonesia)

[16] Widayati A, Purwanto E, Kasumawijaya, Zagt R. 2018. High Conservation Value (HCV) in landscape and jurisdictional levels in Indonesia. Policy Brief 01/2018, Tropenbos Indonesia, Bogor.

[17] Ibid

The DG Regulation scored highly areas with primary forests and those have perennial water availability. Such a set of criteria of scoring promotes the conservation of primary forests as well as areas providing ecosystem services. Within the formal categories of forest areas in Indonesia, protection forest areas would be the ideal location to start identifying areas meeting the criteria. As described in Annex *, that protection forest areas are the dominant forest categories in the north and west Flores landscape/seascape.

With regards to the third variable on plant and wildlife, the regulation considers a number of species categories that can trigger the identification of HBVAs. First category are species that require preservation (protected species) as listed in the Government Regulation No. 9 Year 1999. Second category are species that are of conservation priorities according to the MoEF Regulation No. P.57 Year 2008. Third category are protected flora and fauna species according to the MoEF Regulation No. 20 Year 2018 which makes protection of the distribution area become mandatory for the management unit. Fourth category are species listed under Annex I and Annex II of CITES. Fifth category are species that are endemic, rare, and threatened (critically endangered, endangered, and vulnerable according to the IUCN RedList). In the sixth category, the regulation also considers areas where species or population of migratory species are found.

When identifying the HBVAs, the DG Regulation set the criteria for data input on the third variable of plant and wildlife. The data that can be used as input are: a) Protected; b) Endemism; c) Distribution of the restricted range species and threatened; and/or d) Symbolic *adat* community or Local Government. Data to support the identification of HBVAs using the above criteria is already available for Flores Island. The distribution areas of Komodo dragon have been mapped out and updated by the Komodo Survival Program. In addition, the Key Biodiversity Areas on Flores have also been available. The KBAs are triggered by the distribution of Komodo dragon as well as other globally threatened species such as Yellow-crested cockatoo and Flores hawk-eagle.

As described in Annex 15, Landscape Profile, outside of the protected area network, there is about 176,396 ha of potentially High Biodiversity Value Areas (HBVAs). These include the indicative distribution areas of Komodo dragons, Key Biodiversity Areas, and other primary forests in state forest areas as well as in community lands. If assessed using the DG KDSAE regulation, these areas are likely to be identified as HBVAs *(KNKT)*.

The potential HBVAs are distributed across the landscapes in the FMU areas and community lands. The total extent of the potential HBVAs in both areas are almost the same: 91,385 ha and 84,542 ha respectively. In addition, there is about 469 ha of marine KBAs in the west Flores seascape outside of the PAs. Outside of the Komodo dragon distribution areas, the potential HBVAs on community lands also include a significant extent of other primary forests which is about 35,519 ha.

3. KEEs, HBVAs and OECMs

In the new organizational structure of KSDAE, the Directorate of Essential Ecosystem Management (BPEE) has been replaced with the Directorate of Ecosystem Management and Recovery (BPPE)[18]. Nevertheless, the new BPPE still has a target of creating an inventory and verifying 43 million ha of high biodiversity values outside conservation areas and improving the management effectiveness of 55 KEEs by 2024. Although there has yet to be an official announcement, KEEs are no longer a priority for the Ministry, even though they will continue to support ongoing efforts. This has implications for the design of the IN-FLORES project since the development of area based conservation measures outside of protected areas will no longer be based on KEEs. The IN-FLORES project will use OECMs as the primary tool for extending area based conservation measures beyond protected areas.

OECMs were included in the updated 'zero draft' of the post-2020 Global Biodiversity Framework (Open-Ended Working Group on the Post-2020 Global Biodiversity Framework, 2020), and there are expectations that they will play a large role in the conservation agenda for the next decade. In the draft post 2020 framework there is a stand-alone target (Target 2) on PAs and OECMs:

> By 2030, protect and conserve through well connected and effective system of protected areas and other effective area-based conservation measures at least 30 per cent of the planet with the focus on areas particularly important for biodiversity.

While protected areas must have a primary conservation objective, this is not necessary for OECMs. OECMs may be managed for many different objectives but they *must* deliver effective conservation. They may be managed with

[18] See Ministry of Environment and Forestry, Rencana Strategis Ditjen KSDAE 2020-2024 (REVISI).

conservation as a primary or secondary objective or long-term conservation may simply be the ancillary result of management activities. OECM's are working landscapes that are productive, but have a stated goal to support biodiversity. There may be a mosaic of land uses: agriculture, conservation areas, managed forests or agroforestry initiatives where conservation may not be the primary objective. The tool recognizes managed areas that sustain biodiversity, irrespective of their objective. OECM recognition can support Indigenous and local communities in managing their lands and seas — be it for hunting, fishing or other cultural practices — while conserving nature. It opens up new conservation opportunities in landscapes so management approaches need to accommodate the ways people use landscapes and seascapes. OECMs can play a role in supporting local economies that are simultaneously safeguarding biodiversity and ecological assets. They offer an opportunity to strengthen governance structures that can attract conservation finance investment.

3.1 OECMs in the North and West Flores landscapes-seascapes

An estimated 472,030 ha of land and marine areas have been identified as part of the proposed project areas in the north and west Flores landscapes/seascapes.

Table 4. The estimated extent of terrestrial and marine areas in the landscapes-seascapes (ha)

Landscape-Seascape	Terrestrial	Marine	Grand Total
1. Northern Flores Land and Seascape	100,735	6,105	106,840
2. Western Flores Land and Seascape	243,479	121,711	365,190
Grand Total	**344,214**	**127,816**	**472,030**

About 65% of the terrestrial and marine areas are managed by government agencies as conservation areas and state forest areas. These include an estimated 111,274 ha of state forest areas classified as protection and production forests being managed by five forest management units. Community lands and open marine areas are about 35% (167,304 ha). These areas have been defined to maximize the potential connectivity of protected areas with promising high biodiversity value areas as well as other natural habitats in between.

The target landscapes-seascapes are a mosaic of multiple land and marine uses. Excluding protected areas there are 275,946 ha and 2,632 ha of terrestrial and marine ecosystems, respectively. See **Table 5 below.**

Table 5: Breakdown of target landscapes-seascapes, excluding protected areas (hectares)

Project Site Category	Project Area Category	Terrestrial	Marine	Total
West Flores Landscape-Seascape				
Komodo habitat and KBA's	Potential HBVAs	22,451		22,451
Primary forests in state forest areas	Potential HBVAs	22,847		22,847
Primary forests on community lands	Potential HBVAs	12,795		12,795
Savanna in state forest areas	Savanna outside PAs & HBVAs	1,764		1,764
Savanna on community lands	Savanna outside PAs & HBVAs	9,397		9,397
Secondary forests in state forest areas	Secondary forests outside PAs & HBVAs	10,570		10,570
Secondary forests on community lands	Secondary forests outside PAs & HBVAs	6,338		6,338
	Agriculture & other land-uses	8,749		8,749
	Marine areas outside PAs & HBVAs		0	0
	Sub-Total	**94,910**	**0**	**94,910**
North Flores Landscape-Seascape				
Komodo - KBA areas	Potential HBVAs	65,869	469	66,338
Primary forests in state forest areas	Potential HBVAs	29,241		29,241
Primary forests on community lands	Potential HBVAs	22,724		22,724
Savanna in state forest areas	Savanna outside PAs & HBVAs	192		192
Savanna on community lands	Savanna outside PAs & HBVAs	4,381		4,381
Secondary forests in state forest areas	Secondary forests outside PAs & HBVAs	3,122		3,122
Secondary forests on community lands	Secondary forests outside PAs & HBVAs	16,691		16,691
	Agriculture & other land-uses	38,815		38,815
	Marine areas outside PAs & HBVAs		2,163	2,163
	Sub-Total	181,036	2,632	183,668
	TOTAL	**275,946**	**2,632**	**278,578**

Following the DG Regulation on identifying and verifying high biodiversity value areas outside of the protected area network (No.8/2020), the areas that are key for the conservation of Komodo dragons as well as other globally threatened species are likely to have high score if assessed. Based on stakeholder consultations and preliminary analyses carried out during the project preparation phase, a list of potential locations to pilot candidate OECMs in the target landscapes-seascapes are presented in Table 6 below. The decisions on the actual areas for the pilot candidate OECMs to be established under the project will be made through participatory processes under Component 1, and confirmed through applying the OECM screening methodology.

In developing the OECMs, there will be two principal land managers, FMUs and villages. FMU West Manggarai, FMU East Manggarai and FMU Ngada are potential for piloting candidates of OECMs in state protection and production forest areas. There is an estimated 170,525 ha of potentially high biodiversity value areas in the three FMUs. However, further assessment will be needed to identify the pilot sites for candidate OECMs within the FMUs areas, including considering their long term management plans (RPHJPJ). Areas that are allocated for protection and NTFP utilization would be compatible with long term conservation objectives.

The other land manager will be villages. There is an estimated 29,963 ha of potentially high biodiversity value areas in the 21 selected villages in the proposed landscape/seascapes. These include areas identified as indicative distribution of Komodo dragon and important biodiversity areas as well as primary forests both outside of the state forest areas. However, further assessment will be needed to identify the pilot sites for candidate OECMs within the village areas.
All of the selected villages overlap with FMU areas which indicate that their participation in piloting OECMs in FMUs will also be required. The design of the pilot candidate OECMs in the FMU areas as well on community lands will need to be integrated to maximize the biodiversity benefits. In addition, the villages of Warloka and Golo Mori in the West Flores Landscape-Seascape border with the Komodo National Park, thus creating an opportunity for collaboration on managing the park boundary area. Similarly, Sambinasi Barat village in the North Flores Landscape-Seascape overlaps with Riung Nature Reserve. The OECMs provide an opportunity to create more interconnected landscapes and seascapes in combination with protected areas or with FMUs. They can facilitate the inclusion of a diverse range of rights-holders and stakeholders contributing to area-based conservation.

Table 6: Potential OECMs in the target landscapes-seascapes

Potential Locations of Pilot Candidate OECMs	Description
West Flores Landscape-Seascape	
Longos Island, village of Pontianak and Nanga Kantor Barat	About 504 ha of indicative area for Komodo dragon distribution.
FMU West Manggarai	About 61,620 ha of potential HBVAs within mostly protection forest areas (74%) and production forest areas; the areas border the village of Golo Mori, Warloka, and Nanga Bare which are part of the indicative area for Komodo dragon distribution.
Warloka village	About 2,660 ha of potential HBVAs; borders on Komodo National Park.
Golo Mori village	About 2,865 ha of potential HBVAs; borders on the Komodo National Park.
Nanga Bere	About 4,486 ha of potential HBVAs; connected with FMU area in Tanjung Keritemese.
North Flores Landscape-Seascape	
FMU East Manggarai	About 21,900 ha of potential HBVAs in almost totally protection forest areas; borders on the priority villages in East Manggarai District within the indicative area for Komodo dragon distribution in in the North Flores landscape.
FMU Ngada	About 5,482 ha of potential HBVAs; border on the priority villages in Ngada District within the indicative area for Komodo dragon distribution.
Sambinasi Barat village and Sambinasi village	About 3,708 ha of potential HBVAs on community lands, including the Torong Padang Peninsula; these are part of *Adat* lands that are within of the indicative area for Komodo dragon distribution. The Baar Adat community would be the main land manager. Their *Adat* lands also overlaps with the Riung Nature Reserve.

Rather than introducing new instruments, the project will explore and strengthen the existing traditional systems of conserving land and forests. Many of the selected villages in East Manggarai and Ngada Districts to a certain extent maintain such traditional systems. A range of community-based management models will be explored to implement OECMs. In the north, Flores landscape communities have been traditionally set aside lands for seasonal traditional game hunting called Tanah Pirong. Toro Padang Peninsula is an example of such a traditional land belonging to the Baar community that has been managed as communal land. In the west Flores landscape, Tanjung Keritamese is another example of community-managed land in Nanga Bere Village. Based on the integrated landscape/seascape management strategies, a specific guideline will be prepared for the villages to incorporate biodiversity conservation into village spatial plans. In each of the villages, the project will facilitate the development of implementation and monitoring plans for managing the agreed areas for piloting OECMs. The guideline will recognize and strengthen the existing land and resource management by communities.

Once the areas are defined, screening with the criteria suggested by IUCN-WCPA will need to be done to check if the areas are qualified as candidate OECM. Results from the screening will also useful to suggest if there are shortfalls that need to be addressed for the area to be candidate OECM. The shortfalls may lead to the areas being considered as potential OECM development but not yet a candidate OECM. Through proper technical and policy alignment, the OECM framework will facilitate the reporting of Indonesia's conservation estate nationally and internationally. This will also address potential challenges by facilitating resource use efficiency and mobilization, and mitigate the reporting of non-compliant sites. Looking ahead, OECMs offer Indonesia an unique tool that contributes to addressing the country's environmental, social and economic priorities.

Annex 19. Sustainable financing baseline analysis and opportunity assessment

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Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID**: 10728

Table of Contents

1 Introduction and Background 2

2 Approach and methodology 2

3 Findings and results 3

3.1 Desk analysis 3
3.1.1 The BIOFIN initiative and experiences in Indonesia 4
3.1.2 Islamic fund (Zakat, Infaq, Shadaqah, Waqf) 5
3.1.3 Green Sukuk 6
3.1.4 Corporate Social Responsibility (CSR) 7
3.1.5 Crowdfunding 7
3.1.6 Environmental Funds 7
3.1.7 Ecological Fiscal Transfer 9
3.1.8 Mechanisms for Bioprospecting 9
3.1.9 Wastewater fees and penalties 10
3.1.10 Payments for Ecosystem Services 10
3.1.11 Debt for Nature Swap 11
3.1.12 Tariff, fees, taxes for water 11
3.1.13 Tariffs, fees and taxes in the tourism sector and commercial advertising 11
3.1.14 Rare species fees 12
3.1.15 Climate finance 13
3.1.16 Biodiversity offset 14
3.1.17 Experiences in Indonesia on Protected Areas' finance mechanisms and tools 14

3.2 Information gathered during PPG phase 16
3.2.1 Financial needs and funds allocated for financing the Komodo Dragon Conservation Strategy and Action Plan 16
3.2.2 Existing conservation financing mechanisms in the target landscapes-seascapes 16

3.3 Overall considerations and discussion 17
3.3.1 Analysis of current biodiversity finance framework 17
3.3.2 Barrier and gap analysis 22
3.3.3 Feasibility of biodiversity finance mechanisms and tools for IN-FLORES 23

4 References 28

1 Introduction and Background

This annex presents a report on sustainable financing options for the target landscapes-seascapes in Flores, Indonesia, with specific regard to protected areas. The report provides learning from national and international experiences and recommendations for project interventions in setting up and strengthening financing mechanisms for conservation of the Komodo dragon and other globally threatened species.

The main objectives of this report are to:

- Analyze the current sustainable financing mechanisms as described in the PIF and through consultations with the UNDP Country Office, the BIOFIN[1] team and national partners;
- Provide a barrier and gap analysis for sustainable financing in the target landscapes-seascapes including suggestions on how to overcome some of these key barriers during implementation;
- Provide recommendations to be included in the project design.

Elements related to the financing of private sector activities and biodiversity-friendly livelihood activities are included in *Annex 20* to the Project Document "Baseline analysis of biodiversity finance instruments, feasibility study on biodiversity-friendly businesses, and private sector investment strategy and guidelines".

2 Approach and methodology

This report was prepared considering:

- A desk review of existing online data and materials, information and literature collected during the mission to Flores and those provided by the project preparation team and UNDP;
- The results of the consultative meetings with the relevant stakeholders, including the consultations conducted during the mission to Flores;
- Consultations with the team leader and other specialists, as well as UNDP representatives.

The desk review considers the most relevant documents from BIOFIN in Indonesia and other sources on sustainable financing and biodiversity finance.

A specific financial analysis on protected areas (PAs) was prepared, considering the financial data available.

National consultant from Burung conducted field missions to collect information and documents related to biodiversity finance and the engagement of the private sector to adopt biodiversity-friendly approaches.

More details on the stakeholder engagement can be found in Annex 8: Stakeholder engagement plan and Annex 9: Stakeholder consultations during the project preparation phase.

The main limitations of the analysis included in this report are:

- Lack of updated, detailed and consistent financial data and information on PAs and potential other effective area-based conservation measures (OECMs), specifically current expenses, financial needs, ongoing initiatives to apply and diversify the financial mechanisms and increase revenues;
- Most of the PAs in the target landscapes-seascapes have no management plans;
- PAs have no financial and/or business plans;
- Information and data from the PAs budgets are limited;
- The budget for the implementation of the 2020-2030 SRAK (Komodo Dragon Strategic Action Plan) has not been prepared, as this action plan has not yet been approved by the Ministry of Environment and Forestry (MoEF);
- Due to COVID-19 pandemic constraints, there was only limited time available for the consultative meetings, and the international conservation finance consultant could not attend the field mission.

[1] BIOFIN (The Biodiversity Finance Initiative) is a UNDP-managed global programme, initiated with the European Commission at the CBD COP 11, in response to the urgent global need to divert more finance from all possible sources towards global and national biodiversity goals. Homepage | BIOFIN

3 Findings and results

3.1 Desk analysis

The desk analysis includes an assessment of the most relevant results from BIOFIN in Indonesia, as well as a summary of information from the project's concept and PPG preparation stages.

The purpose of the assessment of existing financing mechanisms for the conservation of the Komodo dragon is to describe the current situation.

3.1.1 International experience on financing Other Effective area-based Conservation Measures (OECMs)

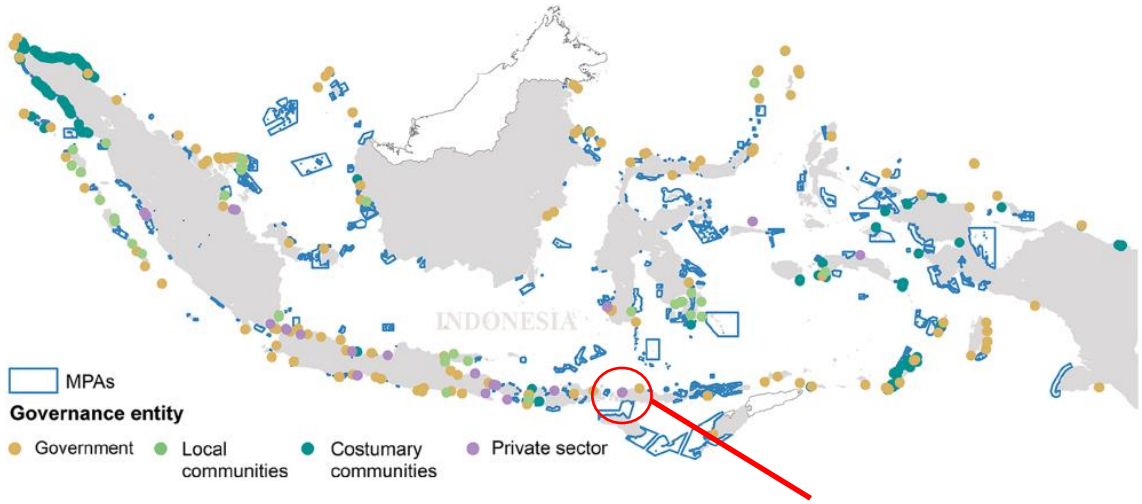
Aichi Target 11 states that conservation will be achieved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and Other Effective area-based Conservation Measures (OECMs).

The Conference of the Parties (COP), in November 2018, defined an OECM as *"A geographically defined area other than a Protected Area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in situ conservation of biodiversity with associated ecosystem functions and services and where applicable, cultural, spiritual, socio–economic, and other locally relevant values".*[2]

The distinguishing criterion is that a protected area has a primary conservation objective, whereas an OECM delivers effective in-situ conservation of biodiversity, regardless of its objectives (IUCN, 2019).

The same IUCN paper (2019) defines a candidate OECM as *"a geographically defined space that has been identified as a "potential OECM" and the governance authority has consented to it being assessed against the CBD criteria*".

The OECM framework is a novel conservation approach, where approaches and mechanisms for financing are still not well defined. Moreover, the protected planet web database includes just part of the officially recognized OECM and does not include the candidate OECM. For instance, the protected planet web database does not include OECMs for Indonesia, while a specific study (Estradivari et al., 2022), evaluates the potential recognition of marine OECMs into Indonesia's national policy framework on marine resource management and provides the first-ever overview of distribution and types of potential marine OECMs in Indonesia, including a review of the existing evidence on conservation effectiveness. It identifies 390 potential marine OECMs. These areas are led by government, customary and local communities, or by the private sector, towards diverse management objectives, including habitat protection, traditional/customary management, fisheries, tourism, or others.



Distribution of potential marine OECMs in Indonesia *IN-FLORES Project Area*

Source: Estradivari et al., 2022

[2] CBD/COP/DEC/14/8

For the proposed marine OECMs in Indonesia, conservation measures are mostly based on formal and informal (traditional) regulations of natural resources management and exploitation (frequently on fishery); community-based restoration activities, for instance the rehabilitation of mangrove or reef restoration, are reported in the paper by Estradivari et al. (2022).

Community-based restoration activities can be considered indirect mechanisms for financing the OECMs, as they imply the saving of financial resources that should have been mobilized. No specific direct financing mechanism was found in the paper by Estradivari et al. (2022) for these candidate marine OECMs in Indonesia.

There are some cases where OECMs are financially supported in other regions.

The CMAR (eastern tropical marine conservation corridors) covers 2,000,000 km^2 in the national waters of Costa Rica, Panama, Colombia and Ecuador. The corridor includes four UNESCO World Heritage sites and multiple MPAs and there is technical and financial support available from governments for hundreds of different marine conservation and management projects (UNDP, SCBD & UNEP-WCMC, 2021).

In the European Union, some specific financing mechanisms support the OECMs, with positive outcomes for biodiversity.

The Prioritization Assessment Frameworks (PAFs) are the main tool used to plan the financing of Nature 2000 network (a network of European PAs) and green infrastructures. Green infrastructures can be considered OECMs on the basis of the IUCN definition. Each region belonging to the EU has to prepare and submit its PAF for approval to the EU Commission, at the beginning of the EU financing period (every 7 years). The PAFs include specific sections regarding the financing of green infrastructures and they take into account many EU financing programmes, so public funds. They can include programmes mostly related to biodiversity conservation (for instance, the LIFE programme), but also others related to different policies (for instance: social policy, cohesion policy, maritime policy, common agriculture policy), which can contribute directly or indirectly to the conservation of the biodiversity on the green infrastructures' areas.

Another interesting example in the EU is the greening applied to the common agriculture policy. The Union, throughout specific financial plans, provides financial contributions to those economic operators (mostly, but not only farmers) willing to adopt biodiversity-friendly approaches, for preserving natural resources, ecosystems and biodiversity and maintain and preserving public goods and ecosystem services. Examples of financially supported actions are the restoration of elements of the traditional rural landscape (hedges, green rows, dry stone walls) with outcomes in terms of biodiversity conservation and natural and cultural heritage preservation, the set-aside, the maintenance and sustainable use of forests, the conservation of small wetlands and the adoption of sustainable practices (organic farming and others).

In the EU, there is potential recognition of OECMs under the Water Framework Directive, the Floods Directive and the Nitrates Directive. Actions in response to these directives include nitrate controls, supplementary measures of pollution control, ecosystem restoration, ecological management of river basins and so they may create conditions for OECM recognition (IEEP, 2021). The European Commission and public administrations at different levels in e EU countries provide financial support to design, adopt and execute the actions in response to these directives and some of them directly and indirectly contribute to biodiversity conservation. In some cases, national states provide incentives and disincentives for the adoption of best practices and environmentally friendly approaches from the private sector. Then, some EU funding programmes foresee financial contributions from public and private entities. In these cases, blended finance, under private-public partnerships, contributes to biodiversity and ecosystem conservation.

3.1.2 The BIOFIN initiative and experiences in Indonesia

Indonesia is one of the countries with the largest protected surfaces. The table below shows some statistics on PAs in the country.

Land area covered by PAs (ha)	Terrestrial PAs coverage	Marine area covered by MPAs (ha)	Marine PAs coverage
22 500 000	8.46%	13 500 500	2.71%

Source: BIOFIN BFP (2018). Coverage (%) estimated by the author

The total budget available for biodiversity conservation in Indonesia is approximately USD 680 million, about 3 USD/ha/year (Biodiversity Financial Plan, BIOFIN Indonesia, 2018). In Asia, the average resources available are 4.9 USD/ha/year (data provided by the author based on a sample of Asian countries[3]).

The total budget estimated to accomplish the eight national targets of the NBSAP in Indonesia is approximately USD 11.58 billion, equivalent to about 52 USD/ha, considering all the conservation terrestrial areas and marine protected areas (MPAs). While the financial resources available amount to about 6% of the total national budget (Biodiversity Financial Plan, BIOFIN Indonesia, 2018). This results a biodiversity finance gap reaches US$10,900 million, that needs to be closed in order to effectively managed the biodiversity resources. This is a generic parameter, but it can be considered as a general reference for PAs in the Country. The table below shows some statistics on PAs financing.

Total financial sources available (M USD/year)	Available financial sources/ha (USD/ ha/year)	Total PAs financial needs (M USD/year)	PAs financial needs / ha (USD/ ha/year)	Total financial gap (M USD/year)	Financial gap / ha (USD/ ha/year)
680	3	11 580	55	10 900	52

Sources: estimates based on the BIOFIN BER (2017) and BFP (2018)

Building on the findings of the BIOFIN analysis, there are a number of innovative financial instruments that can be piloted for feasibility in Flores.

The table below shows a list of the priority financing mechanisms considered by BIOFIN at a country level, classified based on their priority and impact.

Impact \ Priority	High	Low
High	Zakat, Infaq, Shadaqah, Waqf Corporate Social Responsibility (CSR) Green Sukuk Crowd funding Ecological Fiscal Transfer	Tourism fees & Commercial Advertisement Wastewater fees and penalties Environmental Trust Fund Rare Species Fee
Low	Bioprospecting	Debt for Nature Swap Biodiversity Offset Tariff/fee/tax/for water

Sources: BIOFIN BFP (2018)

Brief descriptions of the priority financial mechanisms included in the BIOFIN are presented below.

3.1.3 Islamic fund (Zakat, Infaq, Shadaqah, Waqf)

In Muslim-dominated regions, Zakah, Infaq, Shadaqah and WAqf (ZISWA) are philanthropic instruments. The BIOFIN analysis concluded that that Zakat, infaq, and shadaqah can be dedicated to the underprivileged communities in ecotourism areas that do not have the capital to expand their businesses in the form of microfinance. On the other hand, the WAqf is used for the development of infrastructure needs in ecotourism areas.

[3] Analysis conducted by the author and Natural Strategies for UNDP Cambodia and the Ministry of Environment of the Royal Government of Cambodia, under the World Bank "Cambodia Sustainable Landscape and Ecotourism" Project. Unpublished report.

Zaqat (also known as Zakat) is an Islamic finance term referring to the obligation that an individual has to donate a certain proportion of wealth to charitable causes every year. Infaq is a type of charity in Islam that is given without any expectation of reward or return. Shadaqah is a voluntary act that involves giving or donating to a person or charity and it is not imposed by material things, hence it is subject to no specific rules or conditions. Waqf, also known as hubous or mortmain property, is an inalienable charitable endowment under Islamic law.

BAZNAS is the body established by the Government with the function of collecting and distributing Zaqat, Infaq and also alms. Waqf is managed by a specific agency entrusted by the Indonesian Waqf Board.

Zaqat and Infaq are also used in social forestry programs, where actions are designed and implemented to support the sustainable development of local communities which take benefits and livelihoods from forests, in compliance with best practices for the sustainable use of timber and non-timber products.

The distribution of zakat funds by BAZNAS has also covered the empowerment of communities around the forest and environmental sustainability. For instance, Dompet Dhuafa Republika, in 2014, started a program called "Semesta Hijau", which has four branches of financing instruments related to the environment. The four chapters of the program are tree alms, water for life, renewable energy, and waste treatment. In 2019, in collaboration with Bank Jambi, the Jambi Government, and UNDP, BAZNAS developed an Agritourism Village in Lubuk Bangkar, in the Jambi Province. Similar programs were also implemented in several other locations, for example, in the Tana Toraja Village, in the South Sulawesi Province (Khalifah et al., 2021). In 2016, the amount of Zakah allocation reached USD 201 million, distributed to five sectors, namely the economy (18%), education (31%), religion (16%), humanitarian assistance (27%), and health (8%).

There are currently six social forestry schemes financed by zakat: Village Forests (*Hutan Desa/H.D.*), Community Based Forests (*Hutan Kemasyarakatan/HKm*), Community Plantation Forests (*Hutan Tanaman Rakyat/HTR*), Community Forests (*Hutan Rakyat/H.R.*), Customary Forests (*Hutan Adat/H.A*.), and Forestry Partnerships (*Kemitraan Kehutanan/K.K.*) (Khalifah et al., 2021).

The financial schemes requires cooperation between the local communities and local economic operators (farmers, forestry operators), possibly in the form of cooperatives. This increases the social cohesion of the communities and economic operators.

Another interesting sustainable forest model in Indonesia, supported by Islamic funds, is the Waqf forest. It represents a forest on private land, supported by the Waqf, under the condition to guarantee the forest's sustainability. Waqf Forests cannot be sold, endowed, and granted, and this represents an additional element of sustainability, because it reduces interest in (over)exploiting their resources.

In fact, waqf assets are recognized by most of the Muslim jurists as perpetual, irrevocable, and inalienable. Perpetuity of the waqf means that it lasts as long as the asset itself because it belongs to Allah. Irrevocability means once a waqf is established, it cannot be denounced. It means that the waqf will stay stable; the beneficiaries cannot be intimidated (because they cannot be prevented from receiving the waqf 's income). Inalienability prevents waqf from being changed, sold, granted, and inherited. However, waqf assets may be exchanged for an equivalent property, or may be sold, according to the judges grant, to fulfill the goals of the waqf (Ali and Kassim, 2020).

Moreover, Waqf forests are protected by the Waqf law and the Islamic law. Waqf forest also provide benefits to local communities and to their managers (nazirs). Benefits comprise tangible and intangible ones, including ecosystem services (carbon sequestration, biodiversity conservation, landscape views, etc.) (Bull, 2010). Nazirs partially use the economic benefits to maintain and protected the forests (Khalifah et al., 2021).

It's also important to underline that, on the basis of the provision of the Ministry of Religious Affairs of Indonesia, in the next years, the management of waqf in Indonesia will pay more attention to environmental issues, food sovereignty and maritime affairs (Ali and Kassim, 2020).

The main barriers to local sustainable development in the forest context are the limited access to raw materials, capital, markets, and traditional equipment. In any case, positive social effects in terms of increasing the production and revenues of local communities have been demonstrated (Susilo and Nairobi, 2019).

3.1.4 Green Sukuk

A Sukuk is an Islamic financial certificate, similar to a bond in Western finance, that complies with the Sharia, the Islamic religious law. A Green Sukuk is a certificate whose proceeds are used to finance environmental projects.

In March 2018, the Indonesian government succeeded in issuing sovereign Sukuk worth USD 3 billion on the global market. Sukuk can be used to finance biodiversity conservation projects.

Sukuk was implemented to fund many sectors in Indonesia, such as education, health and infrastructure. However, it is still little used for environment and biodiversity and MoEF through the Natural Resource General Directorate (KSDAE) started increasing access to Sukuk to finance conservation projects (UNDP, *in verbis*).

State Sharia Securities (SBSN), also known as State Sukuk, are state securities issued based on sharia principles, as evidence of the share of SBSN asset participation, both in rupiah and foreign currencies. Financing of biodiversity projects through the Project Based Sukuk (PBS) scheme began in 2018. Some biodiversity projects were financed with the Green Sukuk. They included tourism area development projects in Gunung Gede Pangrango National Park, development in Aketajawe Lolobata National Park and Baluran National Park, with a budget ceiling value of Rp 51.40 billion (about USD 3.5 million). In 2019, the budget ceiling for the issuance of SBSN used to finance biodiversity projects increased to Rp 97.37 billion (about USD 6.8 million). In 2020, the ceiling for financing biodiversity also increased to Rp 123.95 billion (about USD 8.6 million). The effective use of the available budgets for biodiversity projects is also very high. In 2018 and 2019 the absorption rate for biodiversity projects reached an average of 99.31% (Source: UNDP internal document on Sukuk).

The BIOFIN analysis concluded that Green Sukuk could raise USD 22 million to be allocated to climate change adaptation and mitigation and biodiversity conservation projects.

3.1.5 Corporate Social Responsibility (CSR)

In Indonesia, the engagement of the private sector in financing biodiversity represents a great opportunity. A group of companies listed in the Sustainable and Responsible Investment (SRI) - KEHATI Index in the Indonesia Stock Exchange (BEI) contributed total expenditures of about USD 2.8 million from 2010 to 2015. Other previous studies revealed opportunities from private contribution for financing biodiversity (BIOFIN Indonesia, 2017).

There are many examples of CSR application in Indonesia. Companies from different sectors have long-term community development programs which regard education, women empowerment, the environment and health. Many sectors are involved in the CSR experiences, namely oil and gas, such as Exxon Mobil, Conoco Phillips, Pertamina, Chevron, the telecommunications and digital sector, with companies such as Indosat Ooredoo, and food and beverage, with Coca Cola and Nestle. In the food and beverage sector, environmental issues are usually considered more important than in the others.

The tourism sector contributed directly to the GDP for USD 19.4 billion, equal to 1.9% of the total GDP in 2017, with the number of international tourists being as high as 14 million in 2017.

The BIOFIN proposed pilot cases in Bali, one of the most known and popular island tourist destinations in Indonesia, to be replicated in other parts of the country. The proposed pilot cases would involve ecotourism villages adopting biodiversity-friendly business models, including financial support through CSR for conservation.

3.1.6 Crowdfunding

Crowdfunding is one of innovative finance instruments; it offers a solution beyond the traditional financial systems, and it is relatively independent from government budgets. Crowdfunding matches financial supply and demand because it allows everyone to make a direct contribution to and invest in the projects they want to support.

The BIOFIN report states that this financial solution is targeting a donation of USD 50,000 from a fundraising campaign with an initial investment of approximately USD 10,000 to organize and provide a platform for the activity. This financial solution is expected to contribute to non-monetary results in the form of increased awareness of biodiversity, which in turn will increase people's willingness to invest in the biodiversity sector.

3.1.7 Environmental Funds

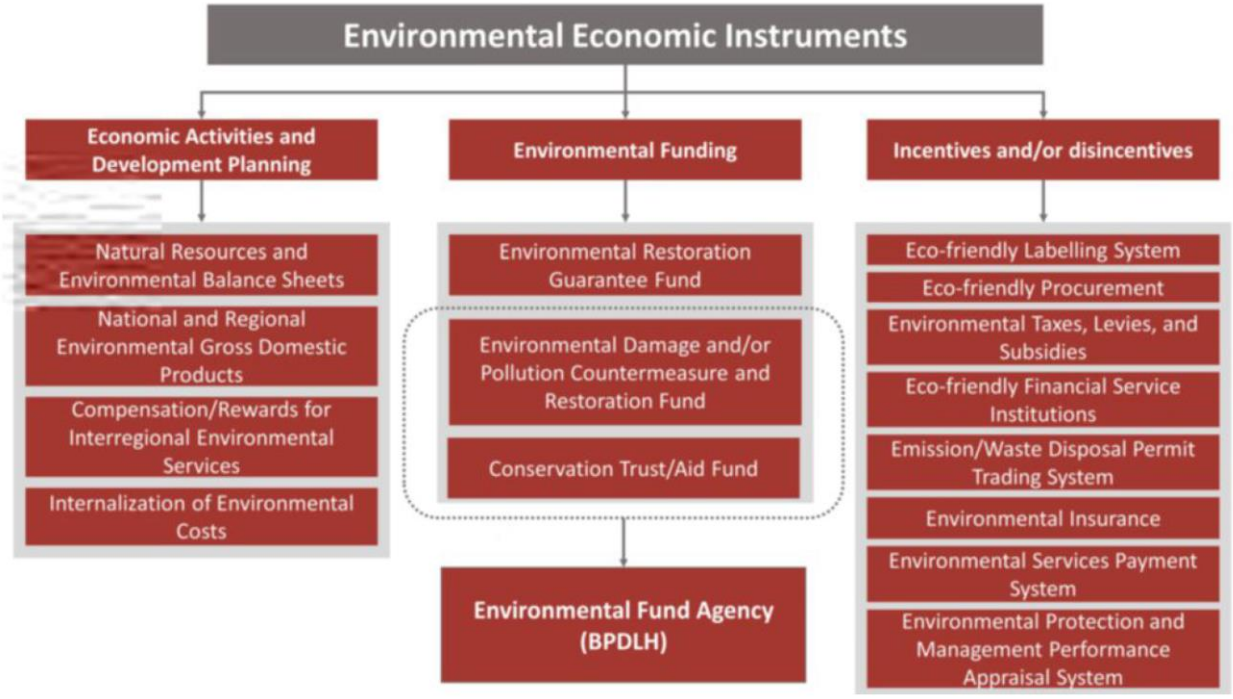
The Indonesian Environmental Fund Management Agency (BPDLH) is a non-echelon organizational unit in the field of environmental fund management that is under the responsibility of the Minister of Finance through the Director General of Treasury.

The agency was officially formed in September 2019 and launched in October 2019 to bring multiple sources of funding together to be deployed through a variety of instruments across a number of different sectors (including forestry, energy and mineral resources, carbon trading, environmental services, industry, transport, agriculture,

marine and fisheries). BPDLH is a government entity under the Ministry of Finance of Indonesia that has the legal flexibility and autonomous authority to manage its operations and that is not dependent on the state budget but can source funds from it. The scope of BPDLH is to manage environmental funds in Indonesia and channel funds to support environmental protection, environmentally friendly economic activities and to reduce GHG emissions.

Recently, the Ministry of Finance and the Ministry of Environment and Forestry established a public service agency (*Badan Layanan Umum* or BLU) as a non-structural entity under the Ministry of Finance designed to manage funds for environmental protection and management, including climate change mitigation and adaptation efforts. The BLU regulatory framework provides a solid legal base for a robust and flexible vehicle aimed at funding activities of public interest, including managing money from international donors (climate finance initiative, website[4]).

The funds that are managed under BPDLH are part of a larger framework of environmental economic instruments envisaged under Government Regulation Number 46/2017 on Environmental Economic Instruments. The following table illustrates this context (Mafira et al., 2020).



Source: Tiza Mafira, Brurce Mecca, Saeful Muluk, 2020, Indonesia Environment Fund: Bridging the Financing Gap in Environmental Programs. Climate Policy Initiative Report

BPLDH can make short- and/or long-term investments, depending on its strategic direction. In case of long-term investments, BPDLH must first obtain permission from the Ministry of Finance.

The most relevant fund for conservation is the Environmental Fund. This fund also includes the mandate of the past Forestry Fund, which was established in 2015 and is now being integrated into the Environmental Fund. The beneficiaries of the Environmental Fund include local governments, ministries and agencies, the private sector, research institutes, CSO and individuals.

Other funds described in the Climate Policy Initiative report (Mafira et al., 2020) that could be considered for this UNDP-GEF project include:

- The Revolving Fund for Cooperatives and Micro *SMEs (Lembaga Pengelola Dana Bergulir Koperasi, Usaha Mikro, Kecil dan Menengah*, LPDB), a public service agency that manages the fund through a revolving scheme[5]. The LPDB gives easy-to-access and affordable loans to cooperatives and micro-enterprises through conventional and/or sharia loan instruments.

[4] https://www.climatepolicyinitiative.org/publication/indonesia-environment-fund-bridging-the-financing-gap-in-environmental-programs/

[5] A revolving fund is a mechanism where the fund is continually withdrawn for loans or grants and replenished through debt-collection and interest.

- The Maritime and Fisheries Business Capital Management Institute (*Lembaga Pengelola Modal Usaha Kelautan dan Perikananm,* LPMUKP) was established by the Ministry of Maritime Affairs and Fisheries in 2009 to improve access to capital for marine and fishery communities. It manages loans or revolving fund financing for micro, small and medium enterprises in the marine and fisheries sector.

Another important environmental fund is the ICCTF (Indonesian Climate Change Trust Fund), supported also by the GEF. It is a key instrument of the Government of Indonesia in reducing emission intensity and greenhouse gases emission through actions of low carbon development and adaptation on climate change impact. ICCTF also strives to integrate climate change issues into Development Plans at the national, provincial and regional level as well as implementing the initiatives on climate change mitigation and adaptation. Through leveraging and channelling of domestic resources and international funds into projects, the ICCTF supports Indonesia's 26% / 41% emission reduction target[6]. The ICCTF has developed 88 projects, out of which 12 are ongoing, articulated in four categories: land-based mitigation, adaptation and resilience, energy and marine-based projects.

3.1.8 Ecological Fiscal Transfer

Ecological Fiscal Transfer (EFT) is a financial instrument involving fiscal transfers for environmental and ecological initiatives built on arrangements of revenue sharing between different government levels. EFT will create an incentive or reward program for areas with extensive conservation activities. This incentive mechanism can be used to encourage regions to protect the environment.

Since 2004, Indonesia introduced fiscal transfer mechanisms between the central government and local governments and among local governments. At present, fiscal instruments that explicitly incorporate an ecological dimension are only accommodated under the Special Allocation Fund (DAK) and the Environment and Forestry Revenue-Sharing Fund (DBH SDA). They are not delivering the expected results but are considered as having great potential for biodiversity finance for the next future (BIOFIN Indonesia, 2018).

Another interesting mechanism is the Local Incentive Grant (DID). It can be used to compensate the decentralized jurisdiction for the provision cost of ecological goods and services which provide spill-over benefits beyond their boundaries. Local governments propose specific conservation measures, to be financed with the DID, based on their priorities. The DID also includes a biodiversity monitoring and evaluation system, used by the central government to follow up on the progress and impact of financed measures.

The entire EFT transfer framework should be improved in Indonesia, by taking action including legal reviews of the existing tool, capacity building and public consultations.

3.1.9 Mechanisms for Bioprospecting

In Indonesia about 7 500 species of the known ones are considered to be efficacious as drugs ingredients. Until 2016, the total collection of gene resources stored was 11 044 accessions. The Ministry of Environment and Forestry released Ministry regulation no. 2/2018 which provides technical guidelines for access to genetic resources, including Access Benefit Sharing from wild species which became a pre-requisite for an efficient bioprospecting process. Bioprospecting mechanisms should be strengthened through capacity building of the institutions undertaking bioprospecting and by ensuring that sustainable sourcing is applied and provides benefits to the community that greatly depends on bio-resources. Ultimately, the solution will create further opportunities for biodiversity and the bioprospecting financing program (BIOFIN Indonesia, 2018).

For instance, an interesting paper (Julkipli et al., 2018) explores bioprospecting opportunities for Indonesian mangrove species. In terms of mangrove biodiversity, Indonesia represents approximately 22.6% of the total mangrove ecosystems in the world (Julkipli et al., 2018) and this ecosystem is well represented in the coastal areas of the selected landscapes. Bioprospecting can potentially be applied in the pharmaceutical sector, in agriculture, industry and medicine.

Many elements are needed for a bioprospecting program, such as information management and an inventory of mangrove diversity, the development of extraction methods, the screening of antimicrobial and anticancer activity, a specific process for fractionation and isolation of pure compounds and the establishment of an extract library and of an extract library consortium (Julkipli et al., 2018).

[6] https://www.icctf.or.id

Under IN-FLORES, this kind of program could be too ambitious and could fall outside the scope of the project. During its implementation, the Project should just stimulate discussion with the key-stakeholders for the development of a bioprospecting program, which could contribute to finance the conservation of mangrove ecosystems.

3.1.10 Wastewater fees and penalties

In general, fees charged for sewer and wastewater discharge are designed for cost recovery purposes. The fee structure may include differential fees for private and/or commercial users. Wastewater discharge permit fees may include some economic costs in terms of damage to the ecosystem, to be channelled to protected areas management authorities, which can use them for ecosystem restoration and conservation.

One of the most important problems connected with urbanization in Indonesia is the lack of adequate wastewater management. Despite the project area has no big cities, the population and so human settlements are increasing. Moreover, tourist facilities and ongoing initiatives will contribute to this problem, if not properly addressed. So, best practices and management principles for effective wastewater management in urban areas can also be applied to settlements in the selected landscapes.

Wastewater management falls outside the scope of IN-FLORES, but some liaisons with the financing principles and tools for wastewater management can be considered.

Examples of wastewater management fees should include three classes (ADB, 2017):

- On-site wastewater management fees: "Residential users that treat and dispose wastewater in their own premises by means of on-site treatment and disposal facilities should pay an on-site wastewater management fee; the tariff of the on-site wastewater management fee will be fixed regularly (in general, once a year) by the local government based on the two categories proposed: (a) A flat monthly fee for residential on-site wastewater users, (b) A uniform flat monthly fee for community-based on-site treatment and disposal systems, generally higher than household fees as the treatment facilities of community-based systems are usually larger than individual ones".
- Residential Sewer Use Fee: "Residential users connected to a public sewer and discharging domestic effluents into the sewerage system should pay a residential sewer use fee; for the residential sewer use fees, setting up a tariff schedule based on customer classification (i.e., their economic background) and affordability is recommended";
- Commercial and Industrial Sewer Use and Effluent Discharge Fee: "commercial and industrial users connected to a public sewer and discharging generally pretreated commercial or industrial effluents into the sewerage system pay a commercial and industrial sewer use and effluent discharge fee. In a manner similar to the residential fees, setting up a tariff schedule based on customer classification (with regard to their nature and size) is recommended"

3.1.11 Payments for Ecosystem Services

PES initiatives in Indonesia include various types of environmental services, such as tourism (natural landscape beauty), biodiversity, watershed protection, and others (Oktaviani et al., 2018) and carbon including REDD+ schemes (Suich et al., 2017).

For instance, a case study of watershed PES is reported by Lapeyre et al. (2015), where a private water company (water abstraction) pays the local community for reforestation activities, to contribute to maintaining a good water quality level. The study's results are ambiguous because, despite the PES scheme works, it was not possible to assess whether it significantly affects land use dynamics.

Nine more case studies have been analyzed by Suich et al. (2017); they include reforestation, forest rehabilitation, avoiding planned deforestation, agroforestry, river bank conservation and others. For these case studies, one of the conclusions was that *"The majority of the stakeholders interviewed were supportive of the principle of using incentive-based mechanisms, such as payments for ecosystem services schemes, although only approximately half were directly involved in the design, implementation or funding of such schemes in Indonesia. Three intermediary institutions expressed dissatisfaction with the idea of paying communities for the provision of ecosystem services. The identified constraints to the spread of payments for ecosystem services projects in Indonesia can be categorized broadly as a lack of recognition that degradation and scarcity of ecosystem services is a problem, and the constraints imposed by the conflicting and uncertain regulatory environment".* Other constraints and limitations

are high transaction costs, low recognition from the private sector of the scarcity of ES, lack of information and awareness.

3.1.12 Debt for Nature Swap

The Debt for Nature Swap is an "agreement that reduces a developing country's debt stock or service in exchange for a commitment to protect nature" (Sustainable Development Finance Initiative, UNDP).

The amount of debts can be significant, so it can represent an important option. On the other hand, it requires great efforts in the initial phase to design the schemes and find an agreement between the parties.

Indonesia has a success case for this option. In 2009, the US-Indonesia debt swap agreement was signed between four parties: the US government, the Indonesian government, Conservation International (CI), and a local Indonesian environmental foundation called KEHATI (Indonesian Biodiversity Fund). The debt swap included the following steps:

- Under the TFCA, the US Treasury contributed USD 20 million to USAID, the creditor of Indonesia. Besides, CI and KEHATI each paid a swap fee of USD 1 million to USAID;
- USAID cancelled six debt claims with a nominal value of about USD 30 million owed by the Indonesian government;
- The Indonesian government paid instalments of nominal value to an HSBC debt service account;
- With the instructions from an oversight committee, HSBC made regular transfers in USD to an FCA Grants Account, managed by KEHATI;
- After approval by the oversight committee, KEHATI transferred grants to eligible NGOs for environmental projects.

3.1.13 Tariff, fees, taxes for water

This group of mechanisms can include water abstraction charges, water conservation loan grants, water conservation loans, water markets, water quality markets, water tariffs.

Water abstraction charges can be an imposed fee, expense or cost for the abstraction of water. Water abstraction charges can take the form of a nominal license fee linked to an abstraction permit regime or they can vary depending on the quantity used.

Water conservation grants and loans are designed to promote and financially support the sustainable uses of water resources. A specific entity (for instance, an environmental fund) provides grants to specific players to apply sustainable practices to water management like, for instance, reuse, water-saving measures, improving drainage infrastructures, adopting nature-based solutions.

Water markets give the opportunity to sell and buy water rights. They encourage the allocation of water rights and a more efficient distribution of water resources. They can be complemented by the adoption of sustainable water management measures.

Water quality markets mechanisms have been developed or are being tested under "cap and trade" systems and water quality trading programs that consider nutrients (excess Nitrogen, Phosphorus), water temperature (for sensitive fish habitats), and sediment loads. Water quality trading programs apply a type of trading in which a given source is required to hold a source-specific quantity of permits for each unit of emissions. This mechanism makes water resources management more sustainable, and part of the revenues can be used for conservation purposes.

Water tariffs, also called "water rates," are fees collected through water utilities and other suppliers of water from consumers, including households and businesses. These tariffs are a cost recovery mechanism and cover water treatment (for this you can also see the specific section on wastewater fees), storage, transport, recovery and wastewater treatment costs, as well as administrative costs. Water tariffs can also be applied to cover the costs of watershed and wetland maintenance and protection, providing significant additional financing for biodiversity.

3.1.14 Tariffs, fees and taxes in the tourism sector and commercial advertising

Taxes and fees (or comparable instruments such as the sale or auctioning of concessions) from the tourism sector and/or directly from tourists are part of this group of mechanisms. The revenues can provide guaranteed financing

for protected areas or other biodiversity conservation measures either through retainer fees, revenue sharing agreements with communities, or earmarked transfers from the central government.

Advertising and marketing campaigns can promote ecotourism in the protected areas and so offer more revenues generation opportunities at the local level. The promotion of local products can be also an additional mechanism that could provide revenues, for instance through royalties for local products with the label of the protected area, also complemented by graphic illustrations of symbolic natural elements and emblematic species.

3.1.15 Rare species fees

Rare species fees are specific payments applied in exchange of the opportunity to live an experience related to a specific fauna or flora species (endangered, rare, emblematic, etc.). For instance, they could be entry fees to specific areas in a national park where a rare animal species can be observed, or to enter an area that includes an old, rare and large tree, or to visit a captivity nursery for endangered and emblematic species.

The desk research found no explicit[7] examples of rare species fees. Anyway, there are many examples where entry or services fees in protected areas are mostly based on the presence of rare, endangered, umbrella, charismatic and flagship species, despite the mechanisms are not officially defined as "rare species fees". These cases regard, for instance, large PAs in Africa, where visitors are willing to pay entrance or services fees (for instance, for safaris) to observe the large mammals (the so called "big five", and others), mostly classified as rare, endangered, umbrella, charismatic and/or flagship species. Other examples can include those PAs in Europe, like the Abruzzo, Lazio and Molise National Park in Italy, where large mammals like wolfs and bears can easily be observed in nature, also close to towns, or MPAs in many parts of the world (for instance, the Indian Ocean along the coasts of Mozambique or the Cape Verde's islands) where charismatic marine species, like dolphins, sharks, marine turtles and whales can easily be sighted.

Hereafter, some examples of implicit rare species fees or studies on willingness to pay are reported.

In the Volcanoes National Park in Rwanda, a Gorilla trekking permit costs 1,500 USD. It includes park entrance and access to those areas where Gorillas are most easily to be observed.

In the Serengeti National Park in Tanzania, non-resident adults pay an entrance fee of 60 USD, mostly attracted by the big five.

A specific study (Okello et al., 2008) investigated the large mammal interests of tourists in the Amboseli National Park, where the entrance fee is 35 USD per non-resident person and 7 USD per person for citizens. *"Tourist interests were determined by tracking tourist vehicles and observing for which animals they stopped, the duration of each stop, and which animals were ignored". "Tourists were interested particularly in the big cats and other unique large mammals, but interest was not confined to these species"*. Tourists are attracted also by other animals, including charismatic and flagship species, like cheetahs, waterbucks, lions, hippopotamuses, giraffes, spotted hyenas, baboons, warthogs and elephants (Okello et al., 2008).

A study (Yang et al., 2022) in the Qinling Mountains in China assessed the tourist cognition of four rare species: Giant Pandas, Golden Monkeys, Crested Ibis and Takins, and the willingness to pay for their conservation. 89.97%, 89.46%, 86.62%, and 86.62% of tourists are willing to pay for the conservation of, respectively, the Giant Panda, the Golden Monkey, the Crested Ibis, and the Takin; hence, more tourists are willing to pay for the protection of Giant Pandas and Golden Monkeys. Tourists' payments for the four species were mainly concentrated in the 1-9 USD range; 43.98% of tourists (i.e., a higher percentage than other species) paid more than or equal to 6 USD for the conservation of Giant Pandas, while only 32.61% of tourists paid more than or equal to ¥40 for the conservation of the Takin. The number of tourists paying 15 USD and above for the Giant Panda conservation was higher than that for the conservation of other species. These results indicate that tourists have variable preferences regarding the conservation of rare species.

In Cape Verde, despite rare species fees have not been introduced, a study (Tiago Oliveira et al., 2014) shows that the majority of divers is willing to pay to practice diving in the MPAs, places with interesting spots, including nurseries of charismatic species like sharks. In particular, 73% of divers is willing to pay for the conservation of marine spaces, the 44% identified a specific fee permit for diving as means to give their financial contributions (others identified different means like donations or purchasing of souvenirs), and about 50% is willing to pay 48 USD per period of vacation/diving.

[7] The term "explicit example" is referred to those mechanisms legally or formally entitled "rare species fee".

The same logic found in these examples could be applied to a specific mechanism based on the presence of the Komodo Dragon.

3.1.16 Climate finance

Indonesia is the third country in the world for forest coverage, with a significant forest loss. Reducing Emission from Deforestation and Forest Degradation (REDD+) was adopted in Indonesia with an ambitious vision to promote a new governance method for Indonesia's forest (Moeliono et al., 2020).

The international database on REDD+ includes about 50 projects and programmes for Indonesia. None of them regard Flores.

Despite high expectations and some promising developments, REDD+ has not yet fully succeeded in creating transformational change. The concept documents on REDD+ initiatives remain focused on efficiency and technical implementation aspects and do not question business as usual and the current political economic conditions favoring deforestation (Moeliono et al., 2020).

There are several conservation related projects funded by the Green Climate Fund (GCF) in Indonesia, as summarized in the table below (source: GCF website):

Project	Theme	Status	Total Project Value (M USD)	Estimated completion	Accredited entity	Involving Flores
Indonesia REDD-plus RBP for results period 2014-2016	Mitigation	Under implementation	103.8	May 2025	UNDP	Probably
ASEAN Catalytic Green Finance Facility (ACGF): Green Recovery Program	Mitigation	Approved	3,700	To be defined	ADB	Probably
Sub-national Climate Fund Global (SnCF Global or the "Fund")	Mitigation (with adaptation)	Under implementation	750	April 2033	IUCN	Unknown
Global Fund for Coral Reefs Investment Window	Adaptation	Approved	500	To be defined	Pegasus Capital Advisory	Probably

Indonesia REDD-plus RBP for results in the period 2014-2016 recognises Indonesia's REDD+ results for 2014-2016, with a total volume of 27 million tons of carbon dioxide equivalent (MtCO2eq) submitted to GCF for Results-Based Payments (RBP). Indonesia will use the proceeds from these RBP to invest in activities that support the implementation of the country's national REDD+ action strategy (STRANAS). This will augment current efforts addressing forest governance. This includes working with key agencies at the national, provincial, and local levels to strengthen the development, coordination, and implementation of Indonesia's overall REDD+ architecture, as well as providing support to decentralized sustainable forest governance. This includes establishing forest management units and expanding implementation of the country's social forestry programme.

The ASEAN Catalytic Green Finance Facility (ACGF): Green Recovery Program is a multi-country GCF project. Designed as Asia's first regional 'green recovery programme, this initiative aims to kick-start countries' low-emission investments to support economic recovery following COVID-19. By catalyzing increased climate finance from both the private and public sectors, the programme will support at least 20 high-impact, low-emission sub-projects in the region.

The goal of the **Sub-national Climate Fund Global (SnCF Global or the "Fund")** is to catalyze long-term climate investment at the sub-national level for mitigation and adaptation solutions through a transformative financing model. The SnCF Global's business model is designed to attract primarily private institutional investment and to deliver certified climate and Sustainable Development impacts and Nature-based Solutions at a global scale (SDGs, NbS). The Fund is designed to overcome project-level barriers and limitations in attracting private investment that leads to chronic underfunding of bankable mitigation and adaptation projects at the sub-national level.

The Global Fund for Coral Reefs Investment Window (also known as **Pegasus Project**) will create a private equity fund to encourage investments in the blue economy, protecting coral reefs. Targeting 17 countries, including

Indonesia, Africa, the Asia-Pacific, Latin America and the Caribbean, it aims to address critical financing and private investment barriers centered around the blue economy. GCF will act as anchor investor with its USD 125 million investment commitment, encouraging further public and private sector investment in the following areas: sustainable ocean production, ecotourism, and sustainable infrastructure and waste management. Additionally, the programme will benefit from synergies with the GFCR Grant Window, which aims to mobilize USD 125 million of concessional capital from philanthropies and other agencies in order to foster an enabling environment for seeding a pipeline of investment-ready projects.

The GEF has approved many projects in Indonesia. A rapid analysis of those under the Climate Change focal area, found that none of them include climate finance activities potentially developed in Flores (source: GEF project database).

There have also been several Adaptation Fund projects in Indonesia; however, none of these have involved Flores.

3.1.17 Biodiversity offset

OECD defines biodiversity offsets as the *"economic instruments used to allow for some continued economic development whilst simultaneously delivering biodiversity objectives"* (Duetz et al., 2020). Other definitions emphasize the connection with conservation. The BIOFIN defines it as *"An attempt to compensate for the biodiversity that has been damaged after preventive place. The objective of biodiversity offsets is to obtain net gain, for example in terms and cultural and social values of people related to biodiversity"* (BIOFIN, 2018).

In international literature, this mechanism is debated, as there are some success cases, as well as failures.

Recently, potential net impacts of alternative compensation policies on biodiversity (indicated by native vegetation) and two ecosystem services (carbon storage, sediment retention) across four case studies (including one in East Kalimantan, Indonesia) were quantified in a paper (Sonter et al., 2020).

The Sonter et al. (2020) paper states that *"No policy achieves No Net Loss of biodiversity in any case study. Two factors limit their potential success: the land available for compensation (existing vegetation to protect or cleared land to restore), and expected counterfactual biodiversity losses (unregulated vegetation clearing)".*

In the East Kalimantan case study, twice the amount of land that is currently available for revegetation would be required to compensate for losses from proposed developments in order to achieve no net loss of biodiversity.

Another paper (Bigger et al., 2020) emphasizes important issues related to the biodiversity offsets, providing a list of the main elements which could fail to deliver effective results and to have positive impacts on ecosystems and biodiversity:

- The attempt to re-create a degraded ecosystem elsewhere suggests that ecosystems can be isolated from their spatial, evolutionary, historical, and social context;
- Research shows that not all offsetting programmes apply the mitigation hierarchy and, so, it results in a disincentive to the implementation of earlier stages of the mitigation hierarchy (i.e. avoiding impacts on biodiversity, minimizing impacts, rehabilitation after impacts);
- Biodiversity offsets require a complex methodology to incorporate aspects of the impacted ecosystems, creating situations where "what is not measured, is not compensated";
- This also requires baseline information that is not always available when the agreements needed to implement biodiversity offset schemes are adopted.

3.1.18 Experiences in Indonesia on Protected Areas' finance mechanisms and tools

Experiences and practices on biodiversity finance mechanisms can also come from other similar projects. The UNDP-GEF project **Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran landscapes** has been implemented by the MoEF since February 2016.

The midterm review of this project concluded the following, *"has exceeded its target by 27% in relation to the most important Project indicator which is the "Increase in Sumatran tiger density"; with regards to Outcome 1: Increased effectiveness of key protected area management institutions, all five outputs are reported to be on track and in general terms meet the expectations for the first half of implementation; with regards to Outcome 2: Intersectoral coordination systems developed for priority landscapes, reports three outputs on track and only one with a reasonable risk of partial accomplishment"* (UNDP, 2019).

However, *"Limited progress is found in Outcome 3: Sustainable financing for biodiversity management, presenting a reasonable risk of not accomplishment".* The main issues identified by the midterm review (UNDP, 2019) with regards to Outcome 3 were:

- Delay due to a late start up process;
- Instead of envisioning a wide array of funding sources and mechanisms operating simultaneously, the implementation strategy carries a greater level of risk, as it aims to concentrate efforts towards implementing a single sustainable finance mechanism instead of a portfolio approach;
- The five-year financial plan has not been prepared, as expected;
- The Project should provide a 10% budget increase for National Parks by the end of the Project, but *"currently National Parks are not even using 100% of available yearly budgets, making it more difficult to argue for additional funding"*;
- No sustainable financing plans involving project private partners for production areas were developed; The Project argues that such project private partners mechanisms already exist, but the revenues generated are currently not retained or reinvested in PAs.

The UNDP-GEF project **Enhancing the Protected Area System in Sulawesi For Biodiversity Conservation** (E-PASS) was implemented between 2015 and 2020 by the MoEF. Two outcomes of this project focused on PA financing, as described below.

Outcome 2.2 included a Sulawesi island-wide PA System Financing Plan, which was developed by considering the financial needs for PA management and expansion over the next 10 years and by outlining the strategies for meeting these needs in terms of both costs and revenues.
The financing plan includes the typical logical chain for the development of a conservation finance process, as follows:

- 2.2.1 Developing the Sulawesi island-wide PA System Financing Plan. Under this activity, each PA has a 10 year management plan and a 1 year annual work plan, which also contain a detailed budget; potential financing mechanisms were reviewed and public consultations were held to prepare the Strategic Financing Plan for PAs.
- 2.2.2 A study on the financial needs for effective management and development, based on the PA management plans. The Business plan that was established based on PA Management Plans and projected revenues and costs was completed for 3 PAs.
- 2.2.3 Pilot implementation at the site and/or sub-system level in Sulawesi to identify the appropriate mechanism for the PA financing system. It includes a conservation partnership agreement for agroforestry practices, park management and the management of forestry units.
- 2.2.4 Initial implementation of the financing plan as well as development of diversified financing mechanism. Financing models were identified. Two new financing mechanisms for conservation and biodiversity programs were developed by (1) channeling funds from Surat Berharga Syariah Negara for the PAs system, and (2) mainstreaming PAs issues into the national priority program.

Outcome 2.3: Diversified revenue generation mechanisms and other financing sources for PA management include:

- 2.3.1 Development of an enabling policy/legal framework related to the identified instrument. Revenue generation is regulated under Regulation No. 28/2011, which allows PAs to obtain fees from environmental services. More technical regulations include P8/2019 on *Pengusahaan Pariwisata Alam*, P4/2019 on *Pemanfaatan Jasa Lingkungan Panas Bumi*, and P18/2019 on *Pemanfaatan Air dan Energi Air*. A fair amount of sources and mechanisms for generating funds for the PA system have been developed, such as SBSN, Green Bonds and Grants from development partners or donors.
- 2.3.2 Design, negotiation, formalization and operationalization of the mechanisms. A public consultation on the sustainable financing mechanism was conducted. Financing mechanisms, such as Foundations, Public Service Agencies, Trustee Institutions, and Environmental Fund Management Bodies, were identified. The BAPPENAS carried out studies related to regulations and policies needed to channel revenue streams to conservation areas from nongovernmental funding sources.

The E-PASS experience provides examples and guidelines regarding:

- General processes to design, adopt and manage a biodiversity finance system, also involving local communities by increasing sustainable economic activities;

- Regulations on sustainable financial mechanisms for PAs;
- Additional and sustainable financial mechanisms for PAs, that can increase the budget available.

3.2 Information gathered during PPG phase

3.2.1 Financial needs and funds allocated for financing the Komodo Dragon Conservation Strategy and Action Plan

The Strategy and Action Plan for Komodo Conservation (*Varanus komodoensis*) 2020-2030 (SRAK, Batubara et al, n.d.) was in draft form at the time when the IN-FLORES project was developed. The draft SRAK has the following three strategic goals:

i) Protecting and preserving the Komodo dragon and its habitat;
ii) Protecting and preserving the existence of the Komodo dragon and its habitat, and
iii) Utilizing the potential of the Komodo dragon and its habitat for the independence and welfare of the surrounding community.

These three strategic targets are the pillars to achieve the vision, namely "Maintaining the existence of the population and carrying capacity of the habitat of the Komodo dragon in nature that live in harmony with humans" (SRAK, page 8).

The SRAK also contains a Strategy Matrix and Action Plan, which includes a budget allocation column, but, at the stage of PPG, the budget had not yet been compiled. For this reason, there is no consolidated and validated baseline of the financial needs for implementation of the SRAK.

Based on information received from the Directorate of Biodiversity Conservation (KKH), the allocated budget for the SRAK was USD 13,932 in 2021.

3.2.2 Existing conservation financing mechanisms in the target landscapes-seascapes

Limited information on the existing conservation financing mechanisms for in the target landscapes-seascapes were collected during the PPG desk analysis and field mission..

Only two protected areas have a management plan or a work plan: Komodo National Park and Tujuh Belas Pulau Nature Recreation Park (TBPNRP). During the PPG field mission, only the management plan of TBPNRP could be collected, which includes a work plan with the budget for the period 2017-2026.

At this stage, only information on the financial mechanisms in the Komodo National Park were collected. The National Park, the most important one in the target landscapes-seascapes, has a confusing ticket system with a number of different entrance fees. Here are some of the main fees:

Entry fees:

- National Park Entrance Ticket (Mon-Sat): 150,000 IDR (approx. 10 USD).
- National Park Entrance Ticket (Sundays & Nat. Holidays): 250,000 IDR (approx. 17 USD).
- Padar Entrance Ticket: 150,000 IDR (approx. USD 10).

Services fees:

- Retribution For Recreation & Sports: 100k IDR (approx. 7 USD).
- Komodo Ranger Fee: 120,000 IDR per group up to 5 people (approx. 8 USD).
- Komodo Hiking Fee: 5,000 IDR (approx. 0.30 USD).
- Komodo Wildlife Observation Fee: 10,000 IDR (approx. 0.70 USD).

The park pass that that allows to admire the highlights of the Komodo National Park costs IDR 500,000 (approx. USD 35) per person and is valid for one day.

These ticket prices are current as of 2021, but they seem to increase every year (source: The World Travel Guy website)[8].

At this stage, no other information regarding entry and services fees in Wae Wuul Nature Reserve, Wolo Tadho Nature Reserve, Riung Nature Reserve, Tujuh Belas Pulau Nature Recreation Park is available.

Uner the Labuan Bajo large tourism initiatives, the Labuan Bajo Care for Water Entrepreneurs Association (Asosiasi Pengusaha Peduli Air Labuan Bajo) has piloted payment for ecosystem services (PES) in 2020. The 28 companies under the association are committed to allocate portion of their profit to support upstream area conservation to secure long-term water sustainability

3.3 Overall considerations and discussion

3.3.1 Analysis of current biodiversity finance framework

Protected areas in the target landscapes-seascapes have no specific biodiversity finance tools and the PPG team could collect only limited information on the annual budgets, during the preparation of the baseline METT assessments. The tables below include:

- Some basic information on the annual budgets for the five PAs;
- The financial needs assessment, based on the budget for the work plan included in the management plan of TBPNRP.

[8] https://theworldtravelguy.com/komodo-island-indonesia-komodo-national-park-dragon-tour/#Entrance_Fee

Table 1 - Annual Budget of the protected areas in the North and West Flores landscapes-seascapes

Name of Protected Area	Marine area (ha)	Terrestrial area (ha)	Total Size (ha)	Annual budget (USD) for recurrent costs – excluding staff salary costs	Annual budget (USD) - Staff salary costs	Total annual budget (USD) - Recurrent expenses and Staff salary costs	Annual budget (USD) for investments – excluding staff salary costs	Total Annual Budget (USD)	Annual Budget (USD/ha)
Wae Wuul Nature Reserve		1 485	**1 485**	6 144	29 918	36 062	3 483	39 545	**26,63**
Wolo Tadho Nature Reserve		4 017	**4 017**	6 144	25 644	31 788	3 483	35 271	**8,78**
Riung Nature Reserve		416	**416**	6 144	25 644	31 788	3 483	35 271	**84,75**
Tujuh Belas Pulau Nature Recreation Park		7 303	**7 303**	6 144	25 644	31 788	3 483	35 271	**4,83**
Komodo National Park*	132 572	40 728	**173 300**			1 068 667	567 993	1 636 660	**40,19**
Total	132 572	53 949	**186 521**	24 576	106 851	1 200 094	581 925	1 782 019	**33,03**

**Staff salary costs for Komodo National Park are included in the other costs*

Estimations based on the baseline METT assessments.

Table 2 – Financial need assessment (budget) for the TBPNRP

Strategy	Activity	Indicative Budget Requirements (IDR)	Indicative Budget Requirements (USD)
Identification of potential natural resources of plant and wildlife within TBP-MNP Area	Inventory of potential and permanent plot construction for monitoring the coral reefs and seagrass ecosystems	Rp 50.000.000	$ 3.486
	Inventory of potential fish species	Rp 50.000.000	$ 3.486
	Inventory of potential and permanent plot construction for mangrove monitoring	Rp 50.000.000	$ 3.486
	Inventory of potential terrestrial flora	Rp 35.000.000	$ 2.440
	Inventory of potential bird species	Rp 35.000.000	$ 2.440
Management of potential natural resources of plants and wildlife within the TBP-MNP Area	Monitoring the aquatic ecosystem (mangrove, seagrass and coral reef)	Rp 50.000.000	$ 3.486
	Monitoring the Komodo Dragon population and its preys	Rp 40.000.000	$ 2.788
	Monitoring the aquatic ecosystem (seagrass and coral reef)	Rp 50.000.000	$ 3.486
	Monitoring mangrove ecosystem	Rp 35.000.000	$ 2.440
	Development of habitat and population	Rp 35.000.000	$ 2.440
	Control of exotic and invasive species	Rp 35.000.000	$ 2.440
Area protection and security	Land security patrol	Rp 15.000.000	$ 1.046
	Marine security patrol	Rp 18.000.000	$ 1.255
	Raising awareness to prevent logging, bombing, fish poisoning, encroachment and hunting	Rp 15.000.000	$ 1.046
Development of Potential Environmental Services and Nature Tourism	Identification of the Potential Development of Environmental Services and Nature Tourism	Rp 30.000.000	$ 2.091
	Analysis of the condition and feasibility of the ecosystem for the development of coastal and marine ecotourism	Rp 35.000.000	$ 2.440
	Socio-economic feasibility analysis, construction of institutional and regional facilities for ecotourism development	Rp 35.000.000	$ 2.440
Promotion for ecotourism business development	Ecotourism promotion	Rp 50.000.000	$ 3.486
	Development of ecotourism packages	Rp 20.000.000	$ 1.394
Construction of management facilities to support ecotourism development	Construction of Information Centres	Rp 750.000.000	$ 52.283
	Jetty Construction	Rp 500.000.000	$ 34.855
	Gate Construction	Rp 250.000.000	$ 17.428

Strategy	Activity	Indicative Budget Requirements (IDR)	Indicative Budget Requirements (USD)
	Ticket booth construction	Rp 100.000.000	$ 6.971
	Warning signs production	Rp 30.000.000	$ 2.091
	Viewing tower construction	Rp 500.000.000	$ 34.855
	Shelter construction	Rp 500.000.000	$ 34.855
	Construction of waste disposal facilities	Rp 35.000.000	$ 2.440
	Sanitation facility construction	Rp 80.000.000	$ 5.577
	Water installation construction	Rp 150.000.000	$ 10.457
Tourism manager capacity building	Establishment of cooperation/community groups providing tourism services	Rp 15.000.000	$ 1.046
	English training and natural resource interpreter for naturalist guide and area managers	Rp 40.000.000	$ 2.788
	Merchandise production training	Rp 30.000.000	$ 2.091
Strengthening and developing buffer zones with the concept of a tourism village/conservation village	Identification of potential natural tourist attractions and supporting village infrastructure	Rp 25.000.000	$ 1.743
	Analysis of planning and development aims of buffer villages	Rp 30.000.000	$ 2.091
Coordination of the parties in the management of the TBP-MNP Area	Identification of stakeholders and partners with an interest in TBP-MNP	Rp 15.000.000	$ 1.046
	Cooperation development/management collaboration	Rp 15.000.000	$ 1.046
	Meeting and synchronization of stakeholders, partners and managers	Rp 10.000.000	$ 697

Source: Management Plan

The total budget for the TBPNRP is USD 261 971, equivalent to average USD 26 197/year, or about 9 USD/ha/year.

The parameters found in the budget of the TBPNRP were scaled up to the other protected areas, assuming:

- For the investments, the same average expenses multiplied by a weighting factor (equivalent to expenses for investments of the n PA/ expenses of investments of the TBPNRP);
- For recurring expenses and salaries, the current costs incremented by 25% (value estimated on an expert-based approach, considering that during the COVID-19 pandemic the government reduced the budget allocation and the future additional costs needed to increase the level of recurrent management and follow-up the investments).

Table 3 – Financial need assessment for the five PAs

Name of Protected Area	**Weighting factor**	Annual needs (investments, USD)	Annual needs (current expenses, USD)	Total Annual needs (USD)	**Average annual needs (USD/ha)**
Wae Wuul Nature Reserve	6	29 371	45 078	74 449	**50,14**
Wolo Tadho Nature Reserve	2	26 197	39 735	65 932	**16,41**
Riung Nature Reserve	18	26 197	39 735	65 932	**158,42**
Tujuh Belas Pulau Nature Recreation Park	1	26 197	39 735	65 932	**9,03**
Komodo National Park*	2	1 215 594	1 335 834	2 551 428	**14,72**
Total		1 323 557	1 500 118	2 823 675	**15,14**

Source: estimates provided by the author, based on existing available data

It is worth noting that during the COVID-19 pandemic the government has reduced the budget allocation for ministries. This has impacted the protected area management budget and so, before the pandemic, PAs could have had more financial resources.

These analyses and results will be updated and revised during the implementation phase of the project, once more detailed, consolidated and updated baseline data are available.

3.3.2 Barrier and gap analysis

Considerations on the main barriers

The first barrier is related to the lack of financial and business approaches to biodiversity conservation and PAs management. Most of the PAs in Flores have no management plan and specific biodiversity finance tools, e.g., financial and business plans. The only existing instrument is the annual budget, often not clearly linked to the conservation needs and management and conservation activities.

The main consequence of this finding is that the biodiversity finance approach to conservation and PAs activities is underdeveloped. For example, "*the entry fee to a national park or nature reserve does not reflect the value of scarcity of the resources in it and the entry tickets are very cheap (as low as USD 1/person) hence the funds collected are not able to cover operations and conservation activities*"[9]. A combination of market approaches and financial/business instruments is needed.

Then, as showed above, a significant financial gap (+60% of the current available resources) is estimated. The lack of financial resources makes it harder to achieve conservation goals.

Finally, the lack of sustainable economic growth in and around the project sites is a barrier, as communities are not incentivized to adopt biodiversity-friendly activities to support conservation.

Some considerations and lessons can also come from other GEF projects, as described above. Sustainable financing tools often require time to be conceived, designed, adopted and implemented. Especially for those involving the private sector, a long preliminary phase of engagement is required; ownership of financing options should be promoted among public and private stakeholders; international experiences, as well as lessons learnt from the mid-term review of the UNDP-GEF project **Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran landscapes** suggested that it's better to work on separated and independent plans, under a common framework defined by the project. The framework should be limited to provide common guidelines and promote coordination for common issues and key-elements; then, each PA should have its business plan, developed under a single process.

The COVID-19 pandemic is another significant barrier to the implementation of the designed financing mechanism, partly because the numbers of tourists visiting Flores significantly dropped during the pandemic and this implies less opportunities in terms of incomes from financing mechanisms, for instance the protected areas entry fees

Gap analysis

A specific and detailed gap analysis based on available financial resources and needs cannot be carried out at this stage. This is due to the lack of PAs financial and business plans, PAs management plans and to the fact that the budget of the SRAK has not been prepared.

The financial gap analysis is therefore based on some basic parameters, to provide a general idea of the biodiversity finance framework in the target landscapes-seascapes.

The total gap is estimated by subtracting the financial needs from the resources available.

Table 4 – Results of the gap analysis for the five PAs

Name of Protected Area	Total Annual Budget (USD)	Annual Budget (USD/ha)	Total Annual needs (USD)	Average annual needs (USD/ha)	Total gnnual Gap (USD)	Total annual average gap (USD/ha)
Wae Wuul Nature Reserve	39 545	26,63	74 449	50,14	34 904	**23,51**
Wolo Tadho Nature Reserve	35 271	8,78	65 932	16,41	30 661	**7,63**
Riung Nature Reserve	35 271	84,75	65 932	158,42	30 661	**73,67**

[9] PIF

Name of Protected Area	Total Annual Budget (USD)	Annual Budget (USD/ha)	Total Annual needs (USD)	Average annual needs (USD/ha)	Total gnnual Gap (USD)	Total annual average gap (USD/ha)
Tujuh Belas Pulau Nature Recreation Park	35 271	4,83	65 932	9,03	30 661	**4,20**
Komodo National Park*	1 636 660	9,44	2 551 428	14,72	914 768	**5,28**
Total	1 782 019	9,55	2 823 675	15,14	1 041 655	**5,58**

Source: estimates provided by the author, based on existing available data

The average total gap (USD 5.58 /ha/year) represents about 58% of the estimated average current annual budget (USD 9.55 /ha/year), or the available resources amount to about 63% of the financial needs. This result is not surprising as available financial resources for biodiversity at the national level amount to about 6% of the total national budget (BIOFIN Indonesia, 2018).

In summary, the main gaps regarding the approach to conservation finance are:

- Lack of specific conservation finance tools (financial and business plans) and, consequently, uncertainty about conservation financial needs and available resources.
- Lack of skills and experience in conservation finance at the local level.
- Low level of interaction and synergies between biodiversity conservation measures and local development activities.

3.3.3 Feasibility of biodiversity finance mechanisms and tools for IN-FLORES

In this section, some preliminary key-elements for the feasibility of biodiversity finance mechanisms and tools are introduced. A detailed and well-defined analysis and results will be developed during the project implementation.

In this discussion, the term feasibility refers to the opportunity to adopt the analysed mechanisms under the project activities.

The first step of this analysis is a screening to identify the mechanisms that fall outside the scope of the project. These mechanisms, that will not be considered in the feasibility analysis, are:

- Ecological Fiscal Transfer;
- Wastewater fees and penalties;
- Debt for Nature Swap;
- Climate finance tools.

Climate finance mechanisms, developed by other projects and initiatives, could be followed-up by the IN-FLORES project, establishing networking with the competent entities, to exchange information and avoid duplication of activities. Then, stakeholders involved in the IN-FLORES project could be supported and encouraged to consider climate finance initiatives.

The other mechanisms are analysed considering, when applicable, the financial, environmental and social perspectives.

<u>Islamic funds (Zakat, Infaq, Shadaqah, Waqf)</u>

Zakah, Infaq, Shadaqah and Waqf (ZISWA) are philanthropic instruments mostly used in Muslim-dominated regions, but also in other sites. The native people of Flores are mostly catholic Christians, whereas most other Indonesians are Muslims. This does not exclude the use of these instruments in Flores.

In short, zakat is an obligation while infaq, shadaqa and waqf are more voluntary.

Philanthropic instruments are typically based on the willingness to pay of potential donors, in this case Muslim people. At this stage it's not possible to assess the willingness of the Muslim community and of single individuals to provide funds, but this should not represent an issues due to the great potential of these mechanisms. In any case, the feasibility of these mechanisms should be assessed in detail at the beginning of the project implementation.

Islamic social funds can be used in the selected landscape to financially support the implementation of specific community empowerment and conservation actions in the forests, promoted by the project. The project, during its implementation, could promote specific agreements between BAZNAS, local communities and key-players in conservation and forests management, to facilitate the financial support of the Islamic funds to social forestry initiatives . Guidelines, orientations and best practices from other experiences in Indonesia should be considered.

Then, considering the opportunity to use them in other sectors (food sovereignty, social inclusion, maritime affairs), Islamic social funds could be used to support actions aimed at mainstreaming conservation into agriculture and fisheries, in the selected landscapes and seascapes.

It's also important to underline that Islamic social funds are based on the principles of equal distribution of wealth, support to poor people and general improvement of welfare. Then, these financial resources could also be used for the continuation of these actions after the IN-FLORES closure, to contribute to the overall social, financial and environmental sustainability of the project

Corporate Social Responsibility (CSR)

CSR will be promoted under many activities of the project. Under the umbrella of the CSR approach, private companies will:

- Adopt biodiversity-friendly business models[10];
- Adopt CSR systems, in favour of workers and local communities, with special attention to indigenous people and gender;
- Provide financial support to conservation, in cash (donations to NGOs, PA's and other entities working in conservation in the selected OECMs and PA's) or in-kind, by realizing mitigation or conservation measures in and around their locations, accordingly to the project's orientation.

This mechanisms is highly relevant for the selected landscapes-seascapes and for the project and can provide significant positive social and environmental impacts.

Green Sukuk

The project can promote the emission of specific Green Sukuk certificates to fund conservation activities in the targeted landscapes. Considering the current trends of this mechanism in Indonesia, the results can be promising. Green Sukuk is feasible in terms of financial, social and environmental impacts.

Crowdfunding

Crowdfunding cannot be considered as a priority mechanism to finance conservation measures in Flores. In any case, it has no negative impacts on environmental and social aspects.

During project implementation, crowdfunding could be considered as a "side" initiative to finance specific conservation measures, mostly those related to the Komodo dragon, a flagship species that can attract attention from the public and raise awareness of the importance of its conservation.

Environmental Fund

The project should promote a long-term agreement (at least 10 years) between BLU, key conservation players (NGOs, PAs, etc.), local authorities, local communities and the private sector where the Environmental Fund will guarantee continuous financial support to conservation activities, to cover:

- recurrent expenses, on the basis of generic parameters (interested areas, number of workers, budget for recurrent expenses, etc.);
- investments, on the basis of specific projects, initiatives and conservation measures included in the PAs and OECMs management plans.

The recipients of these financing sources will be the key conservation players (protected areas managers and staffs, NGOs, other public entities devoted to conservation, etc.).

The agreement should also include support from LPDB and LPMUKP to those development and livelihood activities managed by local communities and the private sector which are envisaged to adopt biodiversity-friendly approaches. These approaches, which are part of the general conservation strategy, will be integrated into the conservation measures to be designed.

[10] For more details you can see Annex 20 to the Project Document

Local authorities are expected to facilitate implementation of the fund by providing support in terms of public services and facilities, as well as by adopting, where possible and applicable, biodiversity-friendly approaches.

The intervention of the Environmental Fund shall be considered a priority mechanism, with significant positive social and environmental impacts.

Komodo Dragon Protection Fund

During a consultative PPG-phase meeting, the establishment of a Conservation Trust Fund (CTF), the Komodo Dragon Protection Pooled Fund (which is an activity under the Output 2.5) under the IEF, was proposed. On the basis of this proposal, this Fund could generate revenues from activities under Outputs 2.3 (Biodiversity-friendly livelihood and business enterprise ventures strengthened and developed for the community-based OECMs in the North and West Flores landscapes, with a particular focus on vulnerable communities including those affected by the COVID-19 pandemic) and Output 2.4 (Ecotourism capacities and offerings strengthened to enhance conservation of the Komodo dragon and other globally threatened species and to contribute to the achievement of sustainable development in the North and West Flores landscapes). Key-players (particularly the private sector) that will benefit from activities under Outputs 2.3 and 2.4, could devolve part of their revenues to the Fund.

A conservation trust fund is an innovative biodiversity finance tool[11]. It can be an important element of a conservation sustainable financing portfolio.

In any case, a specific feasibility study should be conducted at the beginning of the implementation phase, to assess costs, benefits, risks and impacts and to identify the standards and key-elements needed to establish, operationalize and capitalize the Fund.

At this stage it is not plausible to assess the feasibility of this Fund, but some risks should be taken into account:

- The international standards for CTF recommend that ratio management costs of the CTF/capital stay below 20%. This parameter (20%) is high if compared with other financial institutions dedicated to environmental protection and/or conservation. In any case, assuming this parameter is reasonable, this Fund should raise a large amount of capital in the short term to achieve this target in a reasonable time.
- At this stage potential funding entities are not engaged in capitalizing the Fund due to difficulties in mobilizing a sufficient capitalization at the beginning of the implementation phase; moreover, in the current conservation finance environment, the number of potential recipients is going to increase, with possible implicit competition. This risk depends on external factors, and it's objectively not easy to raise large amounts of donations in the short term.
- New CTF are often established with specific initiatives (for instance: an entire GEF project[12] or a dedicated component[13]). This is a task that needs significant resources in terms of human resources, stakeholders engagement, marketing, financial resources for the start-up phase.
- Revenues from Outputs 2.3 and 2.4 could be low and insufficient to justify the establishment and capitalization of a specific Fund.

The eventual prioritization of this mechanism will be established at the beginning of the implementation phase. An alternative to the establishment of a new CTF is the creation of a specific "financial window" in the IEF, specifically dedicated to the Komodo Dragon conservation in the target landscapes.

Bioprospecting

Despite technical guidelines for access to genetic resources, including Access and Benefit-Sharing (ABS) from wild species, exist in Indonesia. ABS mechanisms are not part of the IN-FLORES project; however, such mechanisms could be considered separately in the target landscapes-seascapes.

Payments for Ecosystem Services (PES)

PES can include a broad range of initiatives in many fields.

[11] For more information, guidelines and standards can be found at the webpage of Conservation Finance Alliance https://www.conservationfinancealliance.org/cfa-publications

[12] For instance: the "Long-term financial mechanism to enhance Mediterranean MPA management effectiveness" GEF Project, which established, operationalized and capitalized the MedFund

[13] For instance, the "Sustainable financing of protected areas in Mozambique", which established, operationalized and capitalized the BIOFUND under Component 3

In the target landscapes-seascapes, two types of PES can be considered: 1) watershed PES and 2) habitat conservation PES.

Considering the current initiative on water resources in Labuan Bajo[14], watershed PES may be scaled up and replicated in other places in the landscapes-seascapes. PES could be associated with tariffs, fees and taxes for water.

Watershed PES should be based on the conservation of catchment areas to ensure and maintain water resources quality and quantity, versus the payment of monetary compensation to the local communities and conservation authorities which manage these areas. Such a mechanism could also be linked to the watershed management initiative managed by the MoEF throughout Indonesia.

The proximity to human settlements is one of the negative effects on Komodo dragon habitat occupancy. Then, habitat loss, illegal poaching and guarding of livestock can be considered additional root causes to low habitat occupancy (Ariefiandy et al., 2021). Habitat conservation PES could help prevent, halt and reverse these root conservation issues. This type of PES can be based on three main measures:

- Protection, conservation, restoration and adoption of sustainable practices in natural and semi-natural habitats;
- Set-aside, restoration and adoption of sustainable practices in agriculture land use and agro-forestry ecosystems;
- Banning of new settlements and of expansion of existing urban areas and villages.

The adoption of these measures should be compensated using funds coming from other mechanisms, public funds or domestic or international donors. Moreover, public institutions could incentivize the adoption of these practices by reducing taxes and fees for their owners and managers.

The project should orient and support the design, adoption, implementation and monitoring of these PES mechanisms. Stakeholder engagement will be crucial for the success of these initiatives. A complete and detailed feasibility study of the PES schemes will be conducted during the implementation phase, under the outputs 2.1, 2.2 and 2.3.

PES can have significant positive impacts in terms of water resources management, ecosystems conservation, ecosystem services maintenance and financial contribution to conservation.

Tariffs, fees, taxes for water

The same considerations made for the watershed PES are valid for this group of mechanisms.

Tariffs, fees, taxes for water can be introduced or modified to raise funds to feed the PES and so financially compensate the catchment areas owners and managers.

Tariffs, fees and taxes in the tourism sector and commercial advertising

This group includes mechanisms related to tourism and protected areas.

The Komodo National Park, the most important in the project area, has a complex ticket system, as reported in Section 3.2.2 of this annex.

The ticket system could be revised during the implementation. Specific attention should be given to the potentially negative effects on biodiversity, due to the potential impact of visitors. A limited number of daily entrances will be established to avoid excessive interference and negative impacts. The project will also assess the willingness to pay to establish the entry and services fees, considering a balance between the maximum daily number of visitors and carrying capacity and the willingness to pay.

The project could support the revision of entry fees and services fees, under the elaboration of PAs financial and business plans.

Advertising and marketing campaigns can be also promoted and supported by the project.

Rare species fees

Rare species fees can be considered as part of the group of mechanisms related to tourism and protected areas.

[14] Labuan Bajo Care for Water Entrepreneurs Association (Asosiasi Pengusaha Peduli Air Labuan Bajo) has piloted payment for ecosystem services (PES) in 2020

Rare species fees can be designed and adopted with reference to the Komodo dragon. The opportunity to introduce a specific access fee to areas where the sighting of Komodo dragon individuals is easier will be assessed during the implementation.

Specific attention should be given to the potentially negative effects on biodiversity, in general, and on the Komodo dragon, due to the potential impact of visitors. A limited number of daily entrances would need to be established to avoid excessive interference and negative impacts. The project will also assess the willingness to pay to establish the rare species fees, considering a balance between the maximum daily number of visitors and carrying capacity and the willingness to pay, under the development of PAs' business plans (Output 2.2).

Rare species fees shall be considered under the entire system of mechanisms related to tourism and protected areas.

The project could support the revision and introduction of specific rare species fees, under the elaboration of PAs financial and business plans.

Biodiversity offset

The project could promote the design, adoption and implementation of biodiversity offset schemes linked to large infrastructure investments being developed in Labuan Bajo.

Stakeholder engagement will be crucial for the success of these initiatives. Complete and detailed feasibility of the biodiversity offset schemes will be elaborated during the implementation. They shall have to strongly consider the weaknesses and risks showed in the paragraph 3.1.17 on biodiversity offset.

Guarantee loans

During the consultative meeting the team met local banks to jointly assess the opportunity to activate guarantee loans under the project implementation.

Currently local banks, supported by the government, are subsidizing the interest rate and so they are able to apply a rate around 6%, cheaper than the rate usually applied (more than 10%). If the project will introduce guarantee loan, the consequence will be lower interest rates (<6%). It would incentivize the debtors from the community to extend the period for loan reimbursement, increasing the non-performing loans. So, this mechanism seems to be not feasible.

The table below provides a preliminary estimation of the feasibility of the considered conservation finance mechanisms. During the implementation, feasibility and prioritization shall be updated and detailed, mostly under the activities 2.1.1, 2.1.2, 2.1.3, 2.2.1, 2.2.4.

Feasible (F)	Partially feasible (PF)	Not feasible (NF)

N/A: Not Assessed or Unable to Assess

Mechanisms	**Financial Feasibility**	**Environmental Feasibility**	**Social Feasibility**
Islamic funds (Zakat, Infaq, Shadaqah, Waqf)	F	F	N/A
Corporate Social Responsibility (CSR)	F	F	F
Green Sukuk	F	F	F
Crowdfunding	F	F	F
Environmental Trust Funds	F	F	F
Komodo Dragon Trust Fund	N/A	N/A	N/A
Bioprospecting	N/A	N/A	N/A
Payments for Ecosystem Services	N/A	F	N/A
Tariff, fees, taxes for water	N/A	F	N/A
Tariffs, fees and taxes in the tourism sector and commercial advertising	F	PF	N/A
Rare species fees	F	PF	N/A
Biodiversity offset	N/A	N/A	N/A
Guarantee loans	NF	N/A	N/A

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Annex 20. Baseline report and recommendations on biodiversity-friendly businesses

Prepared by: Giacomo Cozzolino

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID**: 10728

Table of Contents

1 Introduction and Background 2

2 Approach and methodology 2

3 Findings and results 2

3.1 Desk analysis 2

3.1.1 Existing types of associations that can be potentially involved in biodiversity-friendly approaches in Indonesia 3

3.1.2 Examples of business sustainability initiatives and biodiversity-friendly approaches in Indonesia 3

3.1.3 Examples of financial programs and means to support the local development 10

3.2 Preliminary findings from the PPG phase 12

3.2.1 Economic activities in the project sites 12

3.2.2 The Labuan Bajo tourism programs 12

3.2.3 Existing financing mechanisms in the project area 13

3.3 Overall considerations and discussion 13

3.3.1 Barrier and gap analysis 13

3.3.2 Strategy and feasibility of biodiversity-friendly businesses 14

4 References 19

1 Introduction and Background

This annex presents a baseline report and recommendations on biodiversity-friendly businesses in the target landscapes-seascapes. The main objectives of this report are to:

- Identify the main elements of the feasibility on biodiversity-friendly businesses and the business development pathway for potential enterprises in the Flores landscape/seascape;
- Provide a preliminary private sector investment plan and strategy for increasing responsible private sector investment and suggested guidelines for tourism and other potential economic sectors;
- Make recommendations on how to strengthen existing finance mechanisms and/or develop new appropriate financing tools for the project, with a special focus on the involvement of the private sector and other potential players.

The report includes:

- A description of the main types of businesses to be financed under loan schemes, including selective breeding programs, ecotourism-based operations, organic farming, mariculture and seaweed culture, cottage industry and others;
- An assessment of the loan guarantee mechanisms to encourage participation of banks in lending to local businesses;
- A preliminary list of investment criteria and guidelines.

2 Approach and methodology

This report was prepared considering:

- A desk review of existing online data and materials, information and literature collected during the mission to Flores and those provided by the team and UNDP;
- The results of the consultative meetings with the relevant stakeholders, during the mission to Flores;
- Consultations with the PPG team leader and other specialists, as well as UNDP representatives.

The desk review considers some relevant documents from other initiatives on sustainable financing of the private sector in Indonesia and international practices and examples on sustainable livelihood activities.

National consultants from Burung conducted field missions to collect information and documents, also related to biodiversity finance and the engagement of the private sector to adopt biodiversity-friendly approaches.

More details on the stakeholder engagement can be found in Annex 8: Stakeholder engagement plan and Annex 9: Stakeholder consultations during the project preparation phase.

The main limitations of the analysis included in this report are:

- A lack of detailed and consistent financial data and information on private sector activities at the local scale.
- A lack of detailed socio-economic data for the villages included in the selected landscapes.
- Due to Covid pandemic constraints, there was only limited time available for a consultative meetings and the International Conservation Finance Consultant was unable to join the field missions.

3 Findings and results

3.1 Desk analysis

The desk analysis introduces the types of associations that could be potentially involved in the biodiversity-friendly approaches and includes some relevant documents from other initiatives on sustainable financing of the private sector in Indonesia and international practices and examples on sustainable livelihood activities, as well as a summary of the contents and evidence from the project concept stage (PIF and other sources).

3.1.1 Existing types of associations that can be potentially involved in biodiversity-friendly approaches in Indonesia

Village-owned Enterprises (Badan Usaha Milik Desa: BUMDes)

The Village-owned Enterprises or Village Business Unit (BUMDes) is a village business institution managed by the community and the village government to support the village economy. Law no. 32/2004 concerning Regional Autonomy states that villages can establish village-owned enterprises in accordance with the needs and potential of the village, to increase the village annual revenue, called PADesa (Department of National Education, 2007). The law was further complemented by government regulation no. 71/2005 to guide the establishment and operationalization of village business units. BUMDES can be financially supported by government's share, private investment and loans. An additional new regulation has stated that BUMDES is also eligible for bank credit. The village business can include (Department of National Education, 2007):

- Financial services businesses, transportation services businesses, village electricity, and other similar services businesses;
- Provision of staple food for the locals;
- Trading of agriculture product, including horticulture, livestock, fisheries, and agrobusinesses;
- Industry and handicraft.

In the context of the establishment and development of BUMDes, the Village Government acts as the dominant investor[1] and facilitates the establishment of the necessary policy to support the development of BUMDes. The Village Government also ensures that BUMDes has legal status as a business entity in accordance with applicable laws and regulations.

As an overview of the BUMDes within the project area is included in the Annex 21.

Cooperative

The cooperative is one of the oldest types of associations for profit purposes in Indonesia. The cooperative is not only a legal entity, but it is also considered as an idealized foundation of the country's economic system based on collectiveness. In this vision profit and risks are equally shared among members, so that no one shall be left behind in terms of benefit distribution. A list of cooperatives in the project area is included in the Annex 21.

Farmer group association (Gapoktan)

The association of farmer groups is a type of organization established during the new order regime. The most recent program supporting the Gapoktan was the agro-business development in rural areas (PUAP), which is part of the National Program for Rural Community Empowerment.[2] The program provides financial support to develop agriculture-based businesses and consists of 4 sub-systems, namely (Agriculture Ministry, 2010):

- The upstream sub-system, based on the means of agriculture production;
- The primary agriculture sub-system, that uses the means produced in the upstream sub-system;
- The downstream agro-business sub-system, which processes and markets agriculture commodities;
- The supporting sub-system represented by the other means needed for agriculture development, like capital and technology.

The PUAP financially supports farmers to have access to capital, as the conventional financial institutions are reluctant to grant loans to agriculture-based businesses, especially smallholders, due to their high risk profile.

3.1.2 Examples of business sustainability initiatives and biodiversity-friendly approaches in Indonesia

BRI Sustainability banking

PT Bank Rakyat Indonesia (Persero) Tbk (People's Bank of Indonesia, commonly known as BRI or Bank BRI), specialized in small scale and microfinance, is the Indonesian bank with the largest assets as of the end of

[1] There is no formulation of how much money must be allocated from the village budget to support BUMDes. However, information gathered from communities says that the Village Government generally allocates 50 – 100 million rupiahs to support business within BUMDes.

[2] PNPM Mandiri Perdesaan stands for National Program for Rural Community Empowerment. It is one of the community empowerment programs developed under the PNPM Mandiri and is coordinated by the Ministry of Village and Remote Area Development.

December 2019. BRI has become the leading bank in supporting sustainability following the issuance of the first Indonesian Sustainability Bond in 2019.

BRI has prepared and established the Sustainable Finance Action Plan, referred to as RAKB, as a guideline for Sustainable Finance implementation.

In March 2019, BRI issued a 5-year Sustainability Bond worth 500 million USD. The issuance was held at Singapore Exchange Securities Trading Limited (SGX-ST), which was one of the RAKB action and an alternative source of BRI's funding for sustainable project/activities financing. Sustainable projects/activities are financed by taking into consideration the efforts needed to achieve the Sustainable Development Goals (BRI, 2019).

The BRI Sustainability Report (BRI, 2019) includes the most important results in terms of financial sustainability:

- Kupedes (small credit program) loan disbursement to micro, small and medium enterprises has created jobs for more than 65,000 people;
- Indonesia's Guaranteed Microfinance Programme (KUR) , discussed below.
- Affordable housing was able to increase house ownership for low-income communities, mostly (45%) in Sulawesi and Maluku.
- Financing for clean transportation in three railway projects is expected to carry 84.5 million passengers per year with an estimated carbon emissions reduction of 8,950 tons of CO2.
- The financing of green building construction delivered environmentally friendly buildings with Platinum certification from the Green Building Council Indonesia.

GEF 7 Food Systems, Land Use and Restoration (FOLUR) Impact Program

FOLUR is a GEF global program targeting many countries, including Indonesia. In Indonesia, a child project titled "Strengthening sustainability in commodity and food systems, land restoration and land use governance through integrated landscape management for multiple benefits in Indonesia" is under implementation. The project promotes sustainable, integrated landscapes and efficient food value chains at local scale.

Component 1 is the "Development of integrated landscape management systems", Component 2 is the "Promotion of sustainable food production practices and responsible value chains", and Component 3 is "Conservation and restoration of natural habitats".

The Project issued the guidelines for private sector co-financing commitments. They include some criteria for the definition of eligible activities, that could be considered as an example of sustainable activities to be supported by these GEF projects.

Category	Illustrative examples of activities
Land use management and governance	– Investments in multi-stakeholder initiatives for sustainable land use and sustainable sector governance in palm oil, cocoa, coffee, rice – Land use monitoring and management (e.g. geospatial data, HCV/HCS mapping)
Responsible sourcing	– Investment relating to certification – Traceability systems – Research & development for more environmentally sustainable practices – Partnerships with academic institutions to develop more environmentally sustainable practices
Smallholder farmer support	– Farmer training – Farmer finance – Provision of farmer inputs – Support to farmer organizations and access to markets
Conservation and restoration	– Restoration of forests, peatlands etc. – Creation of wildlife corridors – Partnering with communities for the co-management of conservation and protection activities – Supporting voluntary set-asides of HCV and HCS forest – Financing for conservation and restoration
Community development	– Investment in local community development activities

Source: guidelines for private sector co-financing commitments, FOLUR child project in Indonesia

E-PASS GEF Project

The **Enhancing the Protected Area System in Sulawesi For Biodiversity Conservation** (E-PASS) GEF Project was implemented between 2015 and 2020 by UNDP and the MoEF.

The project promoted alternatives for livelihoods including alternative energy for those communities highly dependent on forest biodiversity. The project actions also included micro-grants.

Despite the fact that local communities are aware of the causes of deforestation and biodiversity loss, the E-PASS supported the communities in increasing their scientific knowledge and awareness of the importance of forest and biodiversity as well as their relationship with the ecosystem and other environmental issues, to encourage them to contribute to biodiversity conservation and forest protection.

Output 1.1 strengthened the capacity of the Ministry of Forestry to fully operationalise the "Resort Based Management (RBM)" system for its implementation in the national PA system, and particularly in Sulawesi's, , including all PA categories .

Output 1.5 included activity 1.1.5 establishment of incentive mechanism for resort-level innovation. Under this activity, the project achieved the following results:

- A resorts incentive mechanism was designed under the Regulation on the RBM Guidelines, but it was not implemented, as the Regulation was not approved.
- Small-scale grants assistance for community groups.
- The project has signed 46 community conservation agreements to implement conservation activities in the 3 project sites, and many of them have been supported in developing their micro small enterprises through these grants.

The Project's external evaluation recommended the following: "women focused income generation and leadership building programs should be included in the future project design".

Retrospective from USAID experience in Indonesia

USAID (2019) prepared a retrospective study reviewing the progress and challenges in USAID/Indonesia-funded terrestrial and marine-based projects.

The most important lessons learnt that are significant for the preparation of this Project in regard to sustainable financing, private sector engagement and a biodiversity-friendly approach in development activities, are:

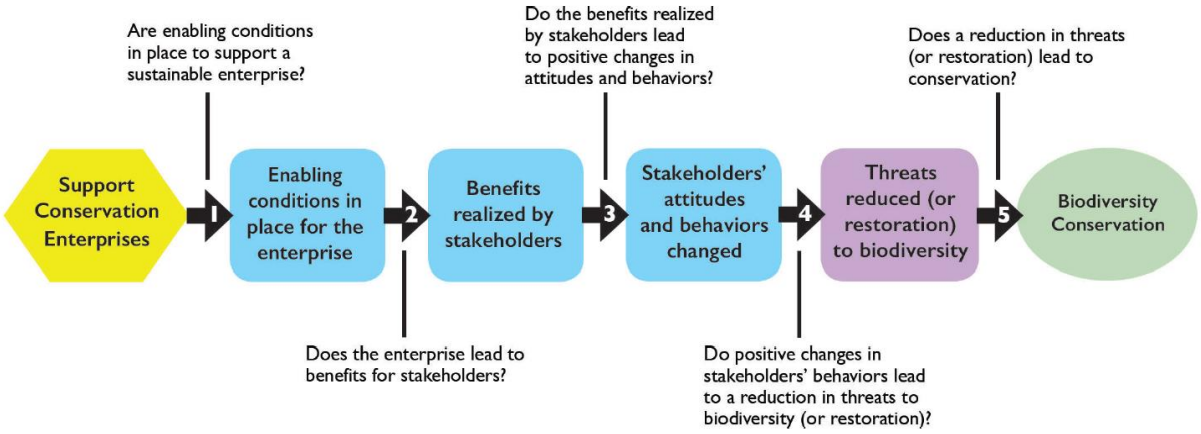
- The Orangutan Services Conservation Project (2007-2010): "Building and maintaining good relationships with key stakeholders and high-level government officials early in the project and during project implementation is critical; Capacity building is necessary for staff at lower levels of government and at the park level; Maintaining good communication and cooperation with civil society, local communities, law enforcement agencies, and media outlets helps with enforcement of law and regulations".
- Indonesian Forestry and Climate Support Project (2010-2015): "while landscape-focused interventions are more likely to include resource users and economic interests, the approach also may diffuse project resources over a broad array of activities, possibly lessening the project's impact".
- LESTARI Project on terrestrial natural resources management (2015-2020): "Without a system of incentives and disincentives aimed at lowering greenhouse gas emissions, provinces and other subnational entities will only engage in tangible climate change mitigation and/or leds opportunities on a voluntary basis". The same observation could be made regarding the system of incentives and disincentives for the adoption of biodiversity-friendly approaches with a long-term perspective.
- Build Indonesia to Take Care of Nature for Sustainability (BIJAK) Project (2016-2021): "Grant implementation. An important part of BIJAK's approach is implementing activities through grant-under-contract mechanisms. With the refocusing of the project at the end of Year 1, the development, redesign, and review of grants took longer than normal, which not only delayed the progress of activities, but also resulted in BIJAK losing some opportunities for making an impact". During the first implementation stage , it's important to define the strategy and to plan the private sector engagement, in order to avoid redesign and reviews of specific supporting activities and delays.

A number of USAID programs have supported conservation enterprises, including the Biodiversity Conservation Network (BCN), the Global Conservation Program, the Sustainable Conservation Approaches in Priority Ecosystems Program (SCAPES), TransLinks, the Forests, Climate, and Communities Alliance, the Central Africa Regional Program

for the Environment (CARPE) and others. Conservation enterprises provide income to participants through the production and sale of goods and services such as ecotourism, beekeeping, and crafts (USAID, 2017).

Conservation enterprises could be promoted under this GEF Project.

USAID proposes a theory of change, with a value chain explaining the logical relationships between conservation enterprises and biodiversity conservation.



Source: USAID, 2017

USAID (2017) also provides a set of assumptions, lessons and recommendations coming from its past initiatives to support the conservation enterprises. They could be used as guidelines for the project's activities regarding the support and promotion of biodiversity-friendly businesses and include the following topics[3]: profit potential, market demand for services and products, established business alliances and partnerships, access to credit or capital, regulatory compliance and legal frameworks, constituency- and awareness-building, adequate regulation and enforcement of outside users, effective governance, skills, knowledge, and equipment, benefit distribution, resources use rights, diversified livelihoods, positive changes in attitudes and behaviors, reduction in threats to biodiversity (or restoration), reduction in threats (or restoration) lead to conservation.

Financial Flows in the Gunung Tarak Landscape

The Gunung Tarak Landscape is located in Ketapang and Kayong Utara regencies, West Kalimantan Province, Indonesia. It covers seven districts in Ketapang and two of the five districts of Kayong Utara. There are 72 villages. The area of the landscape covers approximately 500,000 ha; the regencies have respective areas of 3,100,000 and 460,000 ha (Rossanda et al., 2020).

The landscape includes four nearly contiguous forested areas, which cover 40% of the landscape:

- Gunung Palung National Park (108,000 ha);
- Gunung Tarak (Watershed) Protection Forest (24,000 ha);
- Sungai Putri Peat Swamp Forest (59,000 ha); and
- Pematang Gadung Village Forest (15,000 ha).

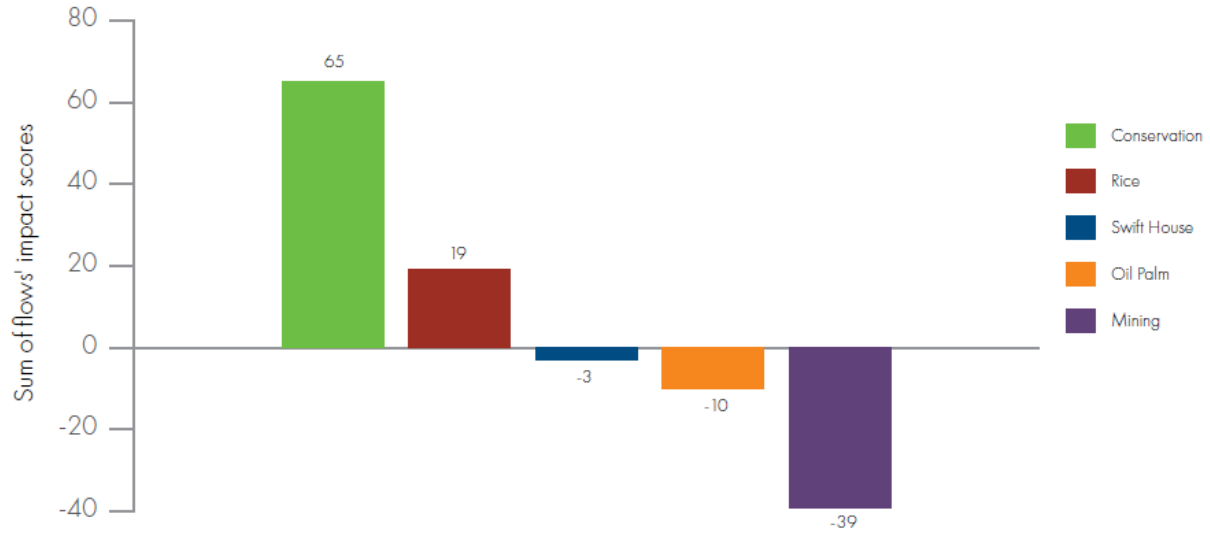
The area is important for the conservation of the Orangutan.

The most important economic activities in the area are rice cultivation, swift nest production, oil palm production and mining. These activities and the conservation and sustainable use of forests activities benefitted of financial initiatives.

A landscape assessment of financial flows was carried out, on the basis of focal group discussions. *"The conservation sector is considered to positively contribute to the landscape goals, while the mining sector shows no financial flows with an overall positive score. The oil palm sector also has a very negative impact on the landscape. The rice sector flows exhibit overall positive impacts, but as pointed out in the results section this is mostly due to these flows benefiting local people economically"* (Rossanda et al., 2020). The figures below show some of the most important results of the assessment.

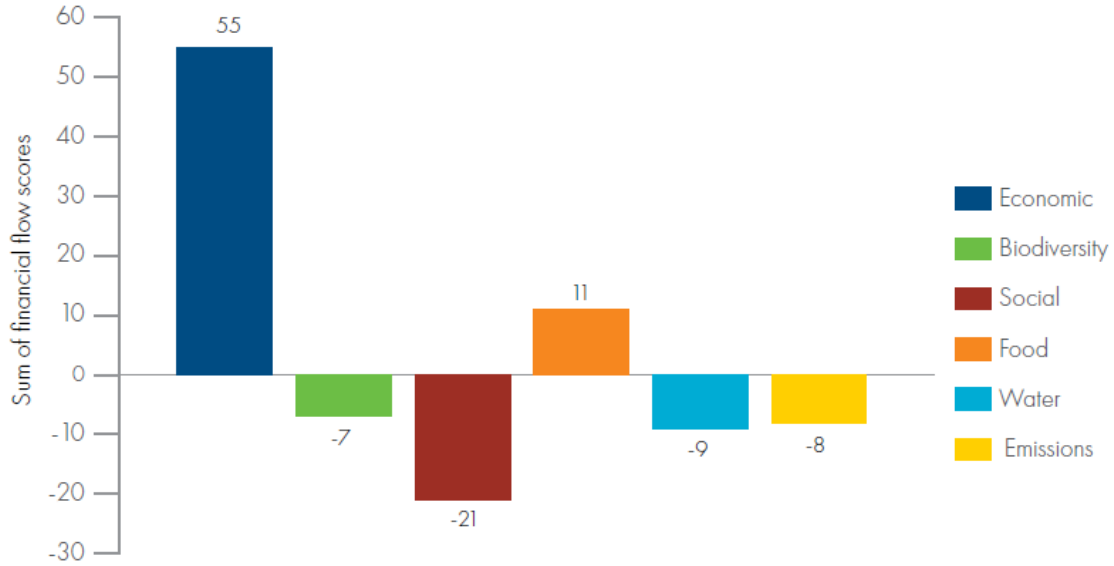
[3] USAID document includes six pages of assumptions, lessons and recommendations; so, for the full text, please refer to the document.

Figure 9: Sum of the impact scores adjusted for 10 assessed financial flows per sector[13]



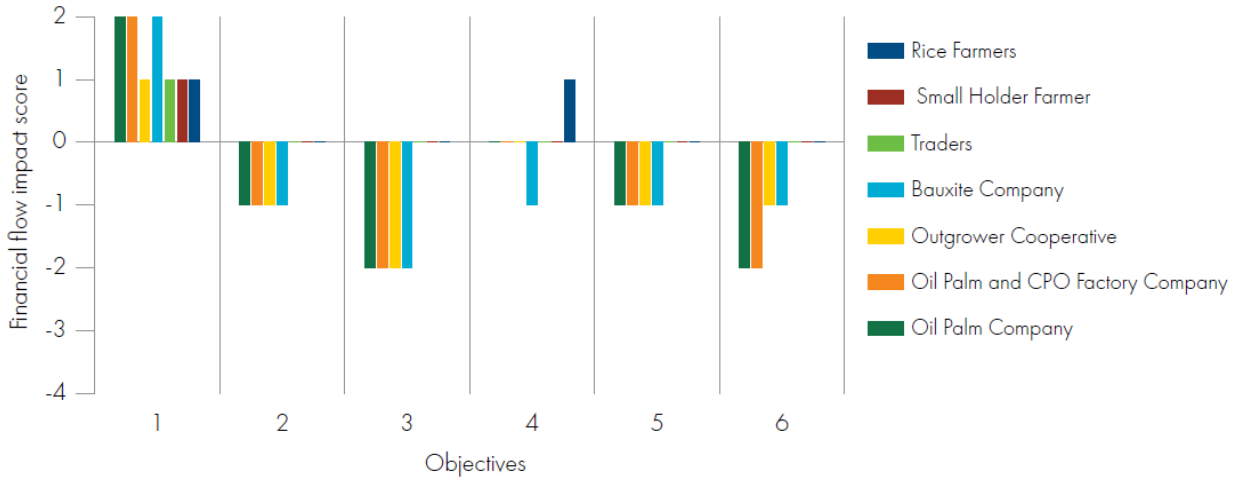
Source: Rossanda et al., 2020

Figure 10. Financial flow impacts on landscape objectives



Source: Rossanda et al., 2021

Figure 11. Impacts on landscape objectives of all financial flows originating from banks to different actor groups in the different sectors analyzed.



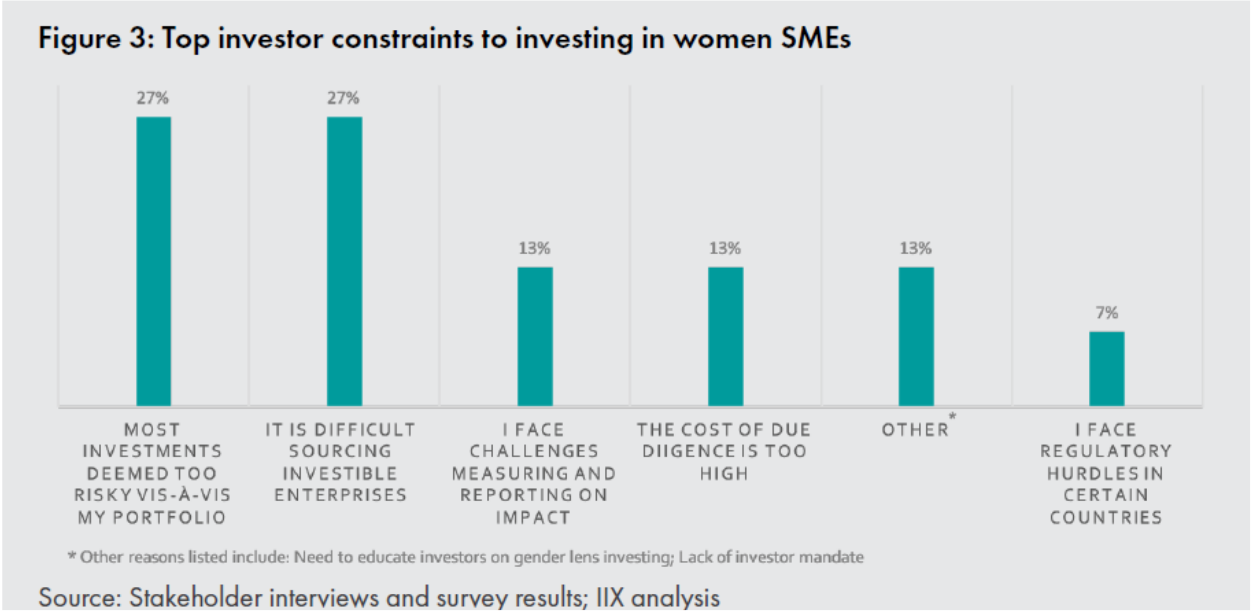
Source: Rossanda et al., 2020

In conclusion, "it is still clear that private-sector flows within and into landscape, such as those from banks, are much larger than public flows. These privately sourced funds are perceived to pose a much more negative impact on the landscape goals. Financial flows originating from public sources have only positive or neutral impacts on landscape objectives. Almost all the assessed financial flows — both private and public — are perceived to have positive impacts on local economic development. Such strong positive impacts can potentially distract people from noticing the negative aspects of those flows" (Rossanda et al., 2020)

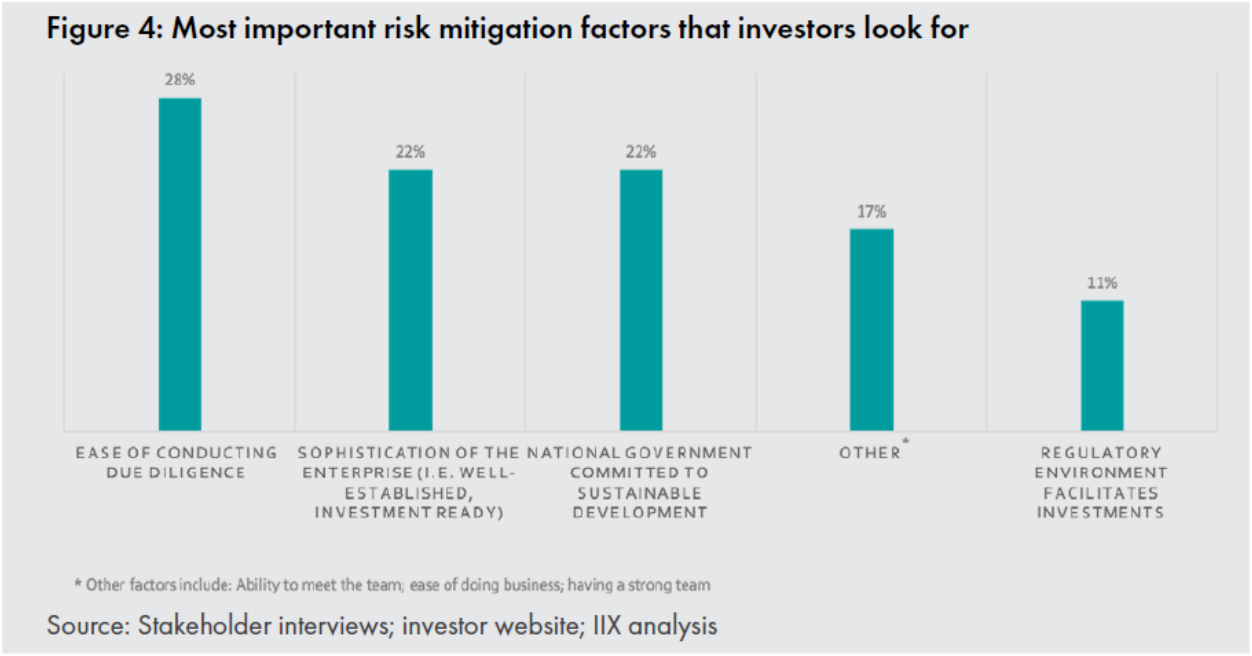
Case Studies on Innovative Financing Mechanisms for gender empowering in Indonesia

An Impact Investment Exchange paper (IIX, 2021) includes two case studies of sustainable financing mechanisms for gender empowering in the Country, i.e. the Impact Partners Crowdfunding Platform and the Women's Livelihood Bond Series.

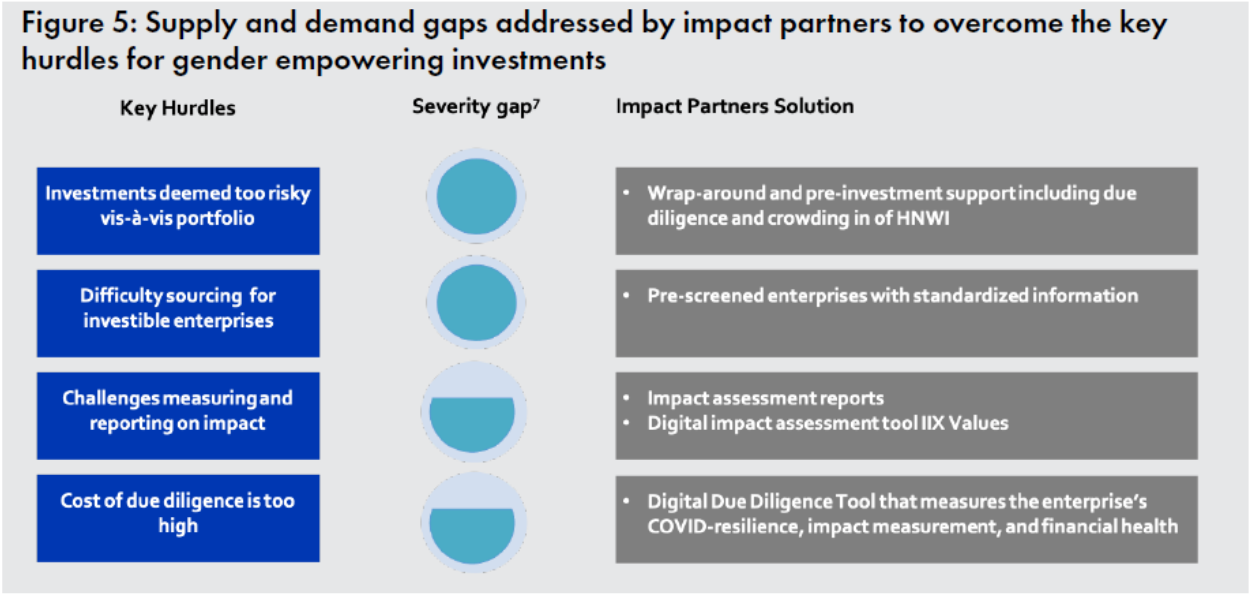
Established in 2011, Impact Partners is a debt and equity crowdfunding platform for sustainable investing that connects pre-screened, investment-ready enterprises to a network of impact investors. Impact Partners increases the efficiency and effectiveness of the capital raising process by informing investors about investment-ready opportunities. It also provides comprehensive support, including due diligence and inclusion of high-net-worth-individuals (HNWIs), by setting up investor consortiums with impact funds and foundations (IIX, 2021). The paper includes some facts on these initiatives, included in the figures below.



Source: IIX, 2021



Source: IIX, 2021

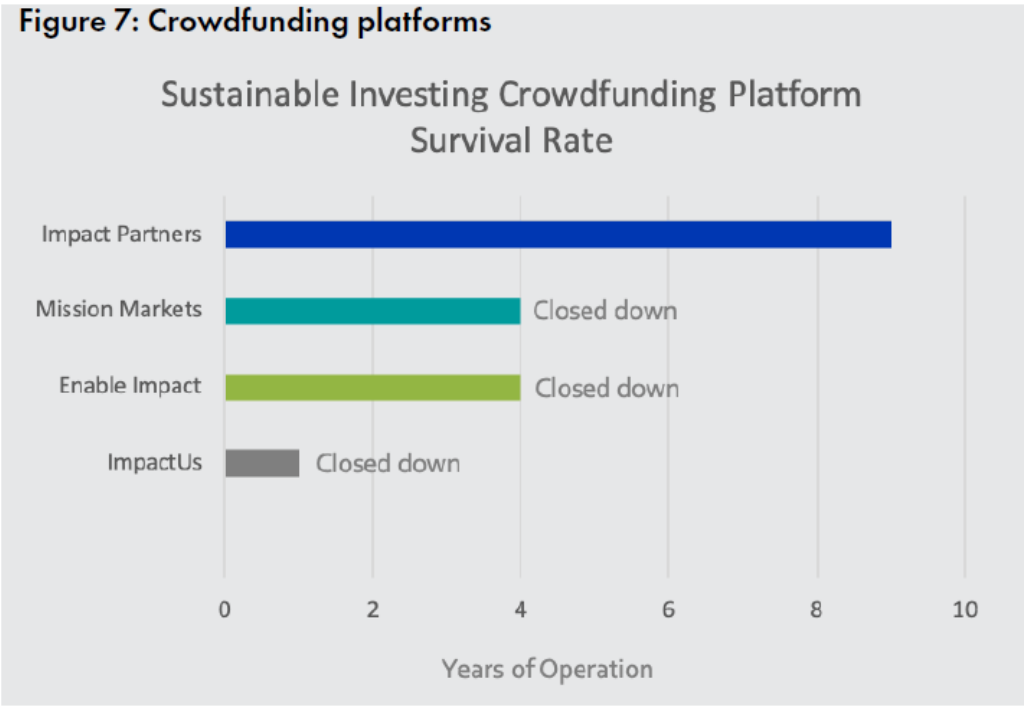


Source: IIX, 2021

Successful crowdfunding platforms for sustainable investing remain limited. Based on a survey of more than 318 accelerators that are part of the Global Accelerator Learning Initiative (GALI), less than 20% of ventures that underwent acceleration were able to raise equity in the year of acceleration. In comparison, Impact Partners has a 73% success rate in raising capital for investment-ready enterprises.

The survival rate should be improved, as shown in the figure below.

Figure 7: Crowdfunding platforms



Source: IIX, 2021

The paper also includes successful examples financed by this initiative, for instance Krakakoa Chocolate.

The Women's Livelihood Bond (WLB) Series is a series of innovative, multi-country and multi-sector debt securities that brings together public- and private-sector players to mobilize private investment for women-focused enterprises. The total issued value is USD 150 million, with a rate return between 4 and 6%. The WLB Series is a series of debt securities that effectively mobilizes large scale private sector capital for sustainable development by pooling a number of growth-stage women-focused enterprises. This pooled structure allows borrowers to obtain large amounts of capital that they would not have been able to raise individually. The financing provided to borrowers is then used to fund those activities that provide underserved women with access to micro-credit, micro-savings, and micro-insurance, training and skills development, and access to the market through the integration with the agricultural supply chain. This financial initiative is supporting 12 out of 17 SDGs, including more than 150,000 women (IIX, 2021).

The WLB Series leverages every USD 1 mobilized to bring in +USD 30 of private-sector capital, thereby expanding the pool of resources to address the SDGs funding gap in emerging markets. This is a very significant result, in terms of added value and ownership of the entrepreneurs.

The study also includes successful examples financed by this initiative, for instance the Komida (*Koperasi Mitra Duafa*) is an Indonesian cooperative that offers micro-finance services to its members, with the aim of providing financial and non-financial assistance in the form of savings, loans and training.

3.1.3 Examples of financial programs and means to support the local development

Credit unions in Indonesia

A specific study was carried out by a credit union's members in the Simpang Dua Sub-district, the Ketapang District, and the West Kalimantan Province. The main objective of the study was to provide insight into arrangements linked to financial flows for integrated landscape management, and mechanisms for mitigating barriers and risks, in support of multi-stakeholder negotiations on integrated landscape finance schemes (Mawesti et al. 2021).

The Credit Union is owned and operated by the people it serves and aims to serve its members rather than to make profit. Not only does it provide savings and loans with better and more competitive interest rates, it also provides other services; for instance, solidarity funds, money transfers, training, and assistance for its members.

The main results are summarized as follows:

- Credit Unions members have established businesses, with sales ranging between IDR 1,000,000 and 20,000,000 per month (between about USD 70 and 1,400 /month).
- Three-quarters of key informants are independent oil palm farmers; this activity is often combined with other agriculture, fishery, trade and/or services activities.
- The Credit Union provides six type of loans: Productive loan, Consumptive loan, Capitalization loan, Land and ownership loan, Education loan, Medical loan.
- Monthly interest rates vary from 0.75% to 2%.
- Most of the loans are relatively small, under IDR 50,000,000 (about USD 3,500).

The key perceived risks are related to the business activities (decrease in commodity price, low crop productivity, crop failure). Then, financial mismanagement and lack of personnel are also considered as minor risks. The risk mitigation strategy includes:

- Commodity diversification to avoid severe financial losses due to crop failure or price drop.
- Establishing downstream industries with marketing support to increase product values along the value chains; for instance, ginger can be used to produce ginger drinks.
- Developing farming insurance to protect farmers from financial loss due to crop failure.
- Providing financial education to members to prevent financial mismanagement.
- Providing emergency savings products.
- Providing loan schemes aligned with the farming cycle.
- Providing risk management training and capacity building.
- Conducting prudent loan approval processes.

The main perceived financial barrier is the high interest rate.

KUR Program

KUR Program (*Kredit Usaha Rakyat*-Credit for Community Business) is a government program designed to improve access to funding by micro, small and medium businesses (UMKM) which is disbursed through financial institutions with credit guarantees. KUR Program aims to strengthen business capital capacity to support the empowerment of UMKM. It was estimated to have created more than 180,000 jobs. The highest disbursement (22%) has been in Bali, West Nusa Tenggara and East Nusa Tenggara (BRI, 2019).

Financing support disbursed through KUR Program is sourced from bank funds or financing organizations that act as KUR disburser. The fund is provided for working capital or investments that are disbursed to the UMKM, which have feasible businesses, but do not have access to credit.

Based on the consultations, the PPG team found out that Bank BNI, Bank BRI, and Bank NTT have set up a KUR ceiling of 500 million Rupiahs for community businesses in the agricultural, livestock, food processing, tourism and trade sectors. Bank BRI Unit Riung has prepared for the year 2021 KUR funds amounting to 25 billion Rupiahs, 22 billion of which has been channeled to the fisheries sector and trade as of November 2021.

The terms and processes for distributing KUR funds are relatively easy. Requirements for applying for KUR include the existence of a business that has been running for at least 6 months (previously 24 months), proof of a business license, ID card and family card. The disbursement of funds is usually made within 1-3 working days. Before approving the KUR application, the bank conducts an analysis of the community's business and of the spot check to ensure the ability of the community to repay.

A loan interest rate of 6% is considered appropriate because a lower interest rate would diminish the community's willingness to repay as they tend to consider the loan as grants. In addition, the low rate of non-performing loans (<3% for Bank BRI and 0% for Bank BNI Bajawa) indicates a good level of ability to repay. [4]

[4] The result of the stakeholder consultations conducted by Abdul Wahib Situmorang and Fransiska Sugi, 7 – 16 November 2021.

3.2 Preliminary findings from the PPG phase

3.2.1 Economic activities in the project sites

Economic growth in East Nusa Tenggara, in general, is not much different from the national economic growth. The main economic activities in Flores are tourism, agriculture, animal husbandry, fishing and seaweed production. The primary food crops grown in Flores are rice, maize, sweet potato and cassava, while the main cash crops are coffee, coconuts, candle nuts and cashews.

In Riung, especially in the Nangamese Village, the Latung Village, the East Sambinasi Village, the Sambinasi Village and the West Sambinasi Village, there are various tourism events and activities, such as local food processing (*rebok*), traditional games (*gasing*), events and traditional dances (*Tede* dance and *Mbou* are in process of development), trails, traditional hunting, rowing, fishing, inter-island swimming competitions, dragon sculpture craft, making earthenware, mashing rice, processing wild bananas (*anggur pisang*) and palm wine, trails in banana and coconut plantations and other activities.

Nangamese and Benteng Tengah in the Tado Village performed a number of activities to protect and preserve the Komodo dragon in the Wolotado Nature Reserve, which is very promising for the future. This location also has a local crop, the Moringa tea, as well as traditional boxing, and various traditional games. Meanwhile, the Nangamese Village and Benteng Tengah are full of tourist attractions.

For the Pota area and its surroundings, the Pota Village, the Baras Village, the Nangabaling Village, the Nampar Sepang Village, and the Golo Lijung Village show potential development in onion farming, weaving, tourism, and fisheries sectors.

Considering the financial issues most typically related to local development, some evidence of the loans conceded to local communities was found during the field mission and consultative meetings. Bank NTT also has a business financial management development program for BUMDes (village-owned enterprises), with a BUMDes for each district in 2021 and five BUMDes in 2022.

A loan interest rate of 6% is considered appropriate by local communities. If interest rates are lower, the community's willingness to repay decreases, as people tend to consider the loans as grants.

As the Covid-19 pandemic has affected several community businesses, banks have rescheduled or restructured the payments, including options to only pay the interest for a certain period of time.

3.2.2 The Labuan Bajo tourism programs

Indonesia's Medium Term Development Plan for 2020 – 2024 (Rencana Pembangunan Nasional Menengah or RPJMN), has selected Labuan Bajo as one of the Strategic National Tourism Areas or KSPN (Kawasan Strategis Pariwisata Nasional). Labuan Bajo is a super-priority destination that has become a premium tourist destination. World-class attractions, easy access to transportation, and adequate amenities are the major tourist attractions in Labuan Bajo. Led by the Ministry of Public Work, an Integrated Tourism Master Plan (ITMP) for Komodo National Park – Labuan Bajo is being developed to integrate the development of Labuan Bajo. The coverage of the plan will include the national park and the western coastal areas of Flores.

An Integrated Tourism Master Plan (ITMP) for the Komodo National Park – Labuan Bajo is being developed to integrate the development of Labuan Bajo as one of the super-premium tourism destinations. The coverage of the plan will include the national park and the western coastal areas of Flores. There are five sub-districts in West Manggarai that are part of the KSPN. Furthermore, about 400 ha of production forest area within the FMU West Manggarai Barat in Nggorang Bowosie have been allocated for the development high end tourism facilities.

The infrastructure development programs include the mapping out of the Labuan Bajo Tourism Strategic Area, the development of the International Komodo Airport, the installation of 20 mooring buoy points within the Komodo National Park area, the construction of an integrated waste management of Labuan Bajo and the realization and improvement of road infrastructures, including some in the project area.

In order to make the Lubuan Bajo tourism initiative more sustainable, Labuan Bajo's Flores Authority Body (BPOLBF) is in the process of developing three sustainable tourism programs. The focus will be on the three main programs as the future of tourism development in the area. These programs are Flores, Lembata, Alor, Bima (Floratama) tourism market, the Floratama Academy, and the preparation of the Floratama Travel Pass. One of the programs (Flores) regards the project area.

The BPOLBF, Through our Destination Management Program, commits IDR 7,750,000,000 (USD 541,000) of co-financing in the form of public investment (investment mobilized). These investments include tourism and cultural infrastructure development, promotion of the destination and creative economy, and improvements to governance and coordination capacities.

3.2.3 Existing financing mechanisms in the project area

Common bank loans are used in the project area. Local entrepreneurs can access sources of financing, for instance the KUR (small loan facility). In addition, the community can also take advantage of available funds from the provincial and district governments, including village funds. Government funds are disbursed to the community in the form of grants, equipment assistance and training. Bank BRI Unit Riung has prepared, for the year 2021, KUR funds amounting to 25 billion IDR (about 1,700,000 USD). The terms and processes for distributing KUR funds are relatively easy. The requirements for applying for KUR are owning a business that has been running for at least 6 months, proof of a business license, ID card and family card. Then the funds will be disbursed within 1-3 working days. Before approving the KUR application, the respective bank will conduct an analysis of the community's business and of the spot check to verify the community's ability to repay. On the other hand, interest rates cannot be considered low.

Then, under the Labuan Bajo initiative, the Labuan Bajo Care for Water Entrepreneurs Association (Asosiasi Pengusaha Peduli Air Labuan Bajo) has piloted Payment for Ecosystem Services (PES) in 2020.

3.3 Overall considerations and discussion

3.3.1 Barrier and gap analysis

Considerations on the main barriers

The PIF considers three main issues as root causes of the barriers to the adoption of biodiversity-friendly activities and new sustainable economic models for the selected landscapes and seascapes: a) Rapidly Growing Human Population; b) Limited Economic Opportunities and c) Rapidly Expanding Tourism Sector.

The main barrier related to the development of biodiversity-friendly activities is described by the PIF as Barrier 2, namely the *"Absence of comprehensive alternative economic models and environmentally-friendly livelihood activities for sustaining conservation efforts and benefiting surrounding communities"*.

The proximity to human settlements has the largest negative effects on the Komodo Dragon habitat occupancy. Then, habitat loss, illegal poaching and guarding of livestock can be considered additional root causes to low habitat occupancy (Ariefiandy et al., 2021). These root causes are strictly linked with unsustainable models of local development, where the main traditional activities (agriculture, forestry, grazing, fisheries) are not managed with sufficient consideration to the ecosystem and biodiversity conservation. For instance, UNESCO denounces increasing in illegal fishing in the Komodo National Park[5].

Moreover, tourism before the Covid-19 pandemic was increasing in terms of fluxes, incomes and investments in Indonesia and in Flores. The current models of tourism development are not always and completely aligned with sustainable approaches. For instance, the Government recognized Lubuan Bajo as one of the most important tourist attractions, and set the target to 500,000 tourists per year, which is a fivefold increase in four years.

Then, a project for infrastructure development on Rinca Island, in anticipation of the G-20 Summit to be held in 2023, and construction of tourism facilities on Padar Island were proposed. These initiatives raised important concerns by UNESCO[6], which asked to avoid large tourism projects.

Moreover, tourism is *"one of the factors driving deforestation of habitats on Flores is the dramatic growth of tourism sector (pre-Covid19) on the island without proper environmentally sustainability measures"* (PIF).

No strategies, programs or plans for the selected landscapes and seascapes, including economic models alternative to the existing ones, or sets of integrated actions for the promotion of biodiversity-friendly business, are in place.

[5] More references at http://whc.unesco.org/en/soc/4177

[6] The sites are part of the Komodo National Park UNESCO World Heritage Site. More references at http://whc.unesco.org/en/soc/4177

Finally, a strong barrier during the implementation could be the Covid-19 pandemic, which is an obstacle to the development of new activities and to changes of the existing ones.

Considerations on the main gaps

At this stage, it's not possible to conduct a specific and detailed gap analysis tailored on the local context. However, the main gaps may be identified by combining the assumptions, lessons learnt and recommendations from other initiatives with the information collected during the field mission and the consultative meetings.

The main gaps for the design and adoption of new economic models, also based on biodiversity-business activities are:

- Lack of specific public policies for Flores, with respect to the adoption and implementation of effective measures for mainstreaming biodiversity conservation into the economic sector.
- Lack of sufficient business planning, strategic planning management and marketing skills of the private sector.
- Poor ability to run the business using the "product quality" approach, and so to ensure product sustainability, business performance and durability for the private sector.
- Insufficient networking between economic operators, protected area managers, conservation key-players and public institutions.
- Lack of a system of incentives and disincentives aimed at contributing to ecosystem and biodiversity conservation.
- Not clear perception of the interlinkages between conservation and local development and of the opportunities for local development offered by sustainability and biodiversity-friendly approaches.
- Potential failure and low survival rate of local small businesses .
- Despite accessing to finance does not represent a problem, interest rates are not low.
- There is a local misunderstanding about the values of loan interest rates. If interest rates are low (less than 6%, which is considered appropriate), the community's willingness to repay decreases, as people tend to consider the loans as grants.

One of the main findings from the field mission and consultative meetings is that access to finance does not appear to be a problem for the private sector, as previously reported.

3.3.2 Strategy and feasibility of biodiversity-friendly businesses

A preliminary strategy for increasing biodiversity-friendly and responsible private sector investments is provided in this section, along with an overview of the feasibility of biodiversity-friendly activities and guidelines for tourism and other economic sectors.

Under component 1, output 1.2 is *"Integrated ecosystem management frameworks developed for the West and North Flores landscapes-seascapes, with supplemental guidelines produced on biodiversity mainstreaming and restoration of degraded habitats in the tourism, livestock management, fisheries, agriculture, transportation infrastructure and other production sectors"*. The results from output 1.2 should be considered as assumptions and pre-conditions for the development of new economic models and the adoption and implementation of biodiversity-friendly activities.

At this stage, the following sectors may be included in the potential biodiversity friendly private business:

- Tourism;
- Agriculture, including livestock management;
- Fishery and aquaculture.

Captive breeding could also be considered by the project as potential activity to support conservation of Komodo Dragon (for more details you can see the Component 1 of the Project Document and the relevant annexes).

Additional sectors might be included during the implementation, under activities 2.1.2, 2.1.2, 2.3.1 and considering the results from output 1.2.

The main objectives of the new economic models, also based on the integrated management framework (output 1.2) and on potential biodiversity-friendly businesses, are to:

1. Generate economic benefits for local communities, considering financial, economic, social and environmental long-term sustainability.
2. Contribute to the conservation and restoration of landscapes, seascapes and ecosystems and to the protection of biodiversity, in general; contribute to the conservation of the Komodo Dragon and other globally threatened species, in particular.
3. Strengthen social capital and improve social conditions at the local level.
4. Contribute to food security and to secure access to clean water.
5. Contribute, where possible and appropriate, to climate change mitigation.

In general, the project will support the biodiversity-friendly activities and business of local communities and entrepreneurs considering the following four pillars.

1. Economic: Impacts on income, labor, general economic conditions at the local level, including cash and non-cash benefits.
2. Biodiversity and ecosystems: halting and reversing existing negative impacts on biodiversity and ecosystems; providing specific conservation measures; facilitating the natural restoration dynamics, also considering the set-aside; adopting eco-friendly practices; monitoring and evaluating the effects and impacts of supported economic activities;
3. Human capital: Supporting initiatives to improve people's attitudes, skills and knowledge of biodiversity conservation, sustainable development and the green economy. This can include technical skills, increasing the community's sense of pride and ownership of the new economic models, conflict resolution, gender equality, local institution strengthening, networking and replication of best practices from other initiatives.
4. Policy: Impacts on governmental practices or policies. Opportunities for replicating the project's practices, models and approaches.

The approaches and models for the following sectors could be developed under the following activities:

- Activity 2.3.1 (Building upon the baseline analyses prepared during the project preparation phase, carry out an assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models in the community-based OECMs in the North and Flores landscapes, focusing on vulnerable communities, including these affected by the COVID-19 pandemic).
- Activity 2.3.2 (Conduct market analyses for potentially viable livelihood and business models, considering economic feasibility, partnership opportunities, potential financing available, etc.).

Tourism

The UNWTO[7] affirms that sustainable tourism should (UNEP and UNWTO, 2005):

1. *Make optimal use of environmental resources that constitute a key element in tourism development, maintaining essential ecological processes and helping to conserve natural heritage and biodiversity.*
2. *Respect the socio-cultural authenticity of host communities, conserve their built and living cultural heritage and traditional values, and contribute to inter-cultural understanding and tolerance.*
3. *Ensure viable, long-term economic operations, providing socio-economic benefits to all stakeholders that are fairly distributed, including stable employment and income-earning opportunities and social services to host communities, and contributing to poverty alleviation.*

There are many guidelines and best practices at the global level; the UNWTO has many initiatives whose practices, including on biodiversity, climate action and small islands developing states, could be replicated in the selected landscapes and seascapes.

Other references can include the UNDP-UNWTO (2017) publication on Tourism and the Sustainable Development Goals – Journey to 2030, the Global Sustainable Tourism Council's criteria[8] and the European Charter for Sustainable Tourism in Protected Areas[9]. The Project, during its implementation stage, will define the references

[7] https://www.unwto.org/sustainable-development

[8] https://www.gstcouncil.org/gstc-criteria/

[9] https://www.europarc.org/library/europarc-events-and-programmes/european-charter-for-sustainable-tourism/

that are most suitable for the selected landscapes and seascapes, also considering the national experience, for instance those included in the E-PASS Project.

The design and implementation of biodiversity-friendly approaches in the tourism sector is highly feasible. This is due to:

- Tourism trends before the pandemic, with a significant increase in tourism flows,
- Key attractions in the area (Komodo Dragon, the PAs, the landscapes and seascapes), and
- The opportunity to apply many existing models and practices for sustainable tourism.

Synergies with the Labuan Bajo programs and activities of other sectors (mainly, fisheries and agriculture) should be promoted, to increase the positive effects on biodiversity and increase the values of products and services at the local level.

Agriculture

In general, Biodiversity and ecosystem services:

- Underpin the food and agricultural systems (FAO, 2019),
- Increase their resilience to shocks and stresses (FAO, 2019);
- Are an important component of food security and nutrition (FAO, 2020) and
- Significantly contribute to sustainable and fair livelihoods (FAO, 2019).

The same contributions to local agriculture can be found in the selected landscapes, where traditional approaches are merged with the more modern agricultural practices.

Since its establishment, FAO has been providing a forum for the discussion of biodiversity-related policies and the negotiation of agreements between its Members. FAO has a track record of pursuing its goal of making "agriculture, forestry and fisheries more sustainable" (Strategic Objective 2) (FAO, 2021). In the last years, FAO has promoted the mainstreaming of biodiversity into agriculture, including livestock, to encourage its contribution to the conservation and maintenance of ecosystem services and to climate change adaptation and mitigation.

In the last years, FAO has promoted many initiatives, including dialogue platforms on these topics.

A specific paper (FAO, 2021) describes the dialogue and consultation across these topics in the Asia/Pacific Region, and this could be a reference for approaches, guidelines and practices specifically developed in similar contexts to the Flores West and North Landscapes and, more in general, strategies and technical documents on the mainstreaming of biodiversity into agriculture.

Then, FAO makes many resources available online on its biodiversity web pages[10]. Other guides on this topic and integration between agribusiness and biodiversity[11] could be considered.

Moreover, the project should promote synergies between agriculture and tourism. Local products could be sold to small accommodations for breakfast or other meals, and this could be part of a specific tourist experience. Home-stay in farms could be incentivized, following the existing agritourism model[12], that was also proposed in developing countries and in SIDS[13]. Farmers should be capacitated for these side activities and supported in constructing the necessary infrastructure. Advertising and marketing of new sustainable and more inclusive tourism models should be part of the general strategy of mainstreaming biodiversity into economic sectors.

Finally, agriculture could be included in the design and adoption of PES (for more details, you can see the section on financing, below and the Annex 19).

[10] fao.org/biodiversity ("resources" section)

[11] For instance, the Agriculture Sector and Biodiversity Conservation Best Practice Benchmarking, available at https://ec.europa.eu/environment/archives/business/assets/pdf/sectors/FINAL_Agriculture.pdf

[12] For more information you can also consult the dedicated web page of the Italian Government http://www.agriturismoitalia.gov.it/en/agritourism

[13] Recently this model was proposed in the tourist master plans for some islands of Cape Verde

Fishery and aquaculture

While in the agriculture and tourism industry biodiversity friendly businesses could be promoted by addressing each operator or small groups of operators, in the fishery it should be promoted by considering the entire sector as a whole.

In Indonesia, some example of sustainable fishery experiences and practices are reported by Estradivari et al. (2022), under Other Effective area-based Conservation Measures (OECMs). Some of them represent success cases, while some other were not able to significantly have social and environmental impacts.

In the Fisheries Management Area (FMA) 714, in Banda Sea, Maluku, the Indonesian government regulates temporary and partial closure of marine areas (approximately 130,000 km^2) for yellowfin tuna (*Thunnus albacares*) fishing from October to December. After implementing this regulation, within a year, fishers' income per capita in 2015 increased by 1.46%; there was no social impact on fishers as an effect of this new regulation, and the potential catch for yellowfin tuna remained stable (Estradivari et al. 2022).

Sasi is a centuries-old community-based set of practices regulating access to natural resources, used in Papua and Maluku, for example by implementing fisheries closures that last roughly two to five years. Marine sasi is governed by the associated customary community with rules on what, when, and where to fish (Estradivari et al. 2022).

Four villages in Kubu Raya managed their mud crab fisheries and protected their forest through temporary fishery closures (about 3 months per year) across 6,519 ha of mangroves [45]. Within three years, specifically in Sungai Nibung village, the community had experienced an improvement in coastal fishery harvest rates which led to an increase in income, health, and education, while a reduction in mangrove forest loss was also observed (Estradivari et al. 2022).

Fishery represents another important traditional activity in Flores. A recent paper (Ramenzoni, 2017) on fishery in the Ende Regency, in the central area of Flores Island, which is outside of the selected landscapes and seascapes, includes some interesting data on small scale fishery. Despite the paper does not directly regard the project area, it can be taken into account in order to understand the state of fishery in Flores.

In the study area, in 2014, the last year with available information, there were about 2,800 boats (one every 1,000 inhabitants) and 7,200 fishermen (about 2.5 every 1,000 inhabitants). The trends have been positive since the early 80s.

Then, two important indicators are considered. The annual catch rate (annual landings divided by the number of fishermen) and the catch per unit of effort (annual landings divided by the standardized number of boats) increased until the late 80s. After that, some fluctuations were registered for this data, with a general drop in the catch rate and in the catch per unit effort, with negative impacts on the average income of the fishermen.

Among the conclusions of the paper, we can consider the following:

- *"Within fishery management, the transformation of local fisheries has often been seen as a result of intensive technological and capital development promoted by government and non-government agencies".*
- *"When mechanization had not been properly regulated, the increasing competition by more efficient boats has resulted in the concentration of resources, the use of damaging fishing practices, and environmental degradation. The opportunistic nature in which policies were implemented has also meant that benefits from advancements were not equally shared among the parts, creating instability in the labor market and further eroding households' economic sufficiency. At present times, the situation has become more critical due continuous pressure toward modernization and stocks experiencing important changes in composition and stability".*
- The paper suggests that we consider *"management solutions as integral parts of a broader regional strategy".*

Then, as previously reported, illegal fishing is increasing in the Komodo National Park, and this does not exclude that this phenomena is also occurring in other areas.

The project, by promoting of the adoption of a sustainable fishery approach and the conversion and transformation of unsustainable fishery activities, could contribute to the general improvement of the sector.

Under this sector, the project should work on different strands:

- Promotion of aquaculture, to satisfy the demand for seafood and to reconvert fishery activities, reducing the number of operators at sea and so contributing to improve the indicators mentioned above in the paper by Ramenzoni (2017).
- Adoption of ecosystem-based and responsible approaches and practices in fishery and aquaculture.
- Integration with tourism.

Under activity 2.3.2 (Conduct market analyses for potentially viable livelihood and business models, considering economic feasibility, partnership opportunities, potential financing available, etc.), a specific plan for the promotion of aquaculture could be supported by the Project. It shall include an analysis of the current situation and trends in fishery, a general study on the socioeconomic and environmental contexts, a willingness to adopt survey, to understand if, how and to what extent fishermen are willing to convert their activities, and a feasibility study including the localization of the aquaculture sites.

The results should be considered for the preparation and adoption of the Strategic Environmental and Social Assessment (SESA) to support the development of the integrated management frameworks (1.2.2), the integrated ecosystem management frameworks for the West and North Flores landscapes-seascapes (1.2.3), the financial strategies (2.1.3), the assessment of opportunities and capacities for developing biodiversity-friendly livelihood and business models (2.3.1).

The project should promote and incentivize the adoption of a code of conduct for responsible fishery (including aquaculture), on the basis of the "FAO code of conduct for responsible fishery" (1995).

Ecosystem-based approaches to Fishery (EAF), also known as Ecosystem Approach to Fishery Management (EAFM), should include (Garcia et al., 2003 and IW Learn, n.d.)[14]:

- Identification of the sites, the appropriate scale for EAFM and the suitable levels and processes at which management is applied, taking into account the nature of the fishery and the people involved, as well as political, geographic, environmental, socioeconomic, and temporal scales.
- Bringing together the relevant stakeholders for both the EAFM design and implementation phases and facilitate active cooperation and coordination between the agency and stakeholder partners to ensure effective cooperation.
- The need to maintain the productivity of ecosystems for present and future generations, conserving biodiversity, critical habitats, reducing pollution and degradation, minimizing waste and protecting endangered species.
- Recognizing the importance of ecosystem contribution to human well-being, providing sustainable goods and services and sources of livelihood.
- Accepting the principles of "Maximum Acceptable Fishing Level" and "Maximum Biological Productivity", in order to avoid overexploitation of marine resources and overfishing.
- Defining the Targets, Constraints, Indicators and Reference Points in detail and setting the priorities.
- Reducing Bycatch, Discards and Ghost Fishing.
- Integrating the results into specific technical outputs, for instance a concrete Sustainable Fishery Management Plan.
- Providing robust monitoring and evaluation systems.
- Assessing the opportunity to introduce specific certification systems.

Fishery could be integrated into tourism, by promoting recreational fishing activities managed by fishermen. Homestay could also be a side activity for fisherfolk, and it could be incentivized following the principles provided in the section on agriculture.

Finally, networking with other national and regional initiatives (programmes, projects, dialogue platforms, etc.) on sustainable fishery should be promoted.

<u>Financial support for the private sector</u>

The Project, in supporting the private sector, could act on three main strains:

[14] The most important principles and operational measures are included in this list. For the complete list and description, you can also see Garcia et al., 2003

1. Providing funds for the start-up phase.
2. Promoting long-term financial sustainability.
3. Supporting the private sector: capacity building, synergies, marketing, provision of equipment and infrastructures, etc.

A number of financial mechanisms are listed in this paragraph and they can be considered during the implementation stage in order to provide funds for the start-up phase and promote long-term financial sustainability. During the implementation, the project can also consider other additional mechanisms.

Then, the project should sign agreements with financial institutions for the issuance of some of these financial instruments.

Bonds are debt instruments in which investors loan money to an entity that borrows the funds for a defined period of time at a fixed or variable rate of interest. The project could totally or partially guarantee for the bonds.

Pay for performance mechanisms are instruments that link repayment of financial returns to investors to the impact created, considering not just financial and economic aspects, but also social and environmental ones. They are mostly used in the health care sector but can be extended to increase social and environmental sustainability. The project could grant financial incentives to promote and remunerate the achievement of biodiversity conservation results.

Gender lens funds are a pool of capital collected from multiple investors for the purpose of buying securities that generate financial and social returns with specific regards to women and disadvantaged social categories. Gender lens funds take into consideration gender-based factors across the investment process.

Incentives for biodiversity-friendly activities in agriculture and fishery could be adopted by the project. They could follow similar initiatives, for instance the financial measures for biodiversity conservation developed under the European Agricultural Fund for Rural Development and the European Maritime, Fisheries and Aquaculture Fund. For instance, farmers could be financially compensated for set-aside or habitat restoration or financially supported for the adoption of organic agriculture systems.

Watershed Payments for Ecosystem Services (PES) and **habitat conservation PES** could be promoted and adopted by farmers. The PES could represent additional sources of income and incentives for the adoption of biodiversity-friendly approaches. More details are reported in Annex 19, on page 30.

Loans, grants and **crowfunding** can also be part of a portfolio of instruments for the financial support to the private sector.

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Annex 21. Capacity assessment of local CBOs and businesses

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

Planned project outcomes include new alternative economic models and nature-supportive livelihood activities for ensuring the financial sustainability of conservation efforts, providing benefits to surrounding communities, and supporting lessons from BIOFIN. The bases for developing these alternative economic models are existing community business institutions and those that will be developed during project implementation. Capacity assessments were required to determine the existing capacities of community business organizations and as a reference for planning institutional capacity building to ensure the organizations play a strategic role in developing sustainable economies for their communities, and to support conservation.

This document contains the results of desktop studies, discussions with communities and related stakeholders, and field observations during August to November 2021, in the northern and western landscapes/seascapes. To summarize findings, a community business institution capacity analysis was conducted by selecting four representative community business models and using five assessment topics: organizational development, membership development, business capital raising, business planning and management, and network development.

In a framework of capacity building for community business institutions, opportunities are identified in the form of strategic programs from relevant parties deemed able to help accelerate capacity building efforts. Strategic recommendations based on project findings are also provided as a basis for further activity development.

1. Introduction

The United Nations predicts that the world's population will be approaching 10 billion people in 2050. By that time, our demands on resources to sustain life will be much greater than they are today. A study by multiple organizations predicted that such a growth in population number and world GDP is associated with increase in energy (50%), food (54%) and domestic water (21%) consumption.[1] At the site level, such increase will translate into more exploitation of agricultural lands, forests, ground water, and fishery stock which in turn will speed up the already alarming state of biodiversity loss.[2] Those lands and waters are in many times the only available resources on which local and indigenous communities can still depend their lives.

In addition to happening at nature's expense, today's development pathway still falls short of guaranteeing equitable delivery of benefits to all members of society. Globally, poverty is concentrated in rural areas among those working in the agriculture sector, and to a great extent, those who depend on natural resources.[3] This global picture resonates in the Indonesian context, including on the island of Flores in East Nusa Tenggara (NTT) province. Making up 22% of the population, the province's poor are disproportionately concentrated in the rural rather than urban areas.[4]

The Government of Indonesia is committed to driving development in the eastern part of the country, including NTT, which currently ranks third out of 34 provinces in terms of poverty.[5] The acceleration of development projects, which includes investment in large-scale infrastructure and extractive sectors has the potential to impact upon ecosystems and threaten biodiversity. Considering the scale of government plans for the province, there is an urgent need to consider a balance between progress and maintaining natural ecosystems as life support systems.[6]

1.2. Conservation or development: Which comes first?

The IN-FLORES project aims to conserve Komodo dragons and other globally threatened species and their habitats in Flores. Komodo dragons live in forest habitats and non-forest areas on or near the coast on islands in Komodo National Park and on the Flores mainland. Such habitats are inhabited not only by wildlife, but also people with all manner of livelihood activities. This co-existence has not always had positive outcomes. Komodo dragons and other species

[1] World Economic Forum, 2018. Here's how we can balance conservation and development
[2] Global Assessment Report on Biodiversity and Ecosystem Services, 2019. Inter-governmental Panel on Biodiversity and Ecosystem Services
[3] Lee et al., 2009. Rural Poverty and Natural Resources: Improving Access and Sustainable Management. ESA Working Paper No. 09-03. The Food and Agriculture Organization of the United Nations
[4] Indonesian Central Statistics Agency, 2021
[5] Ibid.
[6] This definition of life support system refers to Law No. 5/1990 on Conservation of Natural Resources and Ecosystems

continue to be driven from their habitats by ever expanding human activity resulting from population growth. Some local communities feel the presence of Komodo dragons limits their ability to expand settlements, farms and grazing areas. This picture illustrates the widely discussed contrasting needs between conservation and development the project will delve into.

For too long, many have come to accept the view that preserving the planet and growing the economy are mutually exclusive. Conservationists and businesspeople continue working to advance progress in their own fields but are operating against each other from a broader perspective. The dichotomous view of human needs and conservation is a problem in its own right; the work of advancing conservation and human development should not be an either-or proposition. Yet, in the already complex conservation and development paradox, realizing cooperation will involve making changes that require breaking out of the usual lanes of conservation, health, development, economics and all the other sectors where we so often find ourselves confined.

Therefore, the IN-FLORES is designed to integrate biodiversity considerations into decision-making in all sectors, from agriculture, forestry and local economies to infrastructure development and spatial planning. This spirit is reflected in the components of the project, where it seeks to harmonize local land-use planning and conservation of the Komodo dragon and other globally threatened species, while supporting community livelihoods by investing in biodiversity-friendly business development. In the second component, the project is going to work with local landowners and farmers, as well as businesspeople and financial institutions to drive economic activities and capital investment that build local economies and at the same time preserve ecosystems.

1.3. Rural poverty and sustainable livelihoods

There is strong perception among some farmers and development practitioners that rural poverty is contributed to by a lack of capital investment in smallholder agriculture due to a reluctance among financial institutions to provide loans. Such a perception is not entirely true. Even in the absence of conventional loans from banks, a number of government driven projects have involved the provision of business capital for small and micro enterprises.[7] In 2014, the central government launched a budgetary mechanism called '*Dana Desa*' or village funds, where nearly two hundred trillion rupiah has been transferred to villages in programs to help boost economic growth. Many villages and community groups have been recipients of such programs, either from the central or local government.

However, these programs have not always met expectations or been able to transform rural economies. Many of these funds have been allocated for infrastructure projects that do little to improve local incomes.[8] Others tend to minimize investment in productive activities because smallholders are seen as incapable of developing and executing appropriate business plans and an investment risk.[9] Many such programs have provided capital support to community groups without building their capacity on how to use the capital for business purposes. Community groups themselves often lack enterprise capacity, which prevents them from being able to capture opportunities and turn them into effective business plans.[10]

Poverty among rural communities working predominantly in the agriculture sector is mostly attributed to the low prices paid for commodities at the farmer level, which has been caused by a combination of internal and external factors.[11] External factors include the oligopolistic nature of the agriculture commodity market in western Flores, where a few big or more dominant market players have greater control than the majority farmers over commodity price and transactions.[12] Also, farmers commonly have very little knowledge of market prices and structures and how they interact. Often, farmers produce commodities of a low quality, which affects their value and opens room for product improvements at the broker level.

Internal factors include rural and smallholder farmers continuing to suffer from under-developed skills in productive yet sustainable agricultural practices. Their heavy reliance on chemical inputs comes without an understanding that they simultaneously degrade the soil, and decrease productivity over time. To make up for loss of productivity, farmers often opt to expand their farms even into forests and other natural habitats, which impacts negatively on the biodiversity and ecosystem services they depend on.

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[8] Village Fund Utilization. SMERU Bulletin No. 2/2018
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[12] Unggul et al., 2020. Inclusive and Sustainable Business Models. Burung Indonesia

For too long, smallholders have been trapped in cycle that keeps them poverty stricken while continuing to exploit natural resources in unsustainable manner. To break this cycle, development interventions need to address all underlying factors at once. The problem diagnosis and baseline capacity analysis under the project would accurately assess the needs of local community organizations and businesses, and provide an overview of the current situation and requirements for developing productive yet sustainable enterprises in local communities.

2. Assessment methodology

A major root cause of developmental issues in Flores is limited economic opportunities.[13] Flores has one of the least developed economies in Indonesia, which is based primarily on subsistence agriculture, fisheries and seaweed production. For rural smallholders, the limited economic and livelihood opportunities are strongly linked to limited marketing networks, an absence of new entrepreneurship initiatives and low technical skills in product diversification.

Assessments of community institutions and businesses were conducted through a desktop review and field assessments, which included interviews with community organization representatives and village and district government officials, and organized focus group discussions both at community and government levels. The information collected related to the institutional and business aspects of community organizations, with additional discussions on the ideas behind each organization's establishment and source of financial capital.

While the aim of these discussions was to provide a general overview of the capacities and needs of community organizations and businesses, not all aspects were covered. Discussion coverage reflected the authors' experiences working with community organizations and businesses in various regions in Flores.

2.1 Assessment objects

The PPG team interviewed community organizations of various types and backgrounds. For the purposes of this assignment, only organizations with mission statements relevant to economic, business and livelihood development were assessed further. From this initial scoping, types of organizations selected for assessment were:

1. Village-owned business enterprises
   Article 213 paragraph (1) of Law No. 32/2004 on Regional Autonomy states that villages can establish village-owned enterprises in accordance with the needs and potential of the village. This law has been elaborated further through Government Regulation No. 71/2005, which provides guidelines for the establishment and operationalization of village-owned business enterprises or '*BUMDes*'. Such enterprises can seek capital from the government or from private investments and loans. The new regulation stipulates that *BUMDes* are eligible for bank credit.

2. Cooperatives
   Cooperatives are one of the oldest forms of for-profit associations. In Indonesia, cooperatives are not only deemed legal but also idealized as the foundation of the country's economic system, which is said to be based on collectiveness. Both profits and risks are shared equally among cooperative members, so that no one is left behind in terms of benefit distribution.

3. Farmer group associations
   Although farmer group associations or '*Gapoktan*' were established a long time ago during the New Order era, such associations and their member farmer organizations (*Poktan*) have existed through many governments, and serve to support agriculture sector policies and programs. The most recent program involving *Gapoktan* and becoming the object of the assessment was the Rural Agribusiness Enterprise Development or *Pengembangan Usaha Agribisnis Perdesaan* (PUAP) program.

4. Credit unions
   Credit unions can be considered the most basic business or financing facilities, which are normally founded and operated directly by community members. There are credit unions where a cooperative is the legal entity, but many others, especially at the very local level, do not have formal legal status and operate based on trust. The latter have very basic rules and bookkeeping for savings and loan operations.

2.2. Assessment areas

The PPG team analyzed reports from government business and entrepreneurship development programs and from community initiatives in Flores. Based on this analysis, several priority aspects were then prioritized for further

[13] Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES). Project Identification Form, 2021

assessment to map the capacity of community organizations and businesses as potential counterparts to IN-FLORES activities. For each type of community business or financing organization, interviews and discussions were held to explore the following topics:

1. Institutional management
   This aspect mostly discussed organizations' legal status and governance, which constitute the bases for their operations, including business development. Organizations with clear divisions of roles among their organizers will be able to perform assignments more effectively, while those with a legal basis will have more opportunities in pursuing collaboration with external parties.

2. Member management
   This discussed the potential of members as a source of capital and to act as implementers and ultimate beneficiaries of the business activities carried out by the group. Groups' business performance is highly dependent on their members' capacity and involvement in business activities.

3. Capital raising
   Capital raising discussions covered two areas: internal and external. For village-owned enterprises and farmer group associations, capital tends to come from external sources; from other institutions or programs. For cooperatives and credit unions, capital tends to come from their internal membership.

4. Business management
   The most important aspect of assessment is the entrepreneurship skills of the individuals managing institutions. Since these institutions are dedicated to building businesses, the most fundamental kind of capacity required is business management. The assessment looked both at the surface through numbers, as well as digging deeper into the problems institutions have faced and the opportunities they have exploited.

5. Network development
   The assessment looked at this aspect as institutions are expected to have broad networks to be able to build strong value chains. Enterprises need to have powerful relationships both upstream and downstream of their businesses. Moreover, they need to build political capacity and networks to enable them to advocate for their rights and interests effectively.

Observations of each of these five aspects informed the capacity of these institutions and the capacity improvements needed to improve their performance. Recommendations will inform the IN-FLORES project implementer in developing a capacity building agenda for community groups on sustainable business development.

3. Assessment results

Referring to data collected during the inception workshop and stakeholder consultations from 21 October to 16 November 2021 as well as to related document analysis results, the capacity of community institutions in terms of business development is presented in two sections.

The first section discusses and provides narrative descriptions of existing community institutions involved in business development. The second section assesses the capacity of existing community business institutions based on the five aforementioned criteria.

3.1. Existing community organizations and businesses

The development of an economical fundament in rural areas has been a primary concern for related parties in government and the private sector through their various programs. However, due to many factors, their efforts have not been able to meet expectations in realizing community economic independence. Nevertheless, these programs have become the foundations for future economic development in rural communities.

For this reason, it is necessary to identify the characteristics and capacity of community business institutions and their potential for development and improving their roles as community business institutions in the future.

The four types of institutions chosen to represent the various forms of community business organizations existing in rural communities are discussed in detail below.

3.1.1. Village-owned business enterprises (*BUMDes*)

Village-owned business enterprises (*BUMDes*) are businesses managed by the community and village government to strengthen the village economy, and are established based on the needs and potential of the village. Law No. 32/2004

on Regional Government emphasizes that *BUMDes* are established to increase village own-source revenue, or '*PADesa*'.[14]

Regarding the definition, it is clear that the main goal of establishing such enterprises is to develop "village businesses". Village businesses mentioned here are all kinds of activities categorized as village economical services, including:[15]

a. Financial services, transportation services, village electricity provision, and other similar services
b. Businesses providing the nine staple foods for locals
c. Trading in agriculture products, included horticulture, livestock, fisheries, and agribusiness
d. Local industries and handicrafts

In the contexts of establishing and developing *BUMDes*, the village government acts as the dominant investor[16] and facilitates the necessary policies to support *BUMDes* development. The village government also plays a role in ensuring the *BUMDes* has legal status as a business entity in accordance with applicable laws and regulations.

Despite villages having the opportunity to establish *BUMDes*, they have not been established in all villages. Data from West Manggarai District for 2020 on progress in establishing *BUMDes* shows only 62 of the 130 villages in West Manggarai District (47.69%) already have active village-owned enterprises. Such enterprises are absent in the other villages for two main reasons: a lack of human resources capacity; and the absence of any community agreement on the type of business that needs to be developed.[17]

Table 1 provides an overview of progress in terms of *BUMDes* establishment within the project site in West Manggarai District until 2020.[18]

Table 1. *BUMDes* in West Manggarai District

No.	Sub-district	Name of village enterprise	Kind of business operated
1.	Sano Nggoang	Cunca Rami Lestari	Trading of staple foods, tourism services
		Wae Kising	Credit facility for business, trading, copying/printing services
		Wae Paku	Distribution of fertilizer
		Maju Bersama	Agriculture product processing and selling, commodity trading
		Ca Nai	Credit facility for businesses, commodity trading, providing local building materials
2.	Mbeliling	Pesona Wisata	Tourism services
		Ranggawatu	Party equipment hire[19]
		Liang Rodak	Party equipment hire
		Bantang Cama	Distribution of fertilizer and staple foods
		Lembu Nai	Credit facility for businesses
		Cunca Wulang	Party equipment hire
		Sumber Makmur	Food ingredients, credit facility for businesses
3.	Welak	Maranatha	- (unclear)
		Sumber Rezeki	Drinking water service
		Taman Eden	Sound system for events
		Wewa Jawa	- (unclear)
4.	Lembor	Tungku Mose	Credit facility for businesses
		Poco Rutang	Party equipment hire
5.	South Lembor	Tirta Jaya	Credit facility for businesses, commodity trading
		Ca Nai	- (unclear)
		Benteng Dewa	- (unclear)
		Satu Hati	Marquee hire
		Kakor Jaya	Drinking water services, marquee hire
		Repi Bersatu	Chair hire, commodity trading
6.	Boleng	Sepang Jaya	Fertilizer distribution
7.	Kuwus	Mekar Jaya	Equipment hire for events, timber processing and motorcycle repair workshop, financial transaction services

[14] Guidebook for the establishment of village-owned business enterprises (*BUMDes*), Department of National Education: Development System Dynamics Research Center, 2007. p. 4
[15] Ibid. p.6
[16] There is no formulation on how much money should be allocated from village budgets to support *BUMDes*. However, information gathered from communities suggests village governments generally allocate around IDR 50–100 million.
[17] West Manggarai District Medium-Term Development Plan 2021–2026. p. 119
[18] Ibid. p. 119
[19] Parties are commonly weddings and religious ceremonies. Equipment ranges from marquee tents, chairs and tables to sound systems and catering.

No.	Sub-district	Name of village enterprise	Kind of business operated
		Damai/Watu Telu	Distribution of fertilizer
		Bintang Muda	Building materials shop
8.	West Kuwus	Kolarek	Palm sugar processing and selling
		Caritas	Financial transaction services, trading, chair hire
9.	Ndoso	Tesuka	Distribution of staple foods, fertilizers
		Harapan Golo Bore	Commodity trading

Progress in the establishment and development of *BUMDes* in West Manggarai District is similar to that across Indonesia. Nationally, as acknowledged by Dr. Suprapedi, M. Eng, the Village Empowerment Information Center's Head of Research, Development, Education and Training, under the Ministry of Villages, Development of Disadvantaged Regions and Transmigration, until the end of 2018, progress in the establishment and development of *BUMDes* had reached 57% of all villages in Indonesia.[20]

In the project site, the PPG team gathered information on existing *BUMDes* from 10 villages, as shown below:[21]

Table 2. *BUMDes* in project sites

No.	Village	*BUMDes*	Remark
1.	Sambinasi	Yes	Has been established but is not operational
2.	West Sambinasi	No	The idea of *BUMDes* establishment and development has not been discussed with villagers
3.	Golo Lijun	No	The idea of *BUMDes* establishment and development has not been discussed with villagers
4.	Nanga Baras	No	The idea of *BUMDes* establishment and development has not been discussed with villagers
5.	Pota	No	The idea of *BUMDes* establishment and development has not been discussed with villagers
6.	Nanga Mbaling	Yes	Selling agriculture seeds (corn, rice, onion) to farmers through a credit scheme. They received IDR 100 million from the village government as seed capital
7.	Nampar Sepang	Yes	Selling agriculture seeds (corn, rice, onion) to farmers through a credit scheme. The scheme is set to fail due to creditors being unable to repay their loans.
8.	Nanga Mbaur	Yes	Agriculture product trading (rice)
9.	Pontianak	No	The idea of *BUMDes* establishment and development has not been discussed with villagers
10.	West Nanga Kantor	No	The idea of *BUMDes* establishment and development has not been discussed with villagers

3.1.2. Cooperatives

According to Law No. 25/1992, cooperatives are business associations that applies individual and/or group membership, where promoting cooperation and upholding collectiveness constitute their fundamental principles in carrying out programs and activities.[22] Due to their characteristics, cooperatives have become very popular in rural and low-income communities across Indonesia.

Progress in cooperative development in NTT, especially in Flores is very prospective. Five cooperatives were identified as being the biggest in Flores, both in terms of total memberships and accumulated assets. These cooperatives have a large service area, sometimes covering several districts, and even reach out to villages.

Table 3. *The big five cooperatives in Flores*

No.	Name of Cooperative	Office Location	Coverage service area
1.	Koperasi Kredit Sangosay	Bajawa	All districts in Flores, has branch offices in subdistricts
2.	Koperasi Kredit Sehati	Bajawa	Has branch offices in all subdistricts in Ngada District
3.	Koperasi Kredit Pintu Air	Maumere	Has branch offices in Bajawa, Borong and Labuan Bajo
4.	Koperasi Kredit Suka Damai	Labuan Bajo	Has branch offices in most subdistricts in West Manggarai District
5.	Koperasi Kredit Obor Mas	Maumere	Has district- and subdistrict-level branch offices

[20] Sarjono Herry Warsono et al., 2018. Progress Indicators for Village-Owned Enterprise Development. Village Empowerment Research, Development, Education and Training Center, Ministry of Villages, Development of Disadvantaged Regions and Transmigration

[21] Data compiled from Focus Group Discussions in Sambinasi (30 Oct 2021), Pota (8 Nov 2021), and Longos island (13 Nov 2021)

[22] Law No. 25/1992 on Cooperatives

Besides these big cooperatives, there are many smaller cooperatives with limited memberships and assets. Their services only cover specific communities. Below is a list of business institutions in the three districts where the IN-FLORES project will be implemented.[23]

Table 4. Village business institutions in the three project districts

No.	Ngada District	East Manggarai District	West Manggarai District
1	Mesudoa Women's Cooperative	Kopdit Bintang Kejora Credit Union	Serba Usaha Masjid Nurul Falah Cooperative
2	UPH Papa Wiu Production Cooperative	Jasa Borong Jaya Cooperative	Yasa Mina Fishers Cooperative
3	Soi Susa Credit Union	Hanura Credit Union	Lembor Rejeleleng Village Cooperative
4	Sehati Aimere Credit Union	Kopdit Kartini Credit Union	Setia Janji Women's Cooperative
5	Ratna Credit Union	Gerak Tedeng Kevikepan Borong Credit Union	Komodo Alam Lestari Credit Union
6	Pegawai Negeri Swadaya Cooperative	Kopdit Abdi East Manggarai Credit Union	Jasa Usaha Wati Sejahtera Mabar Cooperative
7	Iklas Beramal Credit Union	Kopdit Ntala Gewang Credit Union	Cahaya Makmur Sejati Credit Union
8	Serba Usaha Lembaga Ekonomi Tani Anggur Merah Cooperative	Kopdit Permata Bunda Credit Union	Serba Usaha Taman Nasional Cooperative
9	Jasa Pramuwisata Riung Selewor Cooperative	Kopdit Oase Credit Union	Serba Usaha Mutiara Komodo Cooperative
10	Serba Usaha Pakar Cooperative	Kopdit Efata Credit Union	Nusantara Credit Union
11	Mora Doa – Soa Women's Cooperative	Perempuan Waerana Credit Union	Serba Usaha Ca Nai Cooperative
12	Manunggu Consumer Cooperative	Kopdit Pius XII Credit Union	Swabina Credit Union
13	Aimere Village Cooperative	East Manggarai Sejahtera Consumer Cooperative	Semut Women's Cooperative
14	Serba Usaha Serviam Cooperative	Serba Usaha Gapoktan Langgasai Cooperative	Serba Usaha Budi Karya Cooperative
15	Serba Usaha Sejati Anggur Merah Cooperative	Kopdit Mentari Credit Union	Caritas Credit Union
16	Gerakan Ekonomi Keluarga Credit Union	Surya Mekar Credit Union	Amal Bakti Credit Union
17	Waning Baarahu Fishery Production Cooperative	Reje Leles Credit Union	Serba Usaha Gapoktan Trans Cooperative
18	Serba Usaha Wiu Riwu Cooperative	Wangkar Weli Hydropower Generation Cooperative	Serba Usaha Dirgantara Cooperative
19	Kamisan Women's Cooperative	Iling Mbau Cama Cama Cooperative	Serba Usaha Bidadari Cooperative
20		Ronting Jaya Fishers Cooperative	

The Ngada District Medium-Term Development Plan (RPJMD) for 2021–2026 explains that the percentage of active cooperatives in Ngada District remained stable in 2017–2019 at 90.74%. This indicates that operating conditions had not changed for cooperatives in Ngada District during those three years, both in terms of the number of cooperatives and the number of active cooperatives. This stagnation was caused by cooperative governance not being optimal.[24]

Meanwhile, the number of cooperatives in West Manggarai District continues to increase. The West Manggarai District Industry, Trade, and Cooperatives Office notes that most cooperatives operating in the district provide savings and loan services. However, data shows the number of active cooperatives continued to fall from 2015 to 2019, due to a lack of professional cooperative management, inadequate facilities and infrastructure, and a lack of access to capital assistance. [25]

3.1.3. Farmer group associations (*Gapoktan*)

Most *Gapoktan* are currently engaged in an initiative called Rural Agribusiness Enterprise Development (PUAP) program, which is part of the National Program for Independent Community Empowerment (PNPM-Mandiri).[26] The

[23] Cooperatives Data – Ministry of Cooperatives and Small-Medium Enterprises (depkop.go.id)
[24] Ngada District Medium-Term Development Plan 2021–2026, p. 184
[25] West Manggarai District Medium-Term Development 2021–2026, p. 111
[26] PNPM Mandiri Perdesaan stands for National Program for Rural Community Empowerment is one of the community empowerment program developed under the PNPM Mandiri and is coordinated by the Ministry of Village and Remote Area Development. The program objective is to accelerate poverty reduction and expand job opportunities in rural areas. PNPM Mandiri fully adopts the mechanisms and procedures of the Sub-District Development Program (PPK) which had been implemented since 1998. PNPM Mandiri itself was officially inaugurated by the President of

program, which provides capital support to develop agriculture-based businesses, consists of four sub-systems: the upstream sub-system for producing agriculture inputs; the primary agriculture sub-system for agriculture activities that use those inputs; the downstream agribusiness sub-system for processing and marketing the resulting yield; and the supporting sub-system for capital, technology, etc. based on the agriculture potential of the target village.[27]

The justification for PUAP is the difficulties farmers face in accessing capital for developing agriculture businesses. Conventional financial institutions such as banks assume that agriculture-based businesses, especially those involving smallholders, are high risk and low turnover, and are therefore reluctant to lend money to the sector.

The program's core business is providing IDR 100 million grants to farmer group associations for disbursal to farmer groups through credit schemes. In accessing this capital, farmer groups are required to provide business plans explaining the type of business, how it will operate, and the investment needed to run the business.

The PUAP program has been implemented nationally since 2008, and began with the disbursement of funds for 10,542 *Gapoktan* in 389 districts. In 2011, PUAP disbursed funds for 9,110 new *Gapoktan* in 445 districts. Through the scheme, disbursed funds can be managed as savings and loans in the first year, then *Gapoktan* evolve to become agribusiness microfinance organizations in year two, until they are finally expected to operate as cooperatives from year three onward.[28]

In 2012, Burung Indonesia conducted an assessment of the PUAP program in Mbeliling, West Manggarai District. Below is a list of farmer groups that received funds from PUAP.[29]

Table 5. List of *Gapoktan* identified in Mbeliling

Village	Name	Funds received (IDR)
Mata Wae	Naga Cahaya	100,000,000
Golo Kempo	Sinar Mutiara	100,000,000
Kempo	Dangkatul	100,000,000
Tiwu Nampar	Kembang Selatan	99,805,000
Golo Mori	Embun Indah	100,000,000
Golo Damu	Puncak Eltari	100,000,000
Golo Desat	Puar Lolo	100,000,000
Golo Ndaring	Watu Weri	100,000,000
Warloka	Kembang Mekar	100,000,000
Golo Sengang	Ganda Pura	100,000,000
Golo Mbu	Mitra Golo Mbu	100,000,000
Sano Nggoang	Sano Nggoang	100,000,000
Golo Pongkor	Pongkor Jaya	100,000,000
Macang Tanggar	Trans	100,000,000
Cunca Lolos	Compang Roe	100,000,000
Liang Ndara	Mbeliling Bersatu	100,000,000
Golo Manting	Wae Paku	100,000,000
Wae Lolos	Gerbang mas	100,000,000
Wae Wako	Bina Karya	100,000,000
Siru	Watu Paka Lendo	100,000,000

Based on Burung Indonesia's assessment in 2012 in Mbeliling in West Manggarai District, some farmer groups have been successful in paying back the money to *Gapoktan*, and some have even applied for further credit. The table below shows capital accumulation by *Gapoktan* until the end of 2012.[30]

the Republic of Indonesia in 2007 and has been funded by the national and sub-national budget as well as other donors coordinated by the World Bank.

[27] General Guidelines on Development of Rural Agribusinesses (PUAP), Ministry of Agriculture, 2010, p. 4

[28] Agus Dwi Nugroho et al., 2018. Evaluation of the Rural Agribusiness Empowerment Program in Jogjakarta Special Region Province, p. 185 (PDF) EVALUASI PROGRAM PEMBERDAYAAN USAHA AGRIBISNIS PERDESAAN (PUAP) DI PROVINSI DAERAH ISTIMEWA YOGYAKARTA (researchgate.net)

[29] Yosep Sudarso, Assessment Report: Comprehensive Assessment of Microfinance Practices and Potential for Further Development in the Mbeliling Landscape, West Manggarai District, East Nusa Tenggara Province, Burung Indonesia, 2012, p. 17

[30] Ibid. p. 18

Table 6. *Gapoktan* capital accumulation

No.	Village	Farmer group association	Capital (IDR)
1.	Golo Ndaring	Watu Weri	145,102,100
2.	Sano Nggoang	Sano Nggoang	125,205,000
3.	Golo Pongkor	Pongkor jaya	128,000,000
4.	Cunca Lolos	Compang Roe	128,516,200
5.	Liang Ndara	Mbeliling Bersatu	131,924,000
6.	Golo Manting	Wae Paku	126,145,000
7.	Watu Nggelek	Kembang Mekar	125,650,000

In some farmer groups, credit interest rates are set higher than those determined by the *Gapoktan*. The farmer groups use the extra amounts collected to increase their capital and support other group activities.

However, PUAP fund availability has varied between different *Gapoktan*. Some funds disbursed to farmer groups in villages have yet to be repaid to them as expected, with many farmers unable to pay back the money to their groups. As a result, the number of *Gapoktan* still managing PUAP funds is now very limited.

3.1.4. Credit unions

Credit unions have existed in Flores for a very long time, with various backgrounds behind their establishment and the parties involved in their facilitation and initiation. In general, the credit unions were set up either by communities themselves, by NGOs or religious organizations, and through government programs. On average, their memberships comprise between 10 and 50 people. The basic principles adopted by these credit unions are to be self-supporting and to minimize dependence on outside support.

The number of credit unions increased significantly during the 2000s when many NGOs were involved in community development in rural areas. This new era has seen the improvement of the scheme with the introduction of modern management.

The table below shows capital accumulation in credit unions in the Mbeliling landscape in West Manggarai District.[31]

Table 7. *Credit unions in Mbeliling by number of members and capital accumulation*

No.	Village	Name	No. of members	Capital (IDR)
1	Kempo	Wae Ngguar	11	2,000,000
2	Warloka	Wae Wuul	15	19,583,000
3	Warloka	Kompo Nepa	24	26,449,000
4	Warloka	Harapan Bersama	15	7,000,000
5	Warloka	Golo Banggang	10	12,417,000
6	Golo Desat	Melati	38	8,000,000
7	Golo Desat	Karya Indah	11	4,500,000
8	Golo Mbu	Wae Laing	28	4,900,000
9	Poco Golo Kempo	Sukun Jaya	50	2,639,500
10	Wae Wako	UBSP Roho	25	8,000,000
11	Benteng dewa	Sehati	28	10,000,000
12	Benteng Dewa	Sejati	26	10,000,000
13	Poco Golo Kempo	Campe Saep	50	7,700,000
14	Benteng Dewa	Gilang	25	10,000,000
15	Wae Sano	Sambung Rasa	21	9,000,000
16	Benteng dewa	Ingin Maju	21	2,228,000
17	Cunca lolos	Mitra Tani Lestari	29	7,200,000
18	Liang Ndara	Lestari jaya	19	4,000,000
19	Wae Wako	Jimpitan kondeng	52	600,000
20	Poco Golo Kempo	Harapan Bersama	53	50,509,000

Despite these data coming only from the Mbeliling landscape, they do provide a general profile for credit unions in West Manggarai and in IN-FLORES project sites.

[31] Yosep Sudarso, Ibid. p. 8

Such groups can be relied upon for the high levels of awareness and solidarity among their members, who feel responsible for maintaining the sustainability of their organizations. With improvements in institutional and administrative management these groups will be potential partners in nurturing community business enterprises.

3.2. Capacity profile for community organizations and businesses

The capacity of an organization can only be determined fully by assessing it directly. Therefore, the narrative descriptions here provide only a general overview of institutional capacity in community businesses, and do not refer to specific types of institutions. Certainly some have capacity higher than that described here, while others are probably lower.

These descriptions focus on the five main components of community business institutions, namely capacity in membership, capacity in institutional development, capacity in raising capital, capacity in business management, and capacity in networking.

3.2.1. Capacity in membership

An important ability for community business institutions is the capacity to recruit new members. This relates closely to the financial capacity and public profile of the institution. The more members it has, the more capital it can collect. The more members it has, the better its public profile, and public trust in the organization will increase accordingly. The public profile of a community business institution will fall if continually loses members.

Membership capacity relates to how institutions are able to keep existing members while trying to increase their membership by recruiting new members. The key elements of this are the institution's business performance and promotion activities to raise its public image.

Based on field observations and focus group discussions conducted during stakeholder consultations, the community business institutions were generally identified as not having sufficient capacity in membership, as numbers of members appeared stable, or even tended to fall.

During the FGD in Pota on 8 November 2021, community members said a fishery group had only been established to meet the necessary requirements for securing support from the district government fisheries office. Once the group and its members had received support from the office, they just left the group. The same situation occurred on Longos island.[32]

The situation was better for credit unions. Despite no significant increases in membership, they at least managed to retain members from the initial stage. Social control between members is strong, and they are committed to ensuring transparency and equality.

The situation is different for *BUMDes* as they are not membership-based enterprises, but are established by village governments and community members, and are operated by management teams chosen in village meetings. Instead of relying on members, as village business holdings, *BUMDES* are expected to invest in and develop community enterprises as subsidiaries. Generally, however, most *BUMDes* in the region still focus their efforts on how to improve business development and institutional management performance.

Regarding membership, the case for *Gapoktan* is more or less the same case as for *BUMDes*. *Gapoktan* members are farmer groups formally registered as members. They have no specific plans or/and strategies to recruit new farmer groups as members. Based on observations, numbers of *Gapoktan* members are stable. However, many of these members are inactive due to not being able to make credit repayments.

In contrast, members of the big five cooperatives listed in Table 3 continue to grow in number. These cooperatives' management teams actively recruit new members through various program and promotion activities. Their success in recruiting new members is likely supported by their positive public image.

3.2.2. Capacity in institutional management

The United Nations Development Programme (UNDP) defines institutional capacity as the capability of an institution to set and achieve social and economic goals, through knowledge, skills, systems, and institutions. For the local organization context, this means the ability to understand the actual challenges faced by the organization and the goals that need to be achieved, and then turn them into action.

[32] FGDs were held in Pota on 8 November 2021, and on Longos island on 13 November 2021

The importance of capacity in institutional management, especially for institutions that run businesses and raise capital, is because it affects the trust it could gain both internally and externally. Internally, a community business institution must be an organization that is trusted by its members, while having a bargaining position and the capacity to negotiate with other institutions. This will be realized through organizational and administrative management as required, which ensures transparency and accountability.

There are many tools that an institution must apply to support its institutional management capacity: organizational structure, program planning and implementation, people to carry out the mandate of the institution, administration procedures, and information and knowledge systems.

Based on these criteria, only the big cooperatives have adequate capacity in institutional management. The other community business institutions mentioned above still have low capacity.

The sustainability of a community business institution is highly dependent on its level of transparency and accountability in day-to-day operations. One means for realizing transparency is effective administration that documents all activities, decisions made and financial transactions within the institution. Generally, apart from the large cooperatives, the administrative management of community business institutions in the project sites is substandard. Therefore, capacity building in institutional management is important to improve these institutions' profiles.

Another challenge related to institutional development is the inability of managers to run their institutions effectively. They generally have organizational structures with persons in charge, but their understanding of tasks is inadequate. It is quite common for an institution's management to a limited number of competent persons, while others are only there to make up the numbers. Organizational structures tend not to be developed based on the institution's needs, but rather just imitate other institutions' structures without adequate understanding or ownership.

3.2.3. Capacity in raising capital

For credit unions, capital raising is directed towards an ability to process credit applications, especially those from members. The main sources of capital for such community business institutions are members' deposits, donations from certain parties, and credit from financing organizations. The higher the capital, the greater the capacity to serve the credit needs of members.

In order to improve the capacity to provide credit to members, in the short term, community business institutions can access capital from stronger financial organizations (government programs, large cooperatives, banks) through credit schemes on behalf of the institution. The interest on loans taken out by members is higher than that to be paid to the lending institution. This excess can further strengthen the institution's capital.

This is a common practice in cooperatives and credit unions, but is rare for *BUMDes*. Almost no *BUMDes* dare to apply for loans from large financial institutions to meet their capital needs for business development within the *BUMDes* itself, or to support business development for villagers through credit schemes or business cooperation.

The same applies to *Gapoktan*, where additional capital is only sourced from interest payments on farmer group loans. Generally, no *Gapoktan* have the capacity to access funding from financial institutions to increase capital. This is mainly because their management lacks the capacity to prepare business proposals that are convincing enough to persuade financial institutions to provide loans.

Internally, *Gapoktan* are already troubled with the non-performing credit of famer groups which prevents them from exploring the possibility of additional funding from outside sources. On top of that, *Gapoktan* are not positioned as catalysts for community business development but more as administrators of PUAP funds allocated by the government.

Capacity building in raising capital is needed for *BUMDes* and *Gapoktan* so they can perform their roles as catalysts for community business development, especially agriculture-based businesses. Of course, this capacity development is closely related to the development of other capacities, especially in planning and operating businesses.

3.2.4. Capacity in business management

One important aspect in the development of community business institutions is capacity in business management or the enterprise aspect. This capacity allows the institution to thrive because its main purpose is to develop business. So it makes no sense if a community business institution lacks this important attribute.

The first thing needed in developing a business is the ability to identify business opportunities at the local level. Community business institutions generally still have limited capacity in this regard. The institutions assessed had different challenges relating to business development and management.

For the five big cooperatives, despite already being successful, they were unable to diversify their businesses and instead only exploited their existing business models. *BUMDes*, which are expected to run a slightly different business model tend to end up competing with existing local businesses rather than acting as partners or supporters. Meanwhile, *Gapoktan* have been unable to choose business proposals properly due to a lack of capacity in assessing business proposals from farmer groups. Credit unions do not consider this capacity important because the main purpose is limited to providing loans when members are facing financial constraints.

The second aspect needed for business development is the capacity to operate or manage businesses professionally. There were not many success stories of businesses owned by institutions, except for credit unions. The main challenge has been unprofessional business management teams, which in many cases, were unable to separate their own private and institutional business interests. Clearly, mechanisms for accountability are not being applied properly.

The big cooperatives do have adequate capacity in business development. They provide relevant mentoring programs for creditors in terms of the technical and managerial aspects of business development. Conversely, *BUMDes* and *Gapoktan* are unable to deliver this function due to their lack of experience. Therefore, capacity building in business development and business management are important for *BUMDes*, *Gapoktan*, and credit unions.

3.2.5. Capacity in networking

Network development is important for all organizations wanting not just to survive, but also to thrive, including community business institutions, which need all the support they can get from networks to raise capital, strengthen their institutions, and especially develop businesses.

The community business institutions have generally not been active in developing networks. They tend to wait for offers from other organizations or wait to be facilitated to develop networks with other organizations. Simply, they have no specific strategies or plans for network development. Though they are willing to build relationships with likeminded organizations, they just lack the ability to do so.

Big cooperatives have reasonable networking capacity, mainly through associations of primary, secondary, and tertiary cooperatives as well as cooperative umbrella organizations. Through this association, cooperatives can connect quite easily with other organizations in initiating collaboration or networking.

Networking development basically depends on the public profile of an organization. The better its profile in the eyes of prospective partners, the easier it is to work with other parties. *BUMDes*, *Gapoktan*, small and medium cooperatives, and credit unions still need to improve their organizational profiles to gain the trust of prospective partners.

3.3. Potential for capacity development

There are several programs from various stakeholders with potential for use in developing the capacity of community business institutions. These programs are many and varied, but three programs were deemed to have high potential based on the results of stakeholder consultations conducted by PPG team.

3.3.1. KUR program

The KUR Program (*Kredit Usaha Rakyat* or Community Enterprise Credit) is a government program aimed at providing financing access for micro, small and medium enterprises (MSMEs), which is disbursed through financial institutions with credit guarantees. The KUR Program aims to strengthen business capital capacity in line with the implementation of a policy to accelerate real sector development and empowerment of MSMEs.[33]

To implement the program, the government issued Presidential Instruction No. 6/2007 on Policy to Accelerate Real Sector Development and Empower MSMEs. The KUR Program was officially launched on 5 November 2007. Financing support disbursed through the KUR Program is sourced from banking funds or financial institutions that act as KUR disbursers. The funds are provided as working capital or for investment and are disbursed to MSMEs; both individuals and business group, which have viable businesses but lack credit guarantees or bankability.

From field observations and consultations, the PPG team discovered that Bank BNI, Bank BRI and Bank NTT have set a KUR ceiling of IDR 500 million for community businesses in agriculture, livestock, food processing, tourism and trade sectors with two classifications (retail and commercial). Bank BRI Unit Riung prepared KUR funds amounting to IDR 25 billion for 2021, IDR 22 billion of which, had been channeled to the fisheries and trade sectors as of November 2021.

[33] KUR • Maksud Dan Tujuan (ekon.go.id)

The terms and processes for distributing KUR funds are relatively easy. The requirements for applying for KUR are possessing a business that has been running for at least **6 months** (previously 24 months), proof of a business license, ID card and family card. Then disbursement of funds will be made within **1-3 working days**. Before approving the KUR application, the respective bank will conduct an analysis into the community's business and an on-the-spot check to ensure the capacity of the community to repay the loan.

Loan interest of **6%** is considered appropriate because lower interest would diminish the community's willingness to repay as they tend to consider loans as grants. In addition, the low NPL (<3% for Bank BRI and 0% for Bank BNI Bajawa) indicates the public's capacity to repay. [34]

3.3.2. Tourism village program

According to Nuryanti (1993), a tourism village is a tourist destination which integrates a tourist attraction, public facility, tourism facility, and accessibility, representative of a community where rules and cultural traditions are an integral part of community life.[35]

The tourism village program originated from the Ministry of Tourism and Creative Economy (*Kemenparekraf*) as a featured program,[36] which was initiated in 2011. In the National Medium-Term Development Plan (RPJMN) for 2020–2024, *Kemenparekraf* has targeted 244 certified tourism villages to become self-sufficient tourism villages by 2024. More than half of these villages are located in five priority tourist destinations and will be expanded continuously.

In line with *Kemenparekraf*, The Ministry of Villages, Development of Disadvantaged Regions and Transmigration (*Kemendes-PDTT*) also considers the tourism village program as a post-Covid-19 booster program. *Kemenparekraf* continues to strengthen collaboration and ensure program synergy with *Kemendes-PDTT* in developing tourism villages in Indonesia to provide job opportunities and increase community well-being.[37] The tourism village program will support capacity development for *BUMDes*, mainly in business planning and management, and marketing products produced by communities.

Based on the results of consultations with various stakeholders, communities need to improve their business planning and management capacities, enhance product quality and marketing, and improve strategies/efforts to ensure product sustainability. The East Nusa Tenggara Provincial Government, through the NTT National Regional Handicrafts Council (*Dekranasda*) has provided online marketing platforms, such as '*Lapak Dekra*', while Bank BNI has also provided an "*Expora*" online export platform for its customers. Mentoring and strengthening of community capacity are also aimed at upscaling start-up businesses.[38]

3.3.3. Entrepreneurship development program

A priority program of the Ministry of Cooperatives and Small and Medium Enterprises (*KemenKUKM*) is entrepreneurship development which had only reached a ratio of 3.47% by 2021. In order to increase this ratio, *KemenKUKM* has implemented various activities on business consulting and business assistance services, facilitation of information technology development and business development.[39]

Regarding entrepreneurship assistance and mentoring, *KemenKUKM* has assisted 75 women in Flores whose main business activity is weaving.[40] This is relevant to the economic activities of women's groups in Pota and Riung.[41]

Although the scope of this entrepreneurship program remains limited, it is expected to help fill the gaps currently being experienced by community business institutions. Moreover, *KemenKUKM* has initiated collaboration with *Kemendes-PDTT*, especially for entrepreneurship development through *BUMDes*, and village economic improvement through small and medium enterprises.[42]

Entrepreneurship development is expected to help communities in managing businesses and utilizing available funds in the right manner. The field survey and stakeholder consultations suggest that business capital accessibility is not the main constraint today because of the ease of securing funds for community business development, especially those sourced from the KUR program. In addition, communities can also take advantage of available funds, including village

[34] Stakeholder consultations by Abdul Wahib Situmorang and Fransiska Sugi, 7–16 November 2021
[35] https://www.kompasiana.com/avecom/5a94c07e16835f6421771bd2/tak-mudah-membangun-desa-wisata-ini-syarat-syarat-yang-harus-ada
[36] *Desa Wisata Jadi Program Unggulan Kemenparekraf* (kompas.com)
[37] Press Release: *Kemenparekraf-Kemendes PDTT Sinergikan Program untuk Bangun Desa Wisata*
[38] Stakeholder consultations by Abdul Wahib Situmorang and Fransiska Sugi, 7–16 November 2021
[39] *6 Program Ini Jadi Fokus Kemenkop-UKM Sepanjang 2021* (mediaindonesia.com)
[40] Consultation with the Ministry of Cooperatives and Small and Medium Enterprises on 21 December 2021
[41] Stakeholder consultations by Abdul Wahib Situmorang and Fransiska Sugi, 7–16 November 2021
[42] Ibid.

funds, from the provincial and district governments. Government funds are disbursed to communities in the form of grants or equipment assistance, and various forms of training and mentoring.

4. Conclusions and recommendations

4.1. Conclusions

a. In carrying out their roles as economic drivers, community business institutions have at least five main capacities at sufficient levels: member-raising capacity, institutional development capacity, capital raising capacity, business management capacity, and network development capacity. As these capacities support and influence each other, their levels must be adequate.

b. The village communities have a large number of business institutions, but not many function as originally intended. Some are only recorded administratively but carry out no activities, as they were only formed to meet the necessary requirements for accessing outside support. Others are operational, but make little progress, and still operate as they did when they were originally established. Some are growing, though not significantly due to a lack of capacity.

c. Institutional capacity building is often considered an organizational necessity. However, there are very few organizations that clearly plan for institutional capacity development. Capacity assessments are not conducted properly as the basis for organizations to plan the necessary capacity development. Community organizations tend to be passive, waiting for offers from outside parties, which may not always fit with their priority needs.

d. Although the capacity of the community business institutions is generally inadequate, the capacity that is most lacking is the capacity to develop businesses. This includes skills in identifying business ideas, preparing business plan, running businesses profitably, and ensuring their sustainability. This is a basic prerequisite for developing other capacities needed in the organization, and also concerns the task of providing competent people to manage the organization's business.

e. Nowadays, developing business capital capacity and organizational networks is easier than it was 10 years ago. Many financial institutions are ready to work with community business institutions to develop their enterprises. The schemes on offer vary, ranging from grants, guarantee free and low interest loans, to business partnership schemes.

f. A number of programs from various parties are relevant to the capacity building needs of community business institutions, such as the KUR, tourist village, and entrepreneurship development programs. These all have potential for developing all five key capacities for community business institutions.

4.2. Recommendations

Regarding capacity building for community business institutions, referring to the narrative descriptions above, a number of actions are necessary:

a. Community business institution members and boards need to be more knowledgeable about the basic elements of organizations in general. This is the starting point to enable them to assess by themselves whether their organizations are heading in the right direction, or if any challenges still need addressing.

b. It is necessary for the project to provide technical facilitation for community business institutions to formulate strategic plans for their institutions. This is the way for members and boards to examine and evaluate their organization's vision, mission, goals, and targets. Such processes will build a common understanding among members concerning the institution's objectives.

c. It is necessary for the project to provide technical facilitation for community business institutions to conduct institutional capacity and capacity building needs assessments. The results of such assessments would be used as a reference for institutional capacity building and also as a baseline for institutional capacity.

d. It is necessary to conduct the following forms of technical training:

- Training on identifying potential business opportunities
- Training on developing business plans
- Training on business management
- Training on financial administration and management

e. It is necessary for the project to consider existing programs from stakeholders on capacity building for community business institutions. There are opportunities to help accelerate capacity building programs for community business institutions that deal with alternative economic development and support nature and biodiversity conservation.

Annex 22: Knowledge, Attitudes and Practices (KAP) Survey Framework

Prepared by: Burung Indonesia

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID**: 10728

1. Introduction

This document presents the framework for the Knowledge, Attitudes, and Practices (KAP) survey for the UNDP-GEF project "Investing in the Komodo dragon and other globally threatened species in Flores" (IN-FLORES). A KAP survey is a representative study of a specific population to collect information on what is known, believed, and done about a particular topic. It is a quantitative method (predefined questions and formatted in a standardized questionnaire) that provides access to quantitative and qualitative information. A KAP survey can identify information that is commonly known and attitudes that are commonly held. To some extent, it can identify factors influencing behavior that are not known to most people, reasons for their attitudes, and how and why people practice certain behaviors. A KAP survey can also assess communication processes and sources that are key to defining effective activities and messages for conservation behavior. A KAP survey can identify knowledge gaps, cultural beliefs, or behavioral patterns that may facilitate understanding and action, as well as barriers for conservation behaviors.

There are, however, limitations to KAP surveys; it records an "opinion" and is based on the "declarative" statements. It reveals what was said, but there may be considerable gaps between what is said and what is done. Therefore, if one wishes to deepen one's knowledge and understanding of a situation or a problem, or highlight aspects that are not yet known, it is necessary to complete a KAP survey using individual and/or group interviews (focus groups) based on open questions. These methods combine observations and open interviews and help deepen certain topics addressed during a KAP survey.

2. Project Overview

The IN-FLORES project's primary objective is to promote conservation of Komodo dragon and other globally threatened species in Flores, East Nusa Tenggara Province, Indonesia through strengthened and integrated management of multiple-use landscapes-seascapes, improved private sector community engagement, and diversified financing for biodiversity conservation and livelihood improvement, and knowledge management. This project is expected to achieve effective conservation within and outside the government's formal protected areas, provide alternative new economic models and nature-supportive livelihood activities for the sustainability of conservation effort and the benefit of the communities, as well as improve awareness and knowledge amongst stakeholders. Two landscapes-seascapes in the western part and northern part of Flores have been identified as the habitat and home range of the Komodo dragon and other globally threatened species. Each of the landscapes-seascapes consists of diverse types of land-use with its authority agency and different character of communities.

3. Context Overview

During the project preparation phase, a diagnostic assessment was carried out from August to November 2021 to better understand stakeholders' perspectives on conservation and development in Flores. Focus groups discussion were held at community and district levels. Three community focus group discussions (FGDs) were held in Ngada district, East Manggarai district, and West Manggarai district. In the same districts, multi-stakeholders FGDs at district level were carried out since these districts cover most of the landscapes-seascapes.

The community FGDs were carried out in three selected communities; one community for each of the districts. In Ngada District, community consultation was held with the traditional Baar tribe that is considered as a customary *(Adat)* community. In East Manggarai, FGD was held with the communities in Pota Village that have diverse social backgrounds. In West Manggarai, communities on a small island called Longos Island were consulted. The data and analysis resulting from the consultation are taken using a qualitative approach that allows the diversity of expression and the presence in the sample of individuals with characteristics closely related to the phenomena studied.

At the district level, FGDs were followed by interviews with key informants. A total of 153 participants (24 female, 129 female) were involved. These include representatives from 12 villages, 30 government offices, and 2 CSOs. The focus group stimulates dialogue with a small group of target people around a topic and encourages spontaneous expression from the group which helps to identify the points of view. At the same time, such a dialogue will give opportunities to observe the way individuals interact, identify the ideas involved, and the meaning or cause attributed to the practices.

Many issues were raised and need to be taken into account in terms of project implementation, such as the safeguards aspects on tenure, human rights concern, gender, and accountability. The questions asked were to assess people's awareness on biodiversity conservation including human-wildlife conflict; natural resource utilization; community business potential; local governance and participatory planning; potential synergy with existing local government programs; and indication of the willingness to collaborate in the IN-FLORES project.

Results from the community consultations and FGDs suggested that knowledge on the existence of the Komodo dragon in Flores as well as its ecological aspect and values varies among the stakeholders. At the community level, communities consulted in the west and north landscapes-seascapes are aware of the existence of the Komodo dragon and other globally threatened species in their villages. However, only several individuals that have sufficient ecological knowledge and understanding about the biodiversity values. These are individuals (men) in the north landscape-seascape that have a previous engagement with a conservation NGO working on Komodo dragon (the Komodo Survival Programme).

Women are not involved in Komodo mitigation activities due to the traditional gender roles, and the issue is not in the interest of women. Even when women are involved, the opportunities are mainly for the key figures. Women have an active role in livelihoods and family financing which are strategic entry points to broaden their participation in resource management issues.

The attitude toward species conservation among stakeholders consulted is relatively low. Stakeholders at the district and community levels consider the value of biodiversity only from human-benefit perspective, such as income and source of food. Only several individuals at the community and at the district levels have the knowledge and comprehension of the inter-connectedness within the ecosystem. Short-term economic benefits are still prioritized due to the socio-economic condition. While there are possibilities to gain benefits from conserving Komodo dragon and other globally threatened species, generally it has been perceived that the species are not bringing any economic benefits. The Komodo dragon is seen as a threat for the livestock which serves as the "family insurance" for education, customary rituals and emergency situation.

Despite these barriers, improving the community's knowledge, attitude, and practice toward Komodo conservation is possible. Komodo Survival Program (KSP) reported that the communities in Riung and Pota in the north Flores landscape-seascape had negative perception toward Komodo dragon when surveyed in 2016. Through a structured campaign and community organizing during 2016-2019, there has been a positive trend toward conservation efforts including community participation. KSP surveyed community perceptions in 9 villages in Riung and Pota areas for three consecutive years and found that the community attitudes toward Komodo dragon is correlated positively with the perception of the Komodo dragon having benefits for the community. During 2016-2019, there was a significant positive increase in the perception of the benefits of the Komodo dragon and an acknowledgement of needing to coexist with the Komodo dragon.

The community in Longos Island (west landscape-seascape) also shared these negative perceptions with the PPG community consultation team. There is a concern that Komodo dragon will hunt humans if their population increases. In both landscapes-seascapes, the communities stated that they would retaliate if the Komodo dragon was caught in the act of attacking livestock but they do not hunt the Komodo dragon. Human-wildlife conflict (HWC) is one of common conservation problems where habitat fragmentation tends to increase the number of encounters between wild animals and humans.

Another factor contributing to the negative attitude toward the Komodo dragon is the sentiment toward the BKSDA and National Park as well as the local government. There has been a lack of trust from the Baar *Adat* community in the north landscape-seascape due to land tenure issues related to the Riung Nature Reserve. Similarly, communities in Longos Island have had been excluded from fishing around Rinca and Komodo Islands and are concerned that if Longos Island becomes a conservation area they may be forced off their land.

Nevertheless, there are community practices that support the conservation of Komodo dragon and other globally threatened species. The Baar tribe in Riung (north landscape-seascape) has set aside lands called *tanah Pirong* for protecting specified locations with prohibitions to carry out certain activities. One of the Pirongs is in Torong Padang peninsula, which is part of Komodo dragon habitat, for seasonal traditional deer hunting with certain rules obeyed by the community. The Baar tribe already has the local *Adat* mechanism to regulate deer hunting. Therefore, this practice can be considered as local wisdom that supports biodiversity conservation. In addition, there is also potential captive breeding of deer *(Rusa Timor)* by local communities. In Pota (north landscape-seascape), the local wisdom is not as strong as Riung yet there are still potential for revival. Moreover, there is already an active local champion with good knowledge on Komodo dragon ecology and handling the Komodo dragon.

Conversely, there have been cases of illegal trade of Komodo dragon in the north landscape-seascape. In addition, there have been also indications of illegal bird trade in the north and west landscapes-seascapes. Communities as well as the

district officials have expressed their concern on the use of air-rifle to hunt birds and other wildlife, not only for food but also for pleasure.

4. Literature Review

Knowledge is a set of understandings, knowledge and of "science." It is also one's capacity for imagining, one's way of perceiving. Knowledge of the ecological aspect of the species and its biodiversity value is considered to be beneficial, however, it does not automatically mean that it will be followed by pro-conservation behavior. The degree of knowledge assessed by the survey will help to locate areas where information and education efforts need to be focused. 'Attitude is the psychological tendency of an individual to evaluate an entity (person, place, behavior or thing) with a degree of favor or disfavor' (Albarracín et al. 2005). This is an intermediate variable between the situation and the response to this situation, and not directly observable as practices. It helps explain that among the possible practices for a subject submitted to a stimulus, that subject adopts one practice and not another. Practices or behaviors are the observable actions of an individual in response to a stimulus. This is something that deals with concrete actions.

Within conservation, there has been a general perception that positive conservation attitudes, or a positive attitude towards a protected area, are likely to be linked to pro-conservation behaviors, and several studies have therefore investigated attitudes towards conservation. It is interesting to note that numerous studies have often shown a low and sometimes no connection between attitude and practices. Some studies have noted that positive conservation attitudes do not translate to pro-conservation behaviors (Infield and Namara 2001; Waylen, McGowan et al. 2009). Several studies have collected data on attitudes towards a protected area or species and concluded that respondents hold positive attitudes, yet either do not engage in pro-conservation behaviors, or continue to perform behaviors that have negative consequences to conservation goals.

This is supported by the social psychological literature, which emphasizes that general attitudes do not successfully predict specific behaviors (Conner and Sparks 2008). Knowing how general attitudes are distributed does not necessarily help in the design of interventions to change a specific behavior because a person may have a positive attitude to conservation, and yet still perform behaviors that contradict that attitude (e.g. poach species that are of conservation concern). By more specifically defining the behavior of interest, and investigating attitude in the context of other social-psychological predictors of behavior (e.g. subjective norms, the presence of facilitating factors and moral obligation), behaviors that have an impact on conservation goals will be better understood, allowing for the improved design of interventions to influence them.

The theory of planned behavior is now the most extensively used social-psychological model (Hardeman et al. 2002). The relative importance of the three predictors (attitudes, subjective norms and perceived behavioral control) tends to differ from one behavior to another (Ajzen 1991). Social psychology emphasizes that a person's behavior will be influenced by subjective norms, namely the perceived expectations of valued others (Fishbein and Ajzen 1975). Subjective norms were important in predicting pro-conservation behaviors such as on-farm forestry (Zubair and Garforth 2006), on-farm conservation behaviors (including hedgerow management and tree planting) (Beedell and Rehman 2000), obeying boating speed limits in manatee (Trichechus manatus) areas (Aipanjiguly et al. 2003) and the intention to abide by proposed nature reserve rules (Seeland et al. 2002). Perceived behavioral control was also found to be an important predictor in pro-conservation decision making. For example, Zubair and Garforth (2006) identified factors that inhibited people from engaging in on-farm forestry and were then able to recommend facilitating factors, such as improved communication about markets, establishment of village nurseries, and information about appropriate species, which would increase adoption of this pro-conservation behavior (Zubair and Garforth 2006).

By using this model to investigate why people make specific decisions about a behavior, it is possible to learn which predictor is the most important with respect to the behavior of interest and, therefore, which predictor should be the target of behavior change interventions. As a result of this theory-based research, the authors cited above could specifically identify which person or groups of people (e.g. village elders, family members and friends) play a significant role in influencing whether an individual will engage in pro-conservation behaviors or not. Such information can be exploited for the benefit of conservation, allowing interventions aimed at changing behavior to be better targeted.

Some researchers have added other variables to the theory of planned behavior in an attempt to improve the predictive power of the model. Variables that have improved the theory of planned behavior include anticipated regret (Sheeran and Orbell 1999), descriptive norms (how other people actually behave, rather than what we perceive others will think of us) (Rivis and Sheeran 2003), self-efficacy (Armitage et al. 1999) and moral obligation (Beck and Ajzen 1991; Conner and Armitage 1998).

5. Methodology

Defining the Study Population

In defining the study population, sampling frame is used to define and list the criteria for survey inclusion and exclusion, which is to identify the people that would answer the questionnaire. Some criteria that may be used as inclusion criteria are age, sex, socio-economic, proximity to Komodo habitat/roaming area, and exclusion criteria such as refusal to participate. Based on the IN-FLORES project approach and the landscape-seascape profiles, the indicative stakeholder groups (disaggregated by women and Adat communities) are as follows: (a) subnational governmental stakeholders, (b) local communities, (c) private sector.

At the community level, below are the priority villages within the Komodo distribution area that should be taken into account as one of the target groups for KAP survey.

Table 1. Population in the priority villages

District	Sub-district	Village	Total		Total Population
			Men	**Women**	
EAST MANGGARAI	ELAR	GOLO LIJUN	1040	1044	2084
	ELAR Total				
	SAMBI RAMPAS	NAMPAR SEPANG	652	624	1276
		NANGA BARAS	587	567	1154
		NANGA MBALING	1206	1109	2315
		NANGA MBAUR	869	878	1747
		POTA	1665	1624	3289
NGADA	RIUNG	LATUNG	478	532	1010
		LENGKOSAMBI	490	353	843
		LENGKOSAMBI BARAT	607	567	1174
		LENGKOSAMBI TIMUR	387	321	708
		SAMBINASI	233	286	519
		SAMBINASI BARAT	289	251	540
		TADHO	818	973	1791
WEST MANGGARAI	BOLENG	TANJUNG BOLENG	1102	1095	2197
		PONTIANAK	586	557	1143
	BOLENG Total				
	KOMODO	GOLO MORI	997	1005	2002
		WARLOKA	906	867	1773
	KOMODO Total				
	LEMBOR SELATAN	NANGA BERE			1490
	LEMBOR SELATAN Total				
	MACANG PACAR	BARI	1035	1027	2062
		NANGA KANTOR	624	585	1209
		NANGA KANTOR BARAT	782	764	1546
Total Population 21 Villages					**31872**

Sampling Plan

Sampling ensures the validity of the survey and is often quite complex. The sample is considered representative when it shares the same characteristics (age, sex, socioeconomic status etc.) as the target group. Without representativeness, the results obtained on a sample cannot be generalized to the target group studied. There are different ways of calculating this number by following statistical calculation manuals, sampling protocols or by using sampling software. Whatever the process chosen, the sample size still depends on survey objectives and the intended degree of accuracy and representativeness. The formula most commonly used is as follows:

$$n = \frac{Z^2 \times (p) \times (1-p)}{c^2}$$

With: n = sample size; Z = value corresponding to a given confidence level (1.96 for a confidence level of 95%-value commonly used); p = percentage of the primary indicator, expressed as a decimal (default 0.5); c = standard error, expressed as a decimal (0.05 or 0.10 in general).

It is necessary during also to report the total response rate, or the refusal rate. This is a quality indicator of a survey.

$$\text{Response rate} = \frac{\text{Number of participants}}{\text{Number of people reached}}$$

Some sampling method include:

1. Probability sampling (random sampling)

   To increase the chances of representativeness of the sample, priority must be given to sampling methods that are based on the principle of random selection, i.e. that one considers that all persons belonging to the target group have the same chance of being in the sample and the results so obtained are conclusive and representative of the entire target population. Less prone to bias, these methods ensure the "statistical significance" of the survey and make it possible to assess the errors from the data itself, so the results of one survey can be compared to another. There are several common methods of random sampling that might be suitable to use in this study.

   - Cluster sampling

     The technique of cluster sampling helps to reduce costs. The method of cluster sampling is to divide the population into sub-groups also called "clusters". Not all these groups are selected: only a certain number of clusters are randomly selected to represent the target population. All units within the selected clusters are included in the sample (i.e. all people in these clusters are interviewed).

   - Multistage sampling

     Multistage sampling is a combination of the methods of random sampling; it guarantees the greatest representatives for the survey vis-à-vis the target group and the validity of results but it is also one of the most complex methods. In practice, when the conducting KAP surveys, we most commonly use the method of multistage sampling. For example, we will first carry out a cluster sampling to randomly select villages to be included in the survey (1st stage).Then, from the selected villages, households are selected to be included in the survey (2nd stage). This can be achieved using such systematic sampling, for example, whereby households are selected at regular intervals and calculated. The 3rd stage of sampling is selecting the respondents for the questionnaire. By examining the composition of these households, surveyors can, once contact is established, determine which persons meet the eligibility criteria for the survey. Only after this selection has been done can they begin the interviews.

2. Non-probability sampling (purposeful sampling, convenience sampling)

   The selection of participants is made according to their relevance to the objectives of the survey rather than the interests of statistical representation; the survey respondents are then selected by contact or when the opportunity arises. This sampling category includes voluntary, commodity or quota sampling. It is important to note that within the framework of surveys, convenience sampling is selected by default. Indeed, random methods are always preferred over them. The size of a convenience sample depends on criteria based on requirements' related to the target population, on the context in which data are collected and on the time available for the survey. The nonprobability method most commonly used for KAP surveys is that of "snowball" sampling. It is often used when the target population is difficult to reach or locate; in this case, the surveyors create a network of informants as part of the population of interest, which leads to other target group members and so on, until the desired number of respondents in the sample is reached. This technique can help create an extensive list of people matching the selected criteria who were not necessarily known to the surveyor, nor directly accessible. However, snowball sampling is an alternative method to be used only when probability sampling is not possible.

Preparing the Tools for Measurement (Questionnaires)

The questionnaire is the operational tool of the survey, composed of a list of questions and a list of responses made in advance. Some questions will be aimed at all respondents while others will target specific respondent profiles, such as the district government officials, the farmers groups and the women in the villages.

The steps to prepare the questionnaire is as follows:

1. Selection of questions from standardized questionnaires; these questions should be tested and considered reliable and valid. It is advisable to use only 3-4 open questions per questionnaires since analyzing open questions is time consuming.
2. Identifying supplemental questions, if needed.
3. Adapting the suggested answers to the context of local population. For multiple-choice questions, it is generally recommended not to exceed six proposed answers.
4. Coding the questionnaires in digital for faster entry and easier reading the analysis result.
5. Double translation of the questionnaires by professionals and written in the local language, and followed by back-translation into the source language.
6. Questionnaires pre-test to establish the validity of the questionnaires; this is different with the survey pilot test. Pilot test is to simulate under real condition. It is recommended that interview time should not exceed 45 minutes.
7. Constructing the data entry form to ensure its feasibility.
8. Finalizing the questionnaires; the final printing should allow readability and possible annotations.

Constructing the questionnaires is a critical steps since the reliability of KAP survey depends on the validity and reliability of the measurement tools (the questionnaires). However, measurement adaptation processes have rarely been considered during data collection in cultures that are clearly different from those of Western countries where original theories developed in a relatively more self-centered and open to free expression culture. Applying standard protocols could therefore produce culturally biased results in Eastern countries that are more community-centered and considerate of the social situation whenever people exchange opinions such as China and Indonesia (Forsyth, O'boyle, & McDaniel, 2008).

Kamil et.al (2021) have adapted specific psychological measurement usable in a wildlife conservation context by studying known conflicts occurring between Komodo dragons and communities within and outside protected areas in Northern Flores, Indonesia. They indicated that the adaptation process was successful, there is a consistent correlation among the first three measurements. Hence, these measurement tools are recommended to be use for IN-FLORES KAP Survey particularly to measure the knowledge, attitude and practices of the community regarding Komodo dragon. Other key questions, such as the natural resource management and livelihood can adapt other measurement and following the steps of constructing questionnaires. Those recommended tools are:

1. The self-report measure is derived from the Theory of Planned Behavior, which is used to measure some aspects that are related to real behavior: attitudes, subjective norms, perceived behavioral control and intentions (Ajzen, 1991). This theory focuses mostly on the cognitive element that may affect an individual's behavior within a specific social context.

2. Scale of the Comfortable Interpersonal Distance (CID) developed by Duke and Nowicki (1972), that was originally developed to measure how a respondent's personal space is influenced by proximity to another person. In Human Wildlife Conflict, conservationists want to establish a better coexistence between humans and wild animals, and measuring a perceived optimum distance from Komodo dragon that is safe and comfortable for the local community is a way to measure local people's readiness to coexist.

3. The Attitudes toward Animals (ATA) scale from Driscoll (1995) that previously applied in other Human Wildlife Conflict studies on large carnivores in Norway (Vittersø, Kaltenborn, & Bjerke, 1998) and charismatic fauna in West Africa (Grúnová, Brandlová, Svitálek, & Hejcmanová, 2017). Kamil et.al (2021) adapted the scale to measure the locals' perception toward a specific animal, thus they adapted the ten tendencies of value-based attitudes into six dimensions: 'useful-useless', 'smart-stupid', 'responsive-unresponsive', 'lovable-unlovable', 'safe-dangerous', and 'important-unimportant'.

4. The Emotional Pictorial Scale based on Komodo dragon pictures, using a pictorial scale to measure emotions of local people when they see a Komodo dragon in multiple specific situations. This measurement is derived from a classic study conducted by Ekman and Friesen (1971) who found six basic emotions from people of New Guinea matching those Western culture: happiness, anger, fear, sadness, surprise and disgust. Assessing which Komodo dragon behavior evokes negative emotions in local people may allow targeted interventions that could change local people's perception of Komodo dragon.

The first three measurements can be used for a one-time measurement to formulate a conflict mitigation strategy, or as a tool for longitudinal assessment to provide insights on how successful a mitigation program is. Though the last scale was not consistently correlated with other scales, the fact that the "surprise" emotion has mostly appeared after respondents were shown the pictures, this scale can be used by conservationists for a descriptive assessment. The "surprise" emotion means that respondents didn't know how a Komodo dragon could behave in the situation depicted in the pictures, such as fighting or being close to tourists without attacking them. This descriptive assessment can help researchers to understand to what extent the targeted community knows the behavior and biology of the animal.

6. Ethics Review and Data Protection

The draft questionnaire should be sent to the UNDP for an ethics and data protection review. A reputable university that has experience in similar types of survey/research can be considered as the ethics committee for the KAP survey. Adjustments to the questionnaire will be made according to possible ethics concerns.

7. Organizing Data Collection

A survey team consisting of interviewers and supervisors should be recruited and trained. Training is given to the survey team, ensuring consistency with respect to understanding the survey objectives, how the data will be use, data privacy aspects and communication methods deployed, as well as the ethics and data protection requirements. It is recommended to conduct a survey pilot test after the training to simulate the survey procedures of sampling, administration of questionnaires, and the team dynamic under real situation.

The interviewers are organized into teams and recruited for a period appropriate to the implementation of the survey; provided with their per diems, a detailed roadmap and the necessary equipment. Supervisors are divided between the different teams of surveyors; provided with "tally sheets" to keep track of the progress of the survey. Supervisors are the guarantors of the survey process and data quality. Additionally, daily debriefings arranged by the supervisors, a break day can be planned at midterm for surveyors to share any concerns with the rest of the team including to rethink the composition of the teams if some are progressing more slowly, or if tensions arise.

Surveyors should present themselves a positive and respectful way to the respondents. They must straightaway stress the confidentiality of the responses. Once confidentiality is guaranteed, surveyors obtain informed consent from the interviewees. The free and informed consent is proof that the person agrees to participate in the survey. It must be collected early in the survey and allows the inclusion in the research.

Once the respondents interviewed, it is important to develop an identification system to more easily recognize the people already interviewed. People should not receive compensation for participating in the KAP surveys.

8. Data Analysis Plan

It is the field team's responsibility to organize the entry of the data from the KAP questionnaires. It is recommended to hire or assign a person or service provider for this task, and choose data entry software that has quality control mechanisms (e.g.: allowed values; inconsistency alerts) such as Sphinx, Epi Info or Epi Data. Consistent with the recommendations of the ethics review, collected data should be managed carefully. For example, using code numbers instead of names. It is advisable to conduct a double entry of questionnaires to identify typos or identify systematic errors or the error rate per staff input. This double entry must include at least 10% of questionnaires selected randomly. It furthermore saves the time that will be necessary for data cleaning.

Verification and validation of data is an important step in a survey's quality control. Ideally, someone other than the data entry clerk will review the data, spot entry errors, verify extreme data and incongruous data. The data, once verified and validated, are saved and reserved for analytical work.

Depending on the degree of scientific rigor required for the survey, it will be necessary to conduct statistical analysis of data expressed as confidence intervals and p-values. This analysis is more accurate in describing the sample and variables present in the sample. It should clearly describe the profiles of people encountered and return characteristics (variables) that differ from one respondent to another (e.g. age, sex) or from one situation to another (e.g. small island vs mainland). These are the data that express the characteristics of the sample and make it possible to identify certain shared or divergent traits.

The results of the baseline KAP survey will be systematically documented, with verifiable evidence of the findings reached and providing a set of recommendations for the project in order to affect the knowledge, attitudes and practices over the course of the 6-year implementation timeframe. Mid-term project survey findings will be analyzed to identify the levers and ways forward to anticipate and overcome potential obstacles, as well as to monitor progress and indication of changes. The end-of-project survey findings should be analysed according to the envisaged changes, and summarize the feedback gathered, drawing conclusions on achievements made.

9. Reporting and Dissemination

The report of the KAP survey should not be considered an internal document and the results are disseminated to all stakeholders involved. The survey results are shared in order to discuss new policies and/or new positions and/or operational decisions, as well as to achieve the outcome of the knowledge management component. The result summary must be adapted to different partners with which it is addressed. Indeed, test results and recommendations

may not be shared with everyone. In addressing a different audience, it is important to convey a message relevant to their activities, their positioning and their actions in conservation.

10. Conclusion

Steps in conducting the KAP survey are presented in the table on the following page:

Task 1	Task 2	Task 3	Task 4
Development of survey protocol	**Preparation of the survey**	**Data Collection**	**Data analysis**
- Definition of the objectives of the survey - Identification of the target population - Calculation of sample size - Choice of sampling methods for the target population - Selection of the questions - Adaptation of the answers - Preparation of the analysis plan - Translation/back-translation of the questionnaire - Pre-test questionnaire - Construction of data entry form - Validation of questionnaire - Validation of the survey protocol	- Featured resource sites/gathering places/communities - Choice of survey schedule - Prediction of material resources and logistical needs - Prediction of human resources needed - Recruitment and training of surveyors and supervisors - Survey pilot test - Sending of official mailings	- Mobilization of teams - Obtaining approvals and consents - Marking of respondents interviewed - Checking the completed questionnaires - General supervision of the survey	- Data entry and data cleaning - Data analysis - Writing the survey report - Summary of the survey and dissemination

Annex 23. Estimation of greenhouse gas emissions mitigated

Project: Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)	
UNDP PIMS: 6506	**GEF Project ID:** 10728

This annex presents the estimation of greenhouse gas emissions mitigated through the interventions planned in the subject project. The estimation was made using version 9.2.0 of the FAO Ex-Ante Carbon-balance Tool (EX-ACT). The EX-ACT spreadsheets are attached separately to this annex.

Project site and duration:

Continent:	South-eastern Asia
Country:	Indonesia
Climate:	Tropical
Moisture:	Moist
Soil type:	High activity clay soils
Project duration:	Implementation Phase: 6 years
	Capitalization Phase: 14 years
	Total Duration of Accounting: 20 years (Estimated start: 2023)

Key assumptions in the estimations:

Estimated greenhouse gas emissions mitigated were made for the expected results achieved through interventions in terrestrial ecosystems in the target landscapes-seascapes.

Description	**Terrestrial Landscape Area (ha)**
Within protected areas	47,062
Outside protected areas	275,946
Total:	**323,008**

Marine areas of the landscapes-seascapes were not considered in the estimations.

Module 5 (5.1. Forest Degradation and Management). Mitigation benefits assumed to be generated through improved terrestrial PA management and management of terrestrial OECMs (with project, assume forest degradation level improved from moderate to very low; without project, assume forest degradation improved from moderate to low – through domestic funding only).

	Tropical moist deciduous forest (ha)	Tropical dry forest (ha)
Terrestrial PA's	23,531	23,531
OECMs (assume 50,000 ha total)	25,000	25,000
Total:	**48,531**	**48,531**

Module 2 (2.2. Afforestation & Reforestation). Of the total 300 ha earmarked for restoration, 150 ha is assumed to be in Tropical moist deciduous forest areas). Initial land use is considered to be "degraded land" and restored through agroforestry systems.

Module 4 (4.1.2. Grassland systems remaining grassland systems). Of the total 300 ha earmarked for restoration, 150 ha is assumed to be in grassland (savanna) ecosystems. Initial state considered to be "severely degraded" and with project, state changed to "non-degraded".

Module 3 (3.1.2. Annual cropping systems remaining annual cropping systems). Assume 250 ha of sustainable land management practices, with improved tillage and inputs of organic material, and retained residuals.

Module 3 (3.2.2. Perennial systems remaining perennial systems). Assume 50 ha of sustainable land management practices in agroforestry systems, with improved tillage and inputs of organic material, and retained residuals.

Assume no mitigation benefits achieved over the remaining terrestrial area (225,946 ha)

- 56,487 ha of tropical moist deciduous forest, with very low degradation level of the vegetation
- 56,486 ha of tropical dry forest, with very low degradation level of the vegetation
- 112,973 ha of tropical moist deciduous forest, with moderate degradation level of the vegetation

The intention was to represent the entire terrestrial area of the target landscapes in the EX-ACT tool. Mitigation benefits are estimated to be achieved within the protected areas, the approximated extent of OECMs, and where restoration interventions are planned.

Certain improved landscape management practices that benefit biodiversity may not necessarily result in direct mitigation benefits. Some examples of such practices, e.g., catalyzed by the project and achieved through mainstreaming results, including improved management of human-wildlife conflicts, wildlife-friendly transportation planning and development; improved ecological flow management (benefitting freshwater aquatic biodiversity), improved ecotourism experiences, reduced reliance on chemical fertilizers and pesticides, benefitting insect populations, including pollinators, sustainable utilization of indigenous agrobiodiversity species, also strengthening resilience of local communities.

Estimated mitigation benefits: -3,383,002 tons of carbon dioxide equivalent (tCO2e)

DETAILED RESULTS

Project name	Investing in the Komodo Dragon and other globally threatened species in Flores (IN-FLORES)						
Continent	South-eastern Asia	**Project duration (in years)**		**Total area (ha)**	323,608	**Global warming potential**	
Country	Indonesia	Implementation	6	Mineral soil	323,608	CO_2	1
Climate	Tropical	Capitalization	14	Organic soil	0	CH_4	34
Moisture	Moist	Period analysis	20	Waterbodies	0	N_2O	298

GROSS FLUXES

In tCO_2-e over the whole period analysis

PROJECT COMPONENTS		WITHOUT	WITH	BALANCE
Land use changes	Deforestation	0	0	0
	Afforestation	0	-33,577	-33,577
	Other land-use	0	0	0
Cropland	Annual	5,363	-6,309	-11,672
	Perennial	-9,231	-13,029	-3,798
	Flooded rice	0	0	0
Grasslands & Livestock	Grasslands	0	-5,610	-5,610
	Livestock	0	0	0
	Forest mngt.	-6,656,689	-9,985,033	-3,328,344
	Inland wetlands	0	0	0
	Coastal wetlands	0	0	0
	Inputs & Invest.	0	0	0
Total emissions, tCO_2-e		**-6,660,556**	**-10,043,558**	**-3,383,002**
Total emissions, tCO_2-e/ha		**-20.6**	**-31.0**	**-10.5**
Total emissions, tCO_2-e/ha/yr		**-1.0**	**-1.6**	**-0.5**

+ = Source / - = Sink

Results presented here include GHG fluxes on mineral and organic soils

See further down for detailed results on organic soils

* Includes fisheries, acquaculture and inputs & investments that are not included in the AFOLU definition.

SHARE PER GHG OF THE BALANCE

In tCO_2-e over the whole period analysis

CO_2 BIOMASS	CO_2 SOIL	N_2O	CH_4	ALL NON-AFOLU EMISSIONS*
0	0	0	0	
-21,048	-12,529	0	0	
0	0	0	0	
0	-10,027	-70	-1,576	
-340	-2,440	-452	-565	
0	0	0	0	
0	-5,610	0	0	
		0	0	
-3,328,344	0	0	0	
0	0	0	0	
0	0	0	0	0
	0	0		0
-3,349,733	**-30,606**	**-522**	**-2,141**	**0**
-10.4	**-0.1**	**0.0**	**0.0**	**0.0**
-0.5	**0.0**	**0.0**	**0.0**	**0.0**

AVERAGE ANNUAL EMISSIONS

In tCO_2-e/yr

WITHOUT	WITH	BALANCE
0	0	0
0	-1,679	-1,679
0	0	0
268	-315	-584
-462	-651	-190
0	0	0
0	-281	-281
0	0	0
-332,834	-499,252	-166,417
0	0	0
0	0	0
0	0	0
-333,028	**-502,178**	**-169,150**

Uncertainty level	tCO2-e/yr	Percent
Without	-333,028	33%
With	-502,178	36%
Balance	-169,150	33%

Annex 24: GEF 7 Core Indicator Worksheet

Core Indicator 1	**Terrestrial protected areas created or under improved management for conservation and sustainable use**						***(Hectares)***
				Hectares (1.1+1.2)			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
				63,997	*40,068*		
Indicator 1.1	Terrestrial protected areas newly created						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
		Sum					
Indicator 1.2	Terrestrial protected areas under improved management effectiveness						
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score			
				Baseline		Achieved	
				PIF stage	Endorsement	MTR	TE
Komodo National Park	*67725*	II National Park	*40,728 ha x 82%*	*N/A*	*82%*		
Wae Wuul Nature Reserve	*20419*	Ia Strict Nature Reserve	*1,485 ha x 67%*	*N/A*	*47%*		
Riung Nature Reserve	*317275*	Ia Strict Nature Reserve	*416 ha x 55%*	*N/A*	*31%*		
Wolo Tadho Nature Reserve	*555571244*	Ia Strict Nature Reserve	*4,017 ha x 67%*	*N/A*	*42%*		
Tujuh Belas Pulau Nature Recreation Park	*26496*	V Protected Landscape/Seascape	*416 ha x 75%*	*N/A*	*56%*		
		Sum	*40,068*				
Core Indicator 2	**Marine protected areas created or under improved management for conservation and sustainable use**						***(Hectares)***
				Hectares (2.1+2.2)			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	*TE*
				123,435	*121,829*		
Indicator 2.1	Marine protected areas newly created						
Name of Protected Area	WDPA ID	IUCN category		Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
		(select)					
		(select)					
		Sum					
Indicator 2.2	Marine protected areas under improved management effectiveness						
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score			
				Baseline		Achieved	
				PIF stage	Endorsement	MTR	TE
Komodo National Park	*67725*	II National Park	*132,572 ha x 88%*	*N/A*	*82%*		

Tujuh Belas Pulau Nature Recreation Park	*26496*	V Protected Landscape/Seascape	*6,887 ha x 75%*	*N/A*	*56%*		
Sawu Sea Marine National Park (core zone in project landscape-seascape)		II National Park	*925 ha x TBD%*	*N/A*	*TBD%*		
		Sum	*121,829*				
Core Indicator 3	**Area of land restored**						***(Hectares)***
				Hectares (3.1+3.2+3.3+3.4)			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
				300	*300*		
Indicator 3.1	Area of degraded agricultural land restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Indicator 3.2	Area of forest and forest land restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
		Area of degraded Komodo habitat in forest and forest land undergoing restoration		*300*	*150*		
Indicator 3.3	Area of natural grass and shrublands restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
		Area of degraded Komodo habitat in natural grass and shrublands undergoing restoration			*150*		
Indicator 3.4	Area of wetlands (including estuaries, mangroves) restored						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE
Core Indicator 4	**Area of landscapes under improved practices (hectares; excluding protected areas)**						***(Hectares)***
				Hectares (4.1+4.2+4.3+4.4)			
				Expected		Expected	
				PIF stage	Endorsement	MTR	TE
				267,831	*275,946*		
Indicator 4.1	Area of landscapes under improved management to benefit biodiversity						
				Hectares			
				Expected		Achieved	
				PIF stage	Endorsement	MTR	TE

		Landscapes (excluding protected areas) under improved management	*267,531*	*275,646*		
Indicator 4.2	Area of landscapes that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 4.3	Area of landscapes under sustainable land management in production systems					
			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Landscapes under sustainable land management in production systems	*300*	*300*		
Indicator 4.4	Area of High Conservation Value Forest (HCVF) loss avoided					
Include documentation that justifies HCVF			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 5	**Area of marine habitat under improved practices to benefit biodiversity**					***(Hectares)***
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.3	Amount of Marine Litter Avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 6	**Greenhouse gas emission mitigated**					***(Metric tons of CO_2e)***
			Expected metric tons of CO_2e (6.1+6.2)			
			PIF stage	Endorsement	MTR	TE
		Expected CO2e (direct)	*9,942,434*	*3,383,002*		
		Expected CO2e (indirect)				
Indicator 6.1	Carbon sequestered or emissions avoided in the AFOLU sector					
			Expected metric tons of CO_2e			
			PIF stage	Endorsement	MTR	TE
		Expected CO2e (direct)	*9,942,434*	*3,383,002*		
		Expected CO2e (indirect)				
		Anticipated start year of accounting	*2022*	*2023*		
		Duration of accounting	*20 years*	*20 years*		

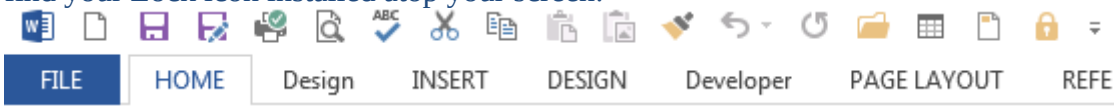
Indicator 6.2	Emissions avoided Outside AFOLU					
			Expected metric tons of CO_2e			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
	Expected CO2e (direct)					
	Expected CO2e (indirect)					
	Anticipated start year of accounting					
	Duration of accounting					
Indicator 6.3	Energy saved					
			MJ			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 6.4	Increase in installed renewable energy capacity per technology					
		Technology	Capacity (MW)			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		(select)				
		(select)				
Core Indicator 7	**Number of shared water ecosystems (fresh or marine) under new or improved cooperative management**					***(Number)***
Indicator 7.1	Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.2	Level of Regional Legal Agreements and Regional Management Institutions to support its implementation					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.3	Level of National/Local reforms and active participation of Inter-Ministerial Committees					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.4	Level of engagement in IWLEARN through participation and delivery of key products					
		Shared water ecosystem	Rating (scale 1-4)			
			Rating		Rating	
			PIF stage	Endorsement	MTR	TE
Core Indicator 8	**Globally over-exploited fisheries Moved to more sustainable levels**					***(Metric Tons)***
Fishery Details			Metric Tons			
			PIF stage	Endorsement	MTR	TE
Core Indicator 9	**Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products**					***(Metric Tons)***
			Metric Tons (9.1+9.2+9.3)			
			Expected		Achieved	
			PIF stage	PIF stage	MTR	TE

Indicator 9.1	Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)					
POPs type			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
(select)	(select)	(select)				
(select)	(select)	(select)				
(select)	(select)	(select)				
Indicator 9.2	Quantity of mercury reduced					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.3	Hydrochloroflurocarbons (HCFC) Reduced/Phased out					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.4	Number of countries with legislation and policy implemented to control chemicals and waste					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.5	Number of low-chemical/non-chemical systems implemented particularly in food production, manufacturing and cities					
		Technology	Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.6	Quantity of POPs/Mercury containing materials and products directly avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	PIF stage	Endorsement
Core Indicator 10	**Reduction, avoidance of emissions of POPs to air from point and non-point sources**					***(grams of toxic equivalent gTEQ)***
Indicator 10.1	Number of countries with legislation and policy implemented to control emissions of POPs to air					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 10.2	Number of emission control technologies/practices implemented					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 11	**Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment**					***(Number)***
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Female	*1,250*	*1,250*		

		Male	*1,250*	*1,250*		
		Total	*2,500*	*2,500*		

Instructions for unlocking/locking the Worksheet to allow adding rows in tables if necessary:

Go to File> Select Options > Select Quick Access Toolbar > Under Choose Command from, select All Commands> Scroll down until you find the Lock Icon > Click Add> Click Ok. You will then find your Lock icon installed atop your screen:



When you click on the icon, it would either lock or unlock the template.

Annex 25: GEF 7 TAXONOMY

Please identify the taxonomic information required in Part I, Item G by ticking the most relevant keywords/ topics/themes that best describe the project.

Level 1	Level 2	Level 3	Level 4
☒ **Influencing models**			
	☒ **Transform policy and regulatory environments**		
	☒ **Strengthen institutional capacity and decision-making**		
	☒ **Convene multi-stakeholder alliances**		
	☒ **Demonstrate innovative approaches**		
	☒ **Deploy innovative financial instruments**		
☒ **Stakeholders**			
	☒ **Indigenous Peoples**		
	☒ **Private Sector**		
		☒ Capital providers	
		☒ Financial intermediaries and market facilitators	
		☐ Large corporations	
		☒ SMEs	
		☒ Individuals/Entrepreneurs	
		☐ Non-Grant Pilot	
		☐ Project Reflow	
	☒ **Beneficiaries**		
	☒ **Local Communities**		
	☒ **Civil Society**		
		☒ Community Based Organization	
		☒ Non-Governmental Organization	
		☐ Academia	
		☐ Trade Unions and Workers Unions	
	☒ **Type of Engagement**		
		☒ Information Dissemination	
		☒ Partnership	
		☒ Consultation	
		☒ Participation	
	☒ **Communications**		
		☒ Awareness Raising	
		☒ Education	
		☒ Public Campaigns	
		☒ Behavior Change	
☒ **Capacity, Knowledge and Research**			
	☐ **Enabling Activities**		
	☒ **Capacity Development**		
	☒ **Knowledge Generation and Exchange**		
	☒ **Targeted Research**		
	☒ **Learning**		
		☒ Theory of Change	
		☒ Adaptive Management	
		☒ Indicators to Measure Change	
	☒ **Innovation**		
	☒ **Knowledge and Learning**		
		☒ Knowledge Management	
		☒ Innovation	
		☒ Capacity Development	
		☒ Learning	
	☒ **Stakeholder Engagement Plan**		
☒ **Gender Equality**			
	☒ **Gender Mainstreaming**		
		☒ Beneficiaries	

Level 1	Level 2	Level 3	Level 4
		☒Women groups	
		☐Sex-disaggregated indicators	
		☒Gender-sensitive indicators	
	☒**Gender results areas**		
		☒Access and control over natural resources	
		☒Participation and leadership	
		☐Access to benefits and services	
		☒Capacity development	
		☒Awareness raising	
		☒Knowledge generation	
☒**Focal Areas/Theme**			
	☐**Integrated Programs**		
		☐Commodity Supply Chains ([1]Good Growth Partnership)	
			☒Sustainable Commodities Production
			☐Deforestation-free Sourcing
			☐Financial Screening Tools
			☒High Conservation Value Forests
			☐High Carbon Stocks Forests
			☐Soybean Supply Chain
			☐Oil Palm Supply Chain
			☐Beef Supply Chain
			☒Smallholder Farmers
			☐Adaptive Management
		☐Food Security in Sub-Sahara Africa	
			☐Resilience (climate and shocks)
			☐Sustainable Production Systems
			☐Agro-ecosystems
			☐Land and Soil Health
			☐Diversified Farming
			☐Integrated Land and Water Management
			☐Smallholder Farming
			☐Small and Medium Enterprises
			☐Crop Genetic Diversity
			☐Food Value Chains
			☐Gender Dimensions
			☐Multi-stakeholder Platforms
		☐Food Systems, Land Use and Restoration	
			☐Sustainable Food Systems
			☐Landscape Restoration
			☐Sustainable Commodity Production
			☐Comprehensive Land Use Planning
			☐Integrated Landscapes
			☐Food Value Chains
			☐Deforestation-free Sourcing
			☐Smallholder Farmers
		☐Sustainable Cities	
			☐Integrated urban planning
			☐Urban sustainability framework
			☐Transport and Mobility
			☐Buildings
			☐Municipal waste management
			☐Green space
			☐Urban Biodiversity
			☐Urban Food Systems
			☐Energy efficiency
			☐Municipal Financing
			☐Global Platform for Sustainable Cities
			☐Urban Resilience
	☒**Biodiversity**		

1

Level 1	Level 2	Level 3	Level 4
		☒ Protected Areas and Landscapes	
			☒ Terrestrial Protected Areas
			☒ Coastal and Marine Protected Areas
			☒ Productive Landscapes
			☒ Productive Seascapes
			☒ Community Based Natural Resource Management
		☒ Mainstreaming	
			☐ Extractive Industries (oil, gas, mining)
			☐ Forestry (Including HCVF and REDD+)
			☒ Tourism
			☐ Agriculture & agro-biodiversity
			☐ Fisheries
			☐ Infrastructure
			☐ Certification (National Standards)
			☐ Certification (International Standards)
		☒ Species	
			☐ Illegal Wildlife Trade
			☒ Threatened Species
			☐ Wildlife for Sustainable Development
			☐ Crop Wild Relatives
			☐ Plant Genetic Resources
			☐ Animal Genetic Resources
			☐ Livestock Wild Relatives
			☐ Invasive Alien Species (IAS)
		☐ Biomes	
			☐ Mangroves
			☐ Coral Reefs
			☐ Sea Grasses
			☐ Wetlands
			☐ Rivers
			☐ Lakes
			☐ Tropical Rain Forests
			☐ Tropical Dry Forests
			☐ Temperate Forests
			☐ Grasslands
			☐ Paramo
			☐ Desert
		☒ Financial and Accounting	
			☐ Payment for Ecosystem Services
			☐ Natural Capital Assessment and Accounting
			☐ Conservation Trust Funds
			☒ Conservation Finance
		☐ Supplementary Protocol to the CBD	
			☐ Biosafety
			☐ Access to Genetic Resources Benefit Sharing
	☐ **Forests**		
		☐ Forest and Landscape Restoration	
			☐ REDD/REDD+
		☐ Forest	
			☐ Amazon
			☐ Congo
			☐ Drylands
	☒ **Land Degradation**		
		☒ Sustainable Land Management	
			☐ Restoration and Rehabilitation of Degraded Lands
			☒ Ecosystem Approach
			☐ Integrated and Cross-sectoral approach
			☒ Community-Based NRM

Level 1	Level 2	Level 3	Level 4
			☒ Sustainable Livelihoods
			☐ Income Generating Activities
			☐ Sustainable Agriculture
			☐ Sustainable Pasture Management
			☐ Sustainable Forest/Woodland Management
			☐ Improved Soil and Water Management Techniques
			☐ Sustainable Fire Management
			☐ Drought Mitigation/Early Warning
		☐ Land Degradation Neutrality	
			☐ Land Productivity
			☐ Land Cover and Land cover change
			☐ Carbon stocks above or below ground
		☐ Food Security	
	☐ **International Waters**		
		☐ Ship	
		☐ Coastal	
		☐ Freshwater	
			☐ Aquifer
			☐ River Basin
			☐ Lake Basin
		☐ Learning	
		☐ Fisheries	
		☐ Persistent toxic substances	
		☐ SIDS : Small Island Dev States	
		☐ Targeted Research	
		☐ Pollution	
			☐ Persistent toxic substances
			☐ Plastics
			☐ Nutrient pollution from all sectors except wastewater
			☐ Nutrient pollution from Wastewater
		☐ Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
		☐ Strategic Action Plan Implementation	
		☐ Areas Beyond National Jurisdiction	
		☐ Large Marine Ecosystems	
		☐ Private Sector	
		☐ Aquaculture	
		☐ Marine Protected Area	
		☐ Biomes	
			☐ Mangrove
			☐ Coral Reefs
			☐ Seagrasses
			☐ Polar Ecosystems
			☐ Constructed Wetlands
	☐ **Chemicals and Waste**		
		☐ Mercury	
		☐ Artisanal and Scale Gold Mining	
		☐ Coal Fired Power Plants	
		☐ Coal Fired Industrial Boilers	
		☐ Cement	
		☐ Non-Ferrous Metals Production	
		☐ Ozone	
		☐ Persistent Organic Pollutants	
		☐ Unintentional Persistent Organic Pollutants	
		☐ Sound Management of chemicals and Waste	
		☐ Waste Management	
			☐ Hazardous Waste Management
			☐ Industrial Waste
			☐ e-Waste
		☐ Emissions	

Level 1	Level 2	Level 3	Level 4
		☐ Disposal	
		☐ New Persistent Organic Pollutants	
		☐ Polychlorinated Biphenyls	
		☐ Plastics	
		☐ Eco-Efficiency	
		☐ Pesticides	
		☐ DDT - Vector Management	
		☐ DDT - Other	
		☐ Industrial Emissions	
		☐ Open Burning	
		☐ Best Available Technology / Best Environmental Practices	
		☐ Green Chemistry	
	☒ **Climate Change**		
		☐ **Climate Change Adaptation**	
			☐ Climate Finance
			☐ Least Developed Countries
			☐ Small Island Developing States
			☐ Disaster Risk Management
			☐ Sea-level rise
			☐ Climate Resilience
			☐ Climate information
			☐ Ecosystem-based Adaptation
			☐ Adaptation Tech Transfer
			☐ National Adaptation Program of Action
			☐ National Adaptation Plan
			☐ Mainstreaming Adaptation
			☐ Private Sector
			☐ Innovation
			☐ Complementarity
			☐ Community-based Adaptation
			☐ Livelihoods
		☒ **Climate Change Mitigation**	
			☒ Agriculture, Forestry, and other Land Use
			☐ Energy Efficiency
			☐ Sustainable Urban Systems and Transport
			☐ Technology Transfer
			☐ Renewable Energy
			☐ Financing
			☐ Enabling Activities
		☐ **Technology Transfer**	
			☐ Poznan Strategic Program on Technology Transfer
			☐ Climate Technology Centre & Network (CTCN)
			☐ Endogenous technology
			☐ Technology Needs Assessment
			☐ Adaptation Tech Transfer
		☒ **United Nations Framework on Climate Change**	
			☒ Nationally Determined Contribution
			☒ Sustainable Development Goals
		☒ Climate Finance (Rio Markers)	
			☒ Climate Change Mitigation 1
			☐ Climate Change Mitigation 2
			☒ Climate Change Adaptation 1
			☐ Climate Change Adaptation 2

MINISTRY OF ENVIRONMENT AND FORESTRY
DIRECTORATE GENERAL OF CONSERVATION ON NATURAL RESOURCES AND ECOSYSTEMS
SECRETARIATE OF DIRECTORATE GENERAL
Manggala Wanabakti Building, Block I 8th Floor, General Gatot Subroto Street, Jakarta 10270
Phone : 021- 5730301,5730316 dan Faximile: 021 - 5733437
Ir. H. Juanda Street No. 15 Phone : 0251 – 8311615, 8311118 Bogor

Jakarta, 4 February 2022

Ref. No.: S.196/KSA.3/PETUGT/KOM.3/2/2022
Subject: Confirmation of Co-financing for the UNDP-GEF project "**Investing in the Komodo Dragon and other globally threatened species in Flores Island (IN-FLORES)**"

To:
Mr. Agus Prabowo
Head of Environment Unit, UNDP

Dear Mr. Prabowo,

Regarding your letter on January 20, 2022, we are pleased to confirm the commitment of the Ministry of Environment and Forestry of the Republic of Indonesia (MoEF) to support the implementation of the proposed UNDP-supported, GEF-financed project *Investing in the Komodo Dragon and other globally threatened species in Flores Island (IN-FLORES)*. Being led by the Directorate General of Natural Resources and Ecosystem Conservation (KSDAE), the MoEF has initiated to develop the concept of this project and worked closely with the UNDP and project preparation team in the design of the project. The project strategy is directly aligned with the priorities and work programs of the MoEF and its relevant entities.

The MoEF commits USD 34,406,747 of co-financing to the project in the form of public investment (investment mobilized) and USD 2,514,493 in the form of in-kind contributions (recurrent expenditures). The public investment co-financing contributions include strengthening the management of the protected areas in the project landscapes-seascapes: Komodo National Park, Wolo Tadho Nature Reserve, Wae Wuul Nature Reserve, Riung Nature Reserve, and the Tujuh Belas Pulau (17 Islands) Nature Recreation Park. These public investments are closely aligned with project Outputs 1.1, 1.4, 2.1, 2.2, 2.4, and 3.2. The KSDAE is also investing in programmes aimed at enhancing protection of globally significant biodiversity, including the Komodo dragon and other threatened species in Flores, outside the borders of protected areas. One of the goals of the KSDAE Strategic Plan for the period of 2020-2024 is to identify and verify 43 million ha of high biodiversity value areas outside the PA system. These investments are directly complementary to project Outputs 1.2, 1.3, 2.1, 2.3, and 2.4.

Public investment co-financing also includes strengthening the operation of the five Forest Management Units located in the project landscapes-seascapes, as well as funding for social forestry programmes in Flores. These investments are linked with the proposed establishment of other area-based effective conservation measures (OECMs), under project Outputs 1.3, 2.1, 2.3, and 2.4. The KSDAE's investments in knowledge management, including online systems are lined up with the proposed development of a Komodo dragon conservation knowledge management portal under project Output 3.2. Moreover, MoEF funds allocated for partnerships with domestic and international scientific institutions are complementary to project Output 3.3, which includes engaging with scientific and academic

partners on expanding the knowledge base associated with conservation of the Komodo dragon and other globally threatened species in Flores.

In-kind co-financing corresponds to salaries and wages of MoEF staff involved in the project, including the Directors, head of implementation unit, and other staff of Ministry entities, such as the KSDAE, Directorate of Biodiversity Conservation (KKH), Komodo National Park, and the Natural Resources Conservation Agency of East Nusa Tenggara (BBKSDA-NTT). These in-kind co-financing inputs will contribute to project Outputs 1.1 (i.e., participation in the multi-stakeholder coordination platforms), 3.1, and 3.4, as well as to project management costs.

The in-kind contributions also include office space and utilities associated with the office of the Project Management Unit, which will be hosted by the KKH in Jakarta, as well the Project Implementation Units at the offices of the Komodo National Park in Labuan Bajo and the BBKSDA-NTT in Riung.

We are looking forward to the approval and commencement of this important project.

Sincerely,

Suharyono
Secretary Directorate General

cc :

- Director General of Conservation on Natural Resources and Ecosystem
- GEF Operational Focal Point Indonesia
- UNDP Indonesia Resident Representative
- Mr. Pradeep Kurukulasuriya, Executive Coordinator and Director Global Environmental Finance, UNDP

*USD equivalent calculated at the UN Operational Rate of Exchange of 14,317 (01 Dec 2021)

Annex Co-Financing Ministry of Environment and Forestry for "Investing in the Komodo Dragon and other Globally Threatened Species in Flores Island (IN-FLORES)"

Ref. No. : 5.U6/Set-3/PETHT/Kom.3/2/2022
Date : 4 February 2022

Co-Financing Ministry of Environment and Forestry for "Investing in the Komodo Dragon and other Globally Threatened Species in Flores Island (IN-FLORES)"

No	Program	Budget	
		Rupiah	**USD***
1	Biodiversity Conservation, Species and Genetic	67.593.054.000	4,721,174
2	Conservation Area Management	61.455.600.000	4,292,491
3	Conservation Area Planning	33.000.000.000	2,304,952
4	Development of Essential Ecosystem Management and Ecosystem Restoration	15.780.450.000	1,102,218
5	Environmental Services Utilization of Conservation Area	24.687.336.000	1,724,337
6	Management of conservation areas at the Nature Resource Consevation Center NTT (KSDA)	187.288.736.000	13,081,563
7	Komodo National Park Management	102.796.224.000	7,180,011
8	Project Management Support (in-kind contributions on recurrent expenditures)	36.000.000.000	2,514,493
	Total	**528.601.400.000**	**36,921,240**

*USD equivalent calculated at the UN Operational Rate of Exchange of 14,317 (01 Dec 2021)

KEMENTERIAN PARIWISATA DAN EKONOMI KREATIF/
BADAN PARIWISATA DAN EKONOMI KREATIF
BADAN PELAKSANA OTORITA LABUAN BAJO FLORES
Labuan Bajo Flores
Tourism Authority
Jln.Frans Sales Lega, Cowang Dereng Batu Cermin Labuan Bajo, Nusa Tenggara Timur 87654
E-mail : bpolbf@outlook.com

Labuan Bajo, 14 December 2021

No.: 476/SRT/BPOLBF/XII/2021
Subject: Confirmation of Co-financing for the UNDP-GEF project "**Investing in the Komodo Dragon and other globally threatened species in Flores Island** (**IN-FLORES**)"

To:
Mr. Pradeep Kurukulasuriya
Executive Coordinator and Director
Global Environmental Finance
United Nations Development Programme

Dear Mr. Kurukulasuriya,

With this letter, we are pleased to confirm the commitment of Labuan Bajo Tourism Authority to support the implementation of the proposed UNDP-supported, GEF-financed project *Investing in the Komodo Dragon and other globally threatened species in Flores Island (IN-FLORES)*. The objective of the project that reflects both nature conservation and human development needs within Flores is highly relevant with our priority to ensure biodiversity protection through strengthening landscape-seascape management.

Labuan Bajo has been proclaimed as one of the five super priority destinations by the Ministry of Tourism and Creative Economy. Through our Destination Management Program, substantial public investments have been allocated to develop tourism infrastructure and capacities. The objective of the IN-FLORES project, particularly Output 2.4, is closely aligned with these public investments. We look forward to collaborating with the project on strengthening ecotourism experiences into the Integrated Tourism Development Plan for the Komodo National Park and Labuan Bajo, as well as developing capacities of local tourism operators, and expanding conversation finance in the region. Moreover, representatives of our authority would welcome the opportunity to participate in the multi-stakeholder coordination platforms proposed under Output 1.1 of the project.

Through our Destination Management Program, we commit IDR 7,750,000,000 (USD 541,000*) of co-financing in the form of public investment (investment mobilized). These investments include tourism and cultural infrastructure development, promotion of the destination and creative economy, and improvements to governance and coordination capacities.

We are looking forward to the approval and commencement of this important project.

Your Sincerely,



Shana Fatina
President Director

CC :
- GEF Operational Focal Point Indonesia
- UNDP Indonesia Resident Representative

*USD equivalent calculated at the UN Operational Rate of Exchange of 14,319

United Nations Development Programme

23 February 2022

Dear Mr. Kurukulasuriya,

We are pleased to confirm UNDP Indonesia hereby commits USD 2,241,704 as co-financing for the full-sized project "Investing in the Komodo Dragon and other globally threatened species in Flores Island (IN-FLORES)". This consists of grant (investment mobilized) contribution of USD 2,119,220 in the form of UNDP investment in promoting and strengthening biodiversity financing initiatives and implementing results-based payments in accordance with the GCF REDD+ framework both at national and sub-national levels. We also commit to contribute an in-kind (recurrent expenditures) contribution of USD 122,484.

The grant co-financing will be made available through UNDP's support to improve diversified financing for biodiversity conservation and livelihood improvements across the Komodo dragon and threatened species landscapes-seascapes in Flores and to strengthen the governance and integrated ecosystem management.

The above-mentioned programs will directly benefit IN-FLORES project implementation as they align with national development planning and budget frameworks with appropriate technical regulations, ecosystem capacity, and incentive policies to strengthen financial capacity and improve governance in natural resource management in Indonesia.

The in-kind contributions correspond to UNDP CO technical advisory support and guidance on biodiversity financial solutions, community livelihood improvements, and better ecosystem management provided through the ongoing projects of the Country Office.

Thank you for your kind attention and continuous support.

Sincerely,

Norimasa Shimomura
Resident Representative

Mr. Pradeep Kurukulasuriya
Executive Coordinator and Director
UNDP-Global Environmental Finance
One UN Plaza, New York, NY 1001-7 USA

Attachment: Breakdown of the program activities

Breakdown of the program activities

Project	Program	Value (US$)	Sub total (US$)
BIOFIN	Sukuk for biodiversity project financing	223,103	
	Leveraging faith-based biodiversity fund	254,268	
	Ecological fiscal transfer	226,252	
	Biodiversity budget tracking	190,038	
	Debt for nature swap	78,471	
	Biodiversity offset	75,647	
	Other finance solutions	71,441	
Sub total			1,119,220
GCF REDD+	Enhance IEF for Adaptive Management and other mechanisms	487,102	
	Strengthen IEF Capacity for REDD+ Implementation	512,898	
Sub total			1,000,000
CO in-kind contributions. 1. Technical and policy advisory on biodiversity financing, private partnership and knowledge management (3 wds per month) 2. Institutional arrangement advisory on biodiversity related strategic works under the government (2 wds per month) 3. Technical support on innovative biodiversity 4. Technical support on gender mainstreaming (12 days per month)			122,484

PERHIMPUNAN PELESTARIAN BURUNG LIAR INDONESIA

No.: 016/BI-ED/I/2022
Subject: Confirmation of Co-financing for the UNDP-GEF project "**Investing in the Komodo Dragon and other globally threatened species in Flores Island** (**IN-FLORES**)"

To:
Mr. Pradeep Kurukulasuriya
Executive Coordinator and Director
Global Environmental Finance
United Nations Development Programme

1.6.c.44
DNA/awy

Bogor, 20 January 2022

Dear Mr. Kurukulasuriya,

With this letter, we are pleased to confirm the commitment of Burung Indonesia to support the implementation of the proposed UNDP-supported, GEF-financed project *Investing in the Komodo Dragon and other globally threatened species in Flores Island (IN-FLORES)*. The objective of the project that reflects both nature conservation and human development needs within Flores is highly relevant with our priority to ensure biodiversity protection through strengthening landscape-seascape management.

Burung Indonesia, national partner of BirdLife International in Indonesia, has been active in Flores since 2007. Our program focus has been the western part of the island, a key biodiversity area called Mbeliling and Tanjung Karitamese. The area is home to four Flores endemic and globally threatened birds sharing habitat with the Komodo dragon, as well as provider of essential ecosystem services that support local economy. Our program aims to promote the sustainable management of Mbeliling landscape through forest and biodiversity conservation, sustainable land-use and strengthening entrepreneurship. These are in-line with IN-FLORES targets, particularly those under Outcome 1 and 2.

Through our existing Flores Program, we commit IDR 10,151,679,847 (USD 707,865)* of co-financing in the form of grant (investment mobilized) contributions. These activities include strengthening the implementation of policy on legal timber procurement, development of sustainable land-use plans, initiation of payment for environmental services and village tourism.

We are looking forward to the approval and commencement of this important project.

Your Sincerely,

Dian Agista
Executive Director

CC :
- GEF Operational Focal Point Indonesia
- UNDP Indonesia Resident Representative

* exchange rate USD = IDR14,341

Jl. Dadali No.32, Bogor 16161, Tel: +62 251 835 7222, Fax: +62 251 835 7961 – PO Box 310/Boo, Bogor 16003, Indonesia
info@burung.org www.burung.org Badan hokum: No.C-34.HT.01.03.th.2005005

Annex 1. Description of the co-financing by Burung Indonesia

Outcome	Timeline	Value (US$)
Strengthening Non-state Actor Involvement in ForestGovernance	2021 – 2022	667,623
Investing in the Green Economy Initiatives of the unique Mbeliling Landscape in Indonesia	2021	40,242
Total		USD 707,865

Project "**Strengthening Non-state Actor Involvement in Forest Governance in Indonesia, Malaysia, Philippines and Papua New Guinea**" funded by European Union through BirdLife International, with co-financing from Vanguard Bank. Project duration is from January 2018 to June 2022.

Main activities/output:

1. **Capacity Building** to increase the capacity of local, provincial and national non-state actors to monitor forest resource use, forest condition, forest carbon stocks and forest policy processes.
2. **Increasing Transparency, access to information and accountability** in relation to the conservation and management of forests, including Key Biodiversity Areas (KBA).
3. **Strengthen Networking, cooperation and information exchange** for more viable, constructive and sustainable networks of well-informed non-state actors, including cross-border cooperation and information exchanges.
4. **Accelerate Forest policy processes** to achieve informed, effective participation of non-state actors in forest policy and planning processes, inc. FLECT-VPA and REDD+ ERP.

Project "**Investing in the Green Economy Initiatives of the unique Mbeliling Landscape in Indonesia*"*** funded by Hempel Foundation through BirdLife International. Project duration is from October 2020 to December 2021.

Main activities/output:

1. Policy advocacy and stakeholder engagement to promote investment in green economy
2. Promotion for attracting new investment in green economy
3. Scaling up investment on existing financing/business unit using seed grant

Micro Assessment Report

Micro Assessment of the Ministry of Environment & Forestry (Directorate of Climate Change Adaptation) - Implementing Partner of the SPARC project
Commissioned by UNDP Indonesia
Individual Consultant: Osa Hartoyo
Date: 2 October 2017

Table of Contents

1. Background, Scope and Methodology
2. Summary of Risk Assessment Results
3. Detailed Internal Control Findings and Recommendations

Annex I. Implementing Partner and Programme Information
Annex II. Organisational Chart of the Implementing Partner
Annex III. List of persons met
Annex IV. Micro Assessment Questionnaire (excel sheet)

1. Background, Scope and Methodology

Background

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental implementing partners.

The micro-assessment assesses the IP's control framework. It results in a risk rating (low, moderate, significant or high). The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an IP.

Scope

The micro-assessment provides an overall assessment of the Implementing Partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the IP legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the Implementing Partner.

It takes into account results of any previous micro assessments conducted of the Implementing Partner.

Methodology

We performed the micro-assessment on 7 June 2017 at the SPARC project office in Jakarta and on 16 June 2017 at the SPARC project office in Kupang. Through discussion with management, observation and walk-through tests of transactions, we have assessed the Implementing Partner's and the related internal control system with emphasis on:

- The effectiveness of the systems in providing the Implementing Partner's management with accurate and timely information for management of funds and assets in accordance with work plans and agreements with the United Nations agencies;
- The general effectiveness of the internal control system in protecting the assets and resources of the Implementing Partner.

We discussed the results of the micro assessment with applicable UN agency personnel and the IP prior to finalization of the report. The list of persons met and interviewed during the micro-assessment is set out in Annex III.

2. Summary of Risk Assessment Results

We can highlight that the financial management of this SPARC Project under the Directorate of the Ministry of Environment and Forestry is categorized ***low***. Based on the information mentioned above we recommend UNDP to determine Direct Cash Transfer (DCT) to this Directorate.

The table below summarizes the results and main internal control gaps found during application of the micro-assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 3. below.

Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
1. Implementing partner	Low risk	We noted there is no gap in this subject area.
2. Programme Management	Low risk	We noted there is no gap in this subject area. All subject areas are sufficient.
3. Organizational structure and staffing	Low risk	We noted there is no gap in organizational structure and staffing.
4. Accounting policies and procedures	Low risk	We noted there is no gap in this subject area.
5. Fixed Assets and Inventory	Low risk	We noted there is no gap in fixed assets and inventory.
6. Financial Reporting and Monitoring	Low risk	We noted there is no gap.

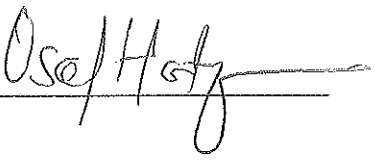
Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
7. Procurement	Low risk	We noted that it is already implemented well and there is no gap.
Overall Risk Assessment	Low risk	We noted there is no specific gap and the SPARC project just needs to maintain the execution of activities in accordance with existing SOP and other UNDP guidelines effectively.

**High, Significant, Moderate, Low*

3. Detailed Internal Control Findings and Recommendations

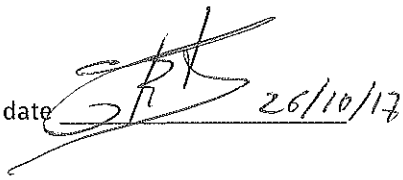
No.	Description of Finding	Recommendation and IP Management Response
1.	All subject areas have been maintained well in accordance with the guidelines and existing SOP well.	*In financing activities, the SPARC Project needs to keep maintaining it in compliance with the UNDP guidelines.*

Assessment and recommendation report is prepared by:

Osa Hartoyo  Signature and date: 2 October 2017

I here with agree with the above justification and approve the recommendations for Directorate of Adaptation of Climate Change, Ministry of Environment and Forestry, Jakarta.

Approved by: Christophe Bahuet
Country Director, UNDP Indonesia

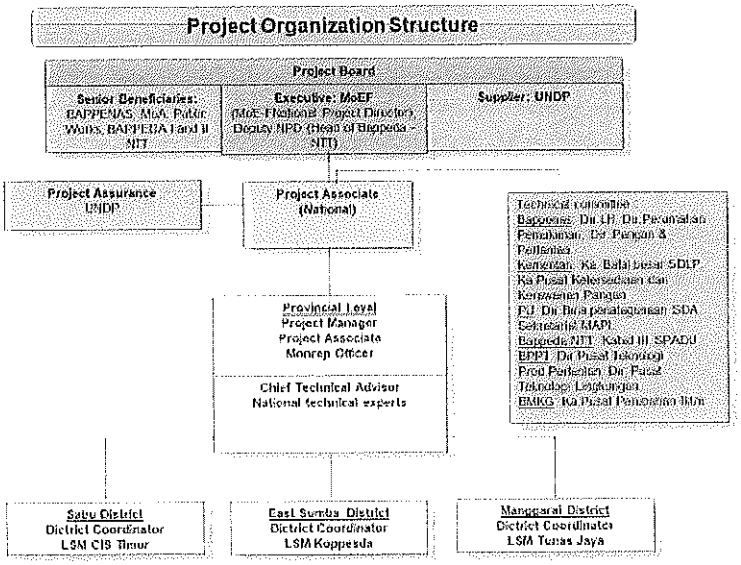
Signature and date 

Annex I. IP and Programme Information

Implementing partner name:	Directorate of Climate Change Adaptation, Ministry of Environment and Forestry, Jakarta
Implementing partner code or ID in UNDP records (as applicable)	008005
Implementing partner contact details (contact name, email address and telephone number):	- Sri Tantri Arundhati, SPARC National Program Director - Made Dwi Rani, SPARC Finance Associate Email : made.rani@undp.org Mobile : 08172345726 Directorate of Climate Change Adaptation, Ministry of Environment and Forestry Blok 4 – 6th Floor Slipi - Jakarta
Main programmes implemented with the applicable UN Agency/ies:	UNDP
Key Official in charge of the UN Agency/ies' programme(s):	Environment Unit of UNDP Name : Christian Usfinit
Programme location(s):	In 3 Districts in NTT (Sumba Timur, Sabu Raijua, Manggarai)
Location of records related to the UN Agency/ies' programme(s):	N/A
Currency of records maintained:	IDR
Expenditures incurred/reported to UNDP during the most recent financial reporting period (in US$):	USD 5,1 million
Cash transfer modality/ies used by the UN agency/ies to the IP :	DCT
Intended start date of micro assessment:	7 June 2017
Number of days to be spent for visit to IP:	2 days (7 & 16 June 2017)
Any special requests to be considered during the micro assessment:	No

Annex II. Implementing Partner Organizational Chart

Struktur Pengelolaan Proyek



Annex III. List of Persons Met

Name	Unit/organization	Position
Tri Widajati	Deputy Director of Adaptation of Climate Change, Ministry of Environment and Forestry, Jakarta	Deputy National Program Director - Jakarta
Wayan Darmawa	Head of Bappeda of NTT, Kupang	Deputy National Program Director, Kupang
Fransiska Sugi	SPARC - UNDP Kupang	National Program Manager, Kupang
Olivianus Lado	SPARC – UNDP Kupang	Monitoring & Reporting Officer, Kupang
Made Dwi Rani	SPARC – UNDP Jakarta	Project Associate - Jakarta
Indriyani	SPARC - UNDP Kupang	Project Associate - Kupang

Annex IV. Micro Assessment Questionnaire (attachment in excel)

Micro-assessment workbook

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
1. Implementing Partner						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the entity.	Yes			Low	1	The SPARC Project is legally registered under the registration No. S.157/PU/2013 dated 6 March 2013 and released by the DJPRR, Ministry of Finance. This project implements the strategic planning and action to strengthen climate resilience of rural community in Nusa Tenggaran Timur. The project has started its activity since 27 February 2013 and the prodoc is in place. The project office is managed under Dirjen Pengendalian Perubahan Iklim, directorate of adaptation of climate changes. For field office in Kupang, Bappeda Province NTT is responsible to synergize its activities with the provincial outcomes. In the implementation the output in districts and village are also integrated. The NPD is Sri Tantri Arundhari as stipulated in the letter of assignment No. 2521/DEP/III/PPLH/5/2013. Meanwhile the deputy NPD is Tri Widayati as stipulated in the letter of assignment No. 2522/DEP/III/PPLH/5/2013. Further to that, Wayan Darmawa is responsible to take the role as deputy NPD in Kupang, as stipulated in the letter of assignment No. BU.050/07/Bappeda/2013 dated February 2013.
1.2 If the IP received United Nations resources in the past, were significant issues reported in managing the resources, including from previous assurance activities.	Yes			Low	1	The project has started in 2013 and this is the first time to collaborate with UN Agency. After 4 years of operation we noted that the allocation of funds to finance activities are effective and efficient.
1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements in the prior three fiscal years?	Yes			Low	1	Yes, activities in district are reported to Bappeda and Bupati, while activity in Province are overall reported to Bappeda Province NTT.
1.4 Does the governing body meet on a regular basis and perform oversight functions?	Yes			Low	1	Yes, this SPARC project meets the governing body in which the objective under directorate of adaptation of climate change is synergized with the needs of 3 selected districts in NTT. The oversight function is adequate.
1.5 If any other offices/ external entities participate in implementation, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?	Yes			Low	1	Most of activities are taking place in NTT, in which 3 districts Manggarai Timur, Sumba Timur and Sabu Raijua are selected to undertake activities. The activities are managed by field project officers in these districts, under coordinator of NPM and project coordinator in Kupang. So far the line of coordination is sufficient.
1.6 Does the IP show basic financial stability in-country (core resources; funding trend) ***Provide the amount of total assets, total liabilities, income and expenditure for the current and prior three fiscal years.***	Yes			Low	1	This SPARC Project shall be financially stable. It is noted that at the beginning in 2013 the funds available was around USD 5,1 million. All transactions are managed by the UNDP finance unit in 3 types of mechanism i.e. direct cash transfer (DCT), COSS and direct payment.

1.7 Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?	Yes			Low	1	It is easily managed under the support of UNDP finance unit and authorized by the NPD. For the DCT the funds is allocated based on workplan and to finance activity in NTT. For the direct payment mechanism, the finance unit directly transfers funds to vendor based on request form the NPD.
1.8 Does the IP have any pending legal actions against it or outstanding material/significant disputes with vendors/contractors? *If so, provide details and actions taken by the IP to resolve the legal action.*		No		Low	1	No pending legal action is reported. The cooperation in the directorate in Jakarta as well as in Bappeda NTT are managed well.
1.9 Does the IP have an anti-fraud and corruption policy?	Yes			Low	1	We notice that the pact of employees (pakta pegawai) is in place for the directorate at the MoE&F in Jakarta, meanwhile for the SPARC Project it is mentioned in the SOP that the project has to comply with such policy.
1.10 Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?	Yes			Low	1	The NPD and deputy NPD have informed this to the project associate in Jakarta as well as in Kupang. The PMIG indicates about action if they suspect fraud.
1.11 Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe. *Examples: foreign exchange risk; cash receipts.*	Yes			Low	1	We noted that there will be no such financial and operational risk in this SPARC project. This has been formulated in the spot checks as well as BPKP recommendation.
Total number of questions in subject area:	**11**					
Total number of applicable questions in subject area:	**11**					
Total number of applicable key questions in subject area:	**5**					
Total number of risk points:	**11**					
Risk score	**1**					
Area risk rating	**Low**					

Subject area *(key questions in **bold**)*	**Yes**	**No**	**N/A**	**Risk Assessment**	**Risk points**	**Remarks/comments**
2. Programme Management						
2.1. Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?	Yes			Low	1	Yes, the existing project SOP as an addition of PMIG is available. There are 3 types of mechanism i.e. DCT, COSS and direct payment. For the DCT the funds is allocated based on workplan and to finance activity in NTT. For the direct payment mechanism, the finance unit directly transfers funds to vendor based on request form the NPD. We noticed that the policy has been followed well.
2.2. Do work plans specify expected results and the activities to be carried out to achieve results, with a time frame and budget for the activities?	Yes			Low	1	Yes, the workplan is established annually. For the funds in the art of DCT it is integrated with the APBN so that they calculate the top-up amount. This year it is around IDR 3 billion. Other mechanisms as indicated in 2.1. above are managed from the budget of SPARC project under coodination with UNDP finance unit.

2.3 Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	Yes			Low	1	We noted that there shall be no potential risk so far. After running for 4 years and after the verification was conducted in field office Kupang as well, it is so far sufficient. Activities in 3 districts in NTT have been delivered and evaluated by NPM guided by reliable procedures. The current technical result has been reported and shown to us.
2.4 Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?	Yes			Low	1	Yes, the policy, procedures and guidelines have been maintained by the project associate in Jakarta under authorization of NPD and deputy NPD. Moreover, in Kupang this has been also prepared well under the coordination of NPM Fransiska Sugi and the deputy NPD Wayan Darmawa.
2.5 Does the IP have M&E frameworks for its programmes, with indicators, baselines, and targets to monitor achievement of programme results?	Yes			Low	1	Yes, the the SOP of SPARC indicates well about the M&E framework. The monitoring is quarterly, yearly and at the end of the project. The 2-times spot check results have been shown to us and the achievement is relevant to the workplan.
2.6 Does the IP carry out and document regular monitoring activities such as review meetings, on-site project visits, etc.	Yes			Low	1	Yes, the regular monitoring both in Jakarta as well as in Kupang has been documented and shown to us. The activities are in line with the established workplan. It is effectively managed.
2.7 Does the IP systematically collect, monitor and evaluate data on the achievement of project results?	Yes			Low	1	Yes, it is evaluated and supported by the project staffs. The involvement of Bappeda is significant so that the achievement is in accordance with the outcomes of the local government.
2.8 Is it evident that the IP followed up on independent evaluation recommendations?	Yes			Low	1	Yes, as noted above spot checks have been carried out 2-times. The recommendation has been followed up indeed. The HACT assessment is now being prepared and it is relevant.
Total number of questions in subject area:	**8**					
Total number of applicable questions in subject area:	**8**					
Total number of applicable key questions in subject area:	**2**					
Total number of risk points:	**8**					
Risk score	**1**					
Area risk rating	**Low**					

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
3. Organizational Structure and Staffing						
3.1 Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?	Yes			Low	1	Yes, the recruitment and employment has been in compliance with the UNDP policy. The project associate Made Dwi Rani in Jakarta, as well as all officers in Kupang i.e. Fransiska Sugi NPM, program officer and project associate Indriyani, are hired by UNDP with adequate requirement.
3.2 Does the IP have clearly defined job descriptions?	Yes			Low	1	Yes, the segregation of jobs between associates in Jakarta and Kupang are clear. The role of NPM in Kupang is adequate. All posts are defined well.
3.3 Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.	Yes			Low	1	Yes, the UNDP finance unit that is undertaking duties in finance manages it sufficiently. The project associates in project offices Jakarta and Kupang are able to support financial and project transactions. We noted also that NPM, program coordinator and other officers in 3 Kabupaten manage project task adequately.
3.4 Is the IP's accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds?	Yes			Low	1	Yes, all project financial transactions are prepared by project associates in Jakarta and Kupang. Accordingly deputy NPD and NPM/deputy NPD in Kupang are verifying the payment request. They comply with the project SOP sufficiently.
3.5 Does the IP have training policies for accounting/finance/ programme management staff? Are necessary training activities undertaken?	Yes			Low	1	Yes, in order to understand the UNDP policies, the project associate has participated in the varied internal finance training.
3.6 Does the IP perform background verification/checks on all new accounting/finance and management positions?	Yes			Low	1	The verification has been obtained during the hiring process and the requirement is fulfilled well.
3.7 Has there been significant turnover in key finance positions the past five years? If so, has the rate improved or worsened and appears to be a problem?		No		Low	1	It is reported no turnover. Only a program chief has finished his contract. Other staffs are still in the project.
3.8 Does the IP have a documented internal control framework? Is this framework distributed and made available to staff and updated periodically? If so, please describe.	Yes			Low	1	The internal control framework has been undertaken in line with the SOP and also PMIG. We noted that spot checks have been carried out 2-times and the HACT assessment is being prepared.
Total number of questions in subject area:	**8**					
Total number of applicable questions in subject area:	**8**					
Total number of applicable key questions in subject area:	**3**					
Total number of risk points:	**8**					
Risk score	**1**					
Area risk rating	**Low**					

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4. Accounting Policies and Procedures						
4a. General						
4.1 Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	Yes			Low	1	Yes, the SPARC project conducts the financial transaction in the project offices in Jakarta and Kupang based on its SOP and is supported by the UNDP finance unit. For the allocation of expenditures the project associates prepare it with excel form. These forms have been shown to us in project office Jakarta as well as Kupang.
4.2 Does the IP have an appropriate cost allocation methodology that ensures accurate cost allocations to the various funding sources in accordance with established agreements?	Yes			Low	1	Yes, it is in place. Activities conducted in 3 districts in NTT are indicated based on the AWP and cost allocations are proposed by NPM in Kupang under the authorization of deputy NPD. Usually these will be communicated with project office in Jakarta and budget comparison is established appropriately.
4.3 Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?	Yes			Low	1	Yes, it is documented as described in both SOP of SPARC Project as well as in the UNDP finance unit. The project associates in Jakarta and Kupang organize the system adequately.
4.4 Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?	Yes			Low	1	We noted that general ledger and subsidiary ledgers are available and in line with the UNDP financial mechanism. All UNDP financial system are operated by the finance unit, however in order to reconcile transactions, the project associate in project office Jakarta has established it as well using excel.
4b. Segregation of duties						
4.5 Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?	Yes			Low	1	Yes, this function performs in the project office Jakarta in which, (i) Made Dwi Rani as project associate prepares it, (ii) deputy NPD and NPD authorize it.
4.6 Are the functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated?	Yes			Low	1	During the discussion with deputy NPD and project associate in Jakarta as well as deputy NPD, NPM and project associate in Kupang, we noticed that this function is segregated with approval from NPD. All procurement process will be handled by UNDP.
4.7 Are bank reconciliations prepared by individuals other than those who make or approve payments?		No		Low	1	The bank reconciliation is prepared well for consolidated transactions in Jakarta and Kupang.
4c. Budgeting system						
4.8 Are budgets prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance?	Yes			Low	1	Yes, the mechanism of budget is determined in the SOP and it is linked with the project monitoring. This project always compares the workplan with the activities in 3 districts in NTT.

4.9 Are actual expenditures compared to the budget with reasonable frequency? Are explanations required for significant variations from the budget?	Yes			Low	1	Yes, it will be compared frequently. The 3 months budget from the project is so far realistic and has been delivered. If the amount of the allocation has achieved around 90 %, the NPD and deputy NPD can request again for the next transfer from UNDP. It is so far effective.
4.10 Is prior approval sought for budget amendments in a timely way?	Yes			Low	1	Yes, depending on the need, for the DCT mechanism the NPM will request the approval to the deputy NPD in Kupang for the budget amendments.
4.11 Are IP budgets approved formally at an appropriate level?	Yes			Low	1	Yes, the mechanism of approval is already in compliance with the guidelines in Kupang as well as in Jakarta. For activities taken place in districts, the field coordinators request it to the NPM for further follow up.

4d. Payments						
4.12 Do invoice processing procedures provide for: **· Copies of purchase orders and receiving reports to be obtained directly from issuing departments?** **· Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods/services actually received?** **· Checking the accuracy of calculations?**	Yes			Low	1	Usually for the review of completeness the invoice will be submitted by the project associate around 14 days before. The project will check the request whether in line or not, and it has to be signed.
4.13 Are payments authorized at an appropriate level? Does the IP have a table of payment approval thresholds?	Yes			Low	1	Payments will be authorized in accordance with the existing SOP. The table of payment will be prepared for the activity conducted later.
4.14 Are all invoices stamped *'PAID'*, approved, and marked with the project code and account code?	Yes			Low	1	Yes, the stamp is available.
4.15 Do controls exist for preparation and approval of payroll expenditures? Are payroll changes properly authorized?	Yes			Low	1	Yes, for this project curently it is controlled by the NPM. He verifies before approving the payment. Payroll for UNDP hired officers will be managed by UNDP accordingly.
4.16 Do controls exist to ensure that direct staff salary costs reflects the actual amount of staff time spent on a project?	Yes			Low	1	Yes, the salary cost will be directly managed by UNDP finance unit. It is so far until now adequately managed.
4.17 Do controls exist for expense categories that do not originate from invoice payments, such as DSAs, travel, and internal cost allocations?	Yes			Low	1	Yes, currently it is still managed by UNDP by using special account. Later after opening bank account.
4e. Policies and procedures						
4.18 Does the IP have a stated basis of accounting (i.e. cash or accrual) and does it allow for compliance with the agency's requirement?	Yes			Low	1	It is based on cash basis and in the UNDP finance unit it is accrual.
4.19 Does the IP have an adequate policies and procedures manual and is it distributed to relevant staff?	Yes			Low	1	Yes, the SPARC project has comprehensive manual that includes in the SOP, as well as in PMIG. Due to the fact that financial management and procurement are undertaken by UNDP, its policies are also utilised and distributed to staffs in Jakarta and Kupang.

4f. Cash and bank						
4.20 Does the IP require dual signatories / authorization for bank transactions? Are new signatories approved at an appropriate level and timely updates made when signatories depart?	Yes			Low	1	Yes, dual signatories are authorized by both NPD and deputy NPD in Jakarta in which the project associate prepares it.
4.21 Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?	Yes			Low	1	Yes, the project associate maintains cash book, bank book and reconciliation book properly. It has been shown to us the the report is sufficient.
4.22 If the partner is participating in micro-finance advances, do controls exist for the collection, timely deposit and recording of receipts at each collection location?		No		Low	1	In this project it is not the case because the field coordinator in districts manage it based on the established budget in cooperation with the project coordinator in Kupang.
4.23 Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant, unusual and aged reconciling items?	Yes			Low	1	We noted the project associate reconciles it regularly from the bank balance report in the BNI No. No. 0497302710 with the ledger prepared by the SPARC project.
4.24 Is substantial expenditure paid in cash? If so, does the IP have adequate controls over cash payments?		No		Low	1	No, all payments are operated through banking system and managed by UNDP finance unit. For peyment to NTT the finance unit transfer to Bank NTT and for direct payment, usually it is transferred throught the post office in districts.
4.25 Does the IP carry out a regular petty cash reconciliation?	Yes			Low	1	The petty cash reconciliation is in place.
4.26 Are cash and cheques maintained in a secure location with restricted access? Are bank accounts protected with appropriate remote access controls?	Yes			Low	1	Yes, cash is maintained with limited amount by the project associate. Meanwhile the cheques are used in a proper way. The copies are administered adequately and this has been shown to us.
4.27 Are there adequate controls over submission of electronic payment files that ensure no unauthorized amendments once payments are approved and files are transmitted over secure/encrypted networks?	Yes			Low	1	Yes, in Kupang at first the NPM and project associate control the payment before being authorized by the deputy NPD. The case in project office Jakarta is determined similarly with the deputy NPD and NPD.
4g. Other offices or entities						
4.28 Does the IP have a process to ensure expenditures of subsidiary offices/ external entities are in compliance with the work plan and/or contractual agreement?	Yes			Low	1	Yes, expenditure in Kupang will be prepared by the project associate in the province Indriyani in coordination with the project associate in Jakarta Made Rani.
4h. Internal audit						
4.29 Is the internal auditor sufficiently independent to make critical assessments? To whom does the internal auditor report?	Yes			Low	1	Yes, the BPKP has audited this project independently. The recommendation has been followed up. Further to the HACT assessment by using UNDP guidelines, it is also already relevant and all reports have been shown to us.
4.30 Does the IP have stated qualifications and experience requirements for internal audit department staff?	Yes			Low	1	Yes, the requirement and qualification are adequate well with the existing procedures.
4.31 Are the activities financed by the agencies included in the internal audit department's work programme?	Yes			Low	1	Yes the internal auditor from UNDP as well as the spot-check are undertaken this sufficiently.
4.32 Does the IP act on the internal auditor's recommendations?	Yes			Low	1	Usually the project will follow up the recommendation accordingly.
Total number of questions in subject area: **Total number of applicable questions in subject area:** **Total number of applicable key questions in subject area:** **Total number of risk points:**	**32** **32** **19** **32**					

Risk score	**1**
Area risk rating	**Low**

Subject area *(key questions in **bold**)*	**Yes**	**No**	**N/A**	**Risk Assessment**	**Risk points**	**Remarks/comments**
5. Fixed Assets and Inventory						
5a. Safeguards over assets						
5.1 Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?	Yes			Low	1	The UNDP system utilized in project office Jakarta as well as in Kupang is adequate to the policy on safeguard. After undertaking activities for 4 years the system is appropriately managed.
5.2 Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts?	Yes			Low	1	The fixed asset record in Kupang is reconciled with the record in the office in Jakarta. It is categorized with profile ID, life, tag number, serial ID, description etc. This is sufficient and it has been shown to us.
5.3 Are there periodic physical verification and/or count of fixed assets and inventory? If so, please describe?	Yes			Low	1	This is verified although the fixed asset is not significant in the amount.
5.4 Are fixed assets and inventory adequately covered by insurance policies?	Yes			Low	1	No insurance has been determined.
5b. Warehousing and inventory management						
5.5 Do warehouse facilities have adequate physical security?	Yes			Low	1	There is no such warehouse facility in this project, in Jakarta as well as in 3 districts in NTT.
5.6 Is inventory stored so that it is identifiable, protected from damage, and countable?	Yes			Low	1	No, we noted that this project does not have such inventory to be stored in Jakarta and NTT.
5.7 Does the IP have an inventory management system that enables monitoring of supply distribution?	Yes			Low	1	No, it does not have inventory. The activities in 3 districts in NTT are undertaken well.
5.8 Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?	Yes			Low	1	Yes, it will be segregated among office in Kupang or in 3 different districts, in Jakarta office at the MoEF as well as in UNDP procurement unit.
5.9 Are regular physical counts of inventory carried out?	Yes			Low	1	Yes, the UNDP procurement unit as well as Made Dwi Rani, the project associate prepare it as regulated in the guidelines.
Total number of questions in subject area:	**9**					
Total number of applicable questions in subject area:	**9**					
Total number of applicable key questions in subject area:	**2**					
Total number of risk points:	**9**					

Risk score	**1**
Area risk rating	**Low**

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
6. Financial Reporting and Monitoring						
6.1 Does the IP have established financial reporting procedures that specify what reports are to be prepared, the source system for key reports, the frequency of preparation, what they are to contain and how they are to be used?	Yes			Low	1	Yes, the SPARC project complies with the financial reporting procedures. Especially for the quarterly report, the Secretary General of the Ministry requests it to submit. They will know how much funds are allocated with its percentages.
6.2 Does the IP prepare overall financial statements?	Yes			Low	1	Yes, the financial statement for all mechanism (i) COSS, (ii) direct payment as well as (iii) funds under DIPA, will be prepared in accordance with the guidelines.
6.3 Are the IP's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please describe the auditor.	Yes			Low	1	Yes, it is audited by BPKP and last time on 17 March 2017 has resulted fairly stated. This is based on the government national auditing standard.
6.4 Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past five years?		No		Low	1	Both in Jakarta as well as in NTT there are no such issues.
6.5 Have any significant recommendations made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?		No		Low	1	No, there is so far no recommendation from auditor prepared.
6.6 Is the financial management system computerized?		No		Low	1	It is not only using excel sheet which is clear and it can be monitored.
6.7 Can the computerized financial management system produce the necessary financial reports?	Yes			Low	1	Yes, it is appropriate.
6.8 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the financial data? *E.g. password access controls; regular data back-up.*	Yes			Low	1	The safeguard is included in the UNDP procurement guidelines.
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	3					
Total number of risk points:	8					
Risk score	1					
Area risk rating	Low					

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
7. Procurement and Contract Administration						
7a. Procurement						
7.1 Does the IP have written procurement policies and procedures?	Yes			Low	1	The written procedure refers to the UNDP procurement guidelines. Most of activities taking place in 3 Kabupaten in NTT are facilitated from UNDP Jakarta. This is already effective and relevant.
7.2 Are exceptions to procurement procedures approved by management and documented ?	Yes			Low	1	We noted there is no exception documented in the UNDP procurement guidelines. As the SPARC project has undertaken activities since 2014 so far it is adequate well.
7.3 Does the IP have a computerized procurement system with adequate access controls and segration of duties between entering purchase orders, approval and receipting of goods? Provide a description of the procurement system.	Yes			Low	1	UNDP utilizes the computerized system, meanwhile the SPARC project only conducts monitoring on workplan and its allocation from Jakarta and also Kupang with excel sheet.
7.4 Are procurement reports generated and reviewed regularly? Describe reports generated, frequency and review & approvers.	Yes			Low	1	Yes, it is generated and reviewed regularly by UNDP. The NPD in Jakarta and deputy NPD in Jakarta and Kupang are able to monitor it well.
7.5 Does the IP have a structured procuremet unit with defined reporting lines that foster efficiency and accountability?	Yes			Low	1	It is in place.The cooperation between UNDP procurement unit and project associate in Jakarta with the field office in Kupang is so far effective.
7.6 Is the IP's procurement unit resourced with qualified staff who are trained and certified and considered experts in procurement and conversant with UN / World Bank / European Union procurement requirements in addition to the a IP's procuredment rules and regulations?	Yes			Low	1	Yes, the UNDP procurement staffs are qualified enough to undertake this task.The SPARC project only procures services for capacity building. Other goods are motorbike, laptop and printer with total amount less than IDR 300 million.
7.7 Have any significant recommendations related to procurement made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?		No		Low	1	From the audit result BPKP dated 17 March 2017 there is so far no such recommendation in procurement. The process is already sufficient.
7.8 Does the IP require written or system authorizations for purchases? If so, evaluate if the authorization thresholds are appropriate?	Yes			Low	1	Yes, the request shall come from NPM and deputy NPD in Kupang and the purchasing process will be submitted through the SPARC office in Jakarta. The project associate in Jakarta will verify before it is authorized by NPD and UNDP procurement unit. It is in line with guidelines.
7.9 Do the procurement procedures and templates of contracts integrate references to ethical procurement principles and exclusion and ineligibility criteria?	Yes			Low	1	We can consider that it integrates well. The UNDP procurement guidelines are relevant to these activities since 4 years ago.
7.10 Does the IP obtain sufficient approvals before signing a contract?	Yes			Low	1	Yes, it is indicated well with support from the UNDP procurement unit.
7.11 Does the IP have and apply formal guidelines and procedures to assist in identifying, monitoring and dealing with potential conflicts of interest with potential suppliers/procurement agents? If so, how does the IP proceed in cases of conflict of interest?	Yes			Low	1	This has been anticipated and to protect potential conflicts of interest, the UNDP guidelines mentions clearly this procedure. It has to be implemented later.

7.12 Does the IP follow a well-defined process for sourcing suppliers? Do formal procurement methods include wide broadcasting of procurement opportunities?	Yes			Low	1	Yes, the process is defined well and the SPARC project implements it well.
7.13 Does the IP keep track of past performance of suppliers? E.g. database of trusted suppliers.	Yes			Low	1	We noted this project in conducting activities in NTT may have regular supplier and it is noted that the method is implemented adequately.
7.14 Does the IP follow a well-defined process to ensure a secure and transparent bid and evaluation process? If so, describe the process.	Yes			Low	1	Yes, it will be managed with well-defined process. If there is a request from Kupang, the project associate Rini in Kupang will prepare the process and NPM will approve before to send it to Jakarta. The project associate Rani di Jakarta will verify, ask the deputy NPD & NPD to authorize. Afterwards this will be sent to UNDP procurement unit.
7.15 When a formal invitation to bid has been issued, does the IP award the contract on a pre-defined basis set out in the solicitation documentation taking into account technical responsiveness and price?	Yes			Low	1	Yes, the case is so far adequate to the responsiveness and price.
7.16 If the IP is managing major contracts, does the IP have a policy on contracts management / administration?	Yes			Low	1	Yes, such policy is available and has been shown to us in the UNDP guidelines. It is relevant.
7b. Contract Management - To be completed only for the IPs managing contracts as part of programme implementation. Otherwise select N/A for risk assessment						
7.17 Are there personnel specifically designated to manage contracts or monitor contract expirations?	Yes			Low	1	Yes, the NPM and project associate in Kupang as well as the deputy NPD and project associate in Jakarta are qualified to monitor contracts.
7.18 Are there staff designated to monitor expiration of performance securities, warranties, liquidated damages and other risk management instruments?	Yes			Low	1	Yes, the UNDP procurement staffs with the project associate Rani in Jakarta performs it together to undertake this duty.
7.19 Does the IP have a policy on post-facto actions on contracts?	Yes			Low	1	It is available in the UNDP guidelines. The project implements this mechanism consistently.
7.20 How frequent do post-facto contract actions occur?	Yes			Low	1	It is noted that this is implemented well and the project associates updates this regularly in cooperation with UNDP procurement unit.
Total number of questions in subject area:	**20**					
Total number of applicable questions in subject area:	**20**					
Total number of applicable key questions in subject area:	**5**					
Total number of risk points:	**20**					
Risk score	**1**					
Area risk rating	**Low**					

Totals	
Total number of questions:	**96**
Total number of applicable questions:	**96**
Total number of applicable key questions:	**39**
Total number of risk points:	**96**
Total risk score	**1**
Overall risk rating	**Low**

Micro Assessment Report

Micro Assessment of The Ministry of Environment and Forests (MoEF)
(Directorate of Planning and Evaluation of Watershed Management (DAS) at the Directorate General of Watershed Management)
The Implementing Partner of
Capacity Development for Implementing Bio Conventions Through Enhancing Incentive Mechanism for Sustainable Watershed / Land Management - Cross Cutting Capacity Development / CCCD Project
Project ID 00090780

Commissioned by: UNDP Indonesia
Individual Consultant: Niagara Chandra
Date: 30 May 2018

Table of Contents

1. Background, Scope, and Methodology
2. Summary of Risk Assessment Result
3. Detaled Internal Control Finding and Recommendations

Annex I : Implementing Partner and Programme Information
Annex II : Organizational Chart
Annex III : List of Persons Met
Annex IV : Micro Assessment Questionnaires

1. Background, Scope, and Methodology

Background

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental implementing partners.

The micro-assessment assesses the IP's control framework. It results in a risk rating (low, moderate, significant or high).The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an IP.

Scope

The micro-assessment provides an overall assessment of the Implementing Partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the IP legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the Implementing Partner.

It takes into account results of any previous micro assessments conducted of the Implementing Partner.

Methodology

We performed micro assessment during 8-9 May 2018 at Ministry of Environment and Forestry, Directorate of Planning and Evaluation of Watershed Management (PEPDAS), Manggala Wanabakti Blok I Fl.13 Jakarta, followed by exit meeting among UNDP, CCCD, and consultant on 30 May 2018. Through discussion with management, observation and walk-through tests of transactions, we have assessed the Implementing Partner's and the related internal control system with emphasis on:

- The effectiveness of the systems in providing the Implementing Partner's management with accurate and timely information for management of funds and assets in accordance with work plans and agreements with the United Nations agencies;
- The general effectiveness of the internal control system in protecting the assets and resources of the Implementing Partner.

We discussed the results of the micro assessment with applicable UN agency personnel and the IP prior to finalization of the report. The list of persons met and interviewed during the micro-assessment is set out in Annex III.

2. Summary of Risk Assessment Result

As overall, financial management capacity of the CCCD falls under **Low Risk**.

As part of government entity and in term of APBN funds (State budget), CCCD demonstrates good internal control structure related to the finance, accounting, and procurement. They have their internal SOP related to the authorization level, completeness, and accuracy of document. Segregation of duties exist among authorization, recording assets, and custody of the asset. In term of staffing, they have capabe staff to manage funds and programme. Financial reporting is performed via computerized accounting system to provide real time information for the users. To promote fraud awareness and to maintain good corporate governance, internal audit units from government, i.e. Inspectorate General from the Ministry and BPK (Audit Board) conduct audit in a regular basis.

In term of UNDP funds, they ever received UNDP funds previously and currently, for CCCD project they request to apply for the DCT modality. Based on our review and with the financial capacity they have in term of APBN funds, in our view, they have a basis and capable to implement UNDP funds. However, since this project will involve other offices iin implementation, common perception and consistenty applied of the SOP related to this project is needed.

Despite of the above, some inherent risk might occur during assessment:

- Our tools of assessment were discussion, analytical review, inquiry, and verification. We did not do other procedures, such as: on site review and confirmation to third.
- We assessed financial capacity related to the APBN/State Budget, not project funded since the current modality is COSS.
- In addition, many countries including Indonesia are experiencing with economic struggles, such as inflation, social unrest, and other. Such fiscal and monetary policies are being taken by government that may directly or indirectly impact to the project; but the result could not be determined at the present time.

The table below summarizes the results and main internal control gaps found during application of the micro-assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 3.

Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
1. Implementing partner	Low Risk	The implementing partner is a government entity, i.e. Directorate General of Planning and Monitoring Evaluation for DAS, under Ministry of Environment and Forestry. At this time, IP carries out the project funded by UNDP, i.e. CCCD. As a government entity, they receive budget from the state budget/APBN and have statutory reporting requirement. They are regularly audited by Inpectorate General of the Ministry and/or Audit Board/BPK, and have tools to promote anti-fraud policy. In addition, they had received UNDP funds previously. Based on those facts, there is no significant issue and risk rating for this area could be considered Low.
2. Programme Management	Low Risk	For their internal (APBN fund), they have their internal policy to develop workplan, implementing, and monitoring. For UNDP fund, they develop programme in collaboration with UNDP and in accordance to the UNDP rules and regulations, including TOR and monitoring for each stage. Given by the above facts, there no exception to be noted and as a result, the risk for this area could be considered Low.
3. Organizational structure and staffing	Low Risk	For APBN funds, the organizational structure is appropriate to carry out the activity. In term of human resource policy including recruitment, placement, etc is conducted by separate and independent unit from the Ministry of Environment and Forestry.

Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
		For UNDP funds, the staffing and organization structure are appropriate to carry out UNDP funds. Person who manages UNDP funds is also a finance officer of APBN funds. There are 2 issues related to this area: 1. Finance officer will enter the 'pension period preparation' this year and as informed, they have already prepared the regeneration, i.e. finance staff. CCCD has responded that the finance is currently assisted by finance staff. During our review, finance staff has capacity to manage funds. 2. Rotation policy for APBN funds is beyond their control and can be occurred at any time. In this regard, they have informed that as long as the position is not removed or deleted, activity can still be implemented by looking for the alternative solution or finding the right candidate for finance. Based on those facts, and their action to mitigate the risk, in my view the gap has been reduced and the risk rating for this area could be considered Low.
4. Accounting policies and procedures	Low Risk	For APBN funds, they have their own policy and procedures, including job description, reporting, administration, finance and accounting. They have separate bank account with two dual signatories are required to execute the payment. Segregation of duty exists among recording, authorization, and custody of asset. We have reviewed also some pertinent documents related to the bank book, cash book, accoutability report, advance settlement, and bank reconciliation, and found no exception to be noted. In term of internal audit, they are regularly audited by Inspectorate General of the Ministry and Audit Board (BPK). And during the last 2 years, there are no significant issues related to the audit and all recommendations have been resolved and implemented. For UNDP funds, they have already had SOP for the project. In term of finance, i.e. accountability report and related supporting document are maintaned by UNDP office since currently they implement COSS and as a result, we reviewed only from APBN funds. We discussed also about the flows of funds between Jakarta and Surabaya or Lampung when DCT is implemented and we found that such SOP needs to be consistently applied. Based on those facts, no finance gap exist and risk rating for this area could be considered Low.
5. Fixed Assets and	Low Risk	For APBN funds, fixed assets are administered by separate unit, i.e. BMN Unit (Barang Milik Negara / Property Owned

Tested subject area	Risk assessment*	Brief justification for rating (main internal control gaps)
Inventory		by Government). During discussion, BMN conducts verification procedure and moreover, internal audit (Inspectorate General and or BPK) perform verification, existence, and competeness of the assets. In short, fixed assets are properly managed and controlled. In term of inventory and warehousing, they do not have inventory due to the nature of their activty does not require inventory and warehousing. For UNDP funds, for CCCD project they have SOP. Based on those facts, risk rating for this area could be considered Low.
6. Financial Reporting and Monitoring	Low Risk	For APBN funds, they are required to submit: quartery report, realization report, accountability report, cash book, bank book, and bank reconciliation. Almost all financial reporting are conducted by computerized environment and during our review, no exception to be noted. In term of confidentiality and integrity data, they meet minimum requirement. For UNDP funds, for the time being, financial reporting is administered by UNDP office. Based on those information, risk rating for this area could be considered Low.
7. Procurement	Low Risk	For APBN funds, they follow rules and regulations set by government. Procurement is divided by two methods: direct procurement which is conducted by Ditjen Pepdas with value less than IDR 50 Mio and by LPSE (Lembaga Pengadaan Sistem Elektronik / Organization for Procurement Electronic System central computerized procurement) for value above IDR 50 Mio. Based on our review and discussion with procurement officer, we do not find any significant defficiency of the procurement system in Ditjen Pepdas since for major procurement is performed by separate organization. For UNDP funds, SOP has been established for the procurement activity. Based on those facts, risk rating for this area could be considered Low.
Overall Risk Assessment	**Low Risk**	**Based on our review of the tested area, we have found no gap exist or no exception to be noted. And risk rating for the overall assessment is considered Low.**

**High, Significant, Moderate, Low*

3. Detailed Internal Control Finding and Recommendation

No	Description of Finding	Recommendation
1	SOP Project is going to be implemented by CCCD when DCT modality will be applied and hence there is a possibility that such SOP may not be consistently applied by the users. Lack of consistency and incompliance with SOP will lead to mis-accountability related to the finance matter both Jakarta office and branches.	Finance (Jakarta, Lampung, & Surabaya) need to be consistently applied and in compliance to SOP including any changes, if any.

Assessment and recommendation report is prepared by:

Niagara Chandra _____ Signature and date: 30 May 2018

I here with agree with the above justification and approve the recommendations for Micro Assessment of The Ministry of Environment and Forests (MoEF) - (Directorate of Planning and Evaluation of Watershed Management (DAS) at the Directorate General of Watershed Management), the Implementing Partner of Capacity Development for Implementing Bio Conventions Through Enhancing Incentive Mechanism for Sustainable Watershed / Land Management - Cross Cutting Capacity Development / CCCD Project, Project ID 00090780.

Approved by: Christophe Bahuet
Country Director, UNDP Indonesia

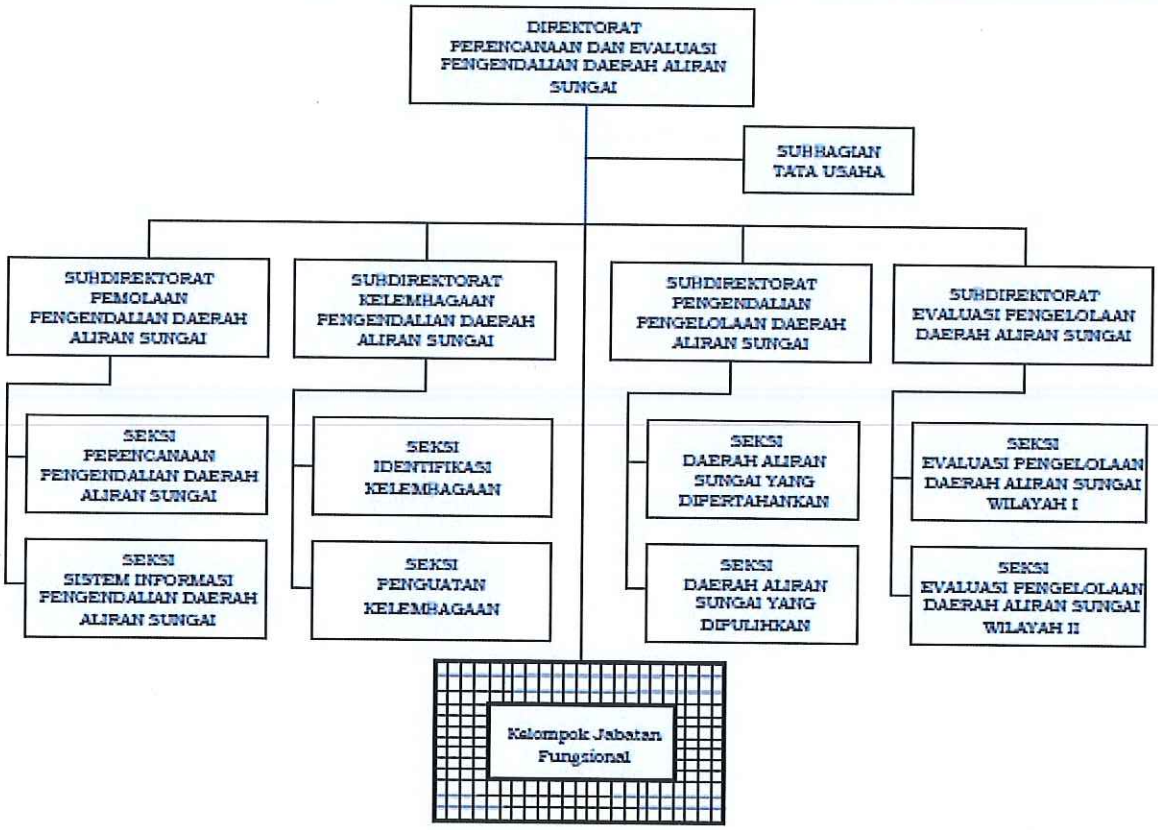
Signature and date _____

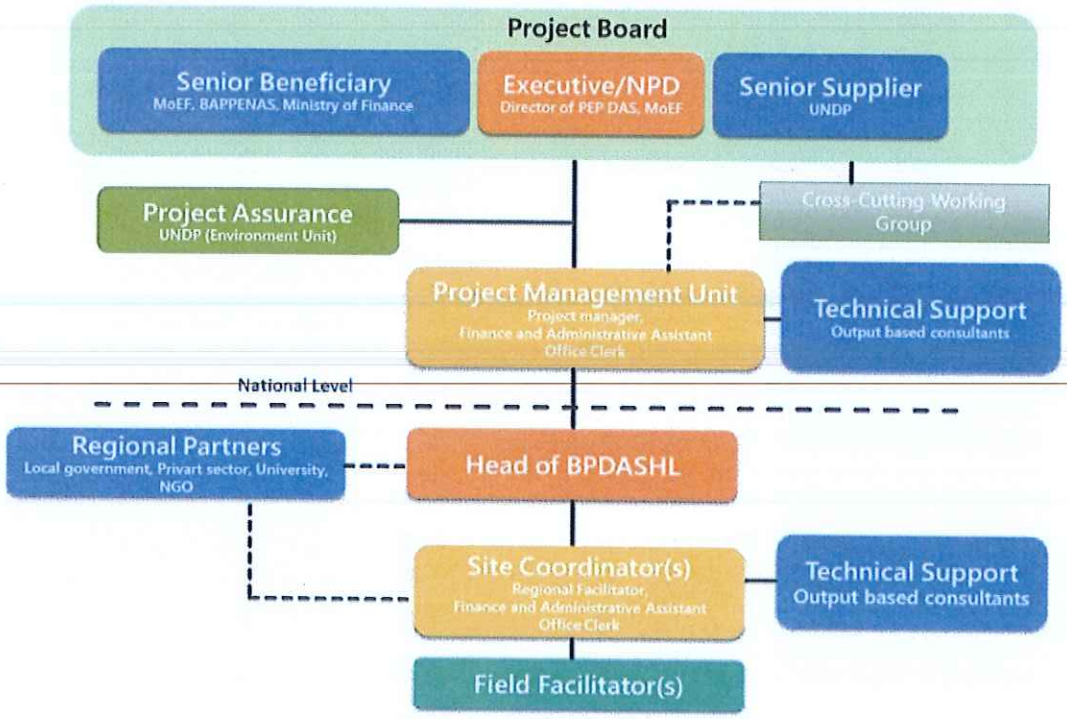
Annex I – IP and Programme Information

Implementing partner name:	Ministry of Environment and Forestry (MoEF)
Implementing partner code or ID in UNICEF, UNDP, UNFPA records (as applicable)	008005
Implementing partner contact details (contact name, email address and telephone number):	Ir. Yulianto Joko Putranto, M.AP National Project Director of CCCD Blok I, Floor 13 Gedung Manggala Wanabakti Jakarta
Main programmes implemented with the applicable UN Agency/ies:	UNDP
Key Official in charge of the UN Agency/ies'programme(s):	Iwan Kurniawan Programme Manager – Environment Unit
Programmelocation(s):	Jakarta, Lampung, Surabaya
Location of records related to the UN Agency/ies'prorgamme(s):	Jakarta
Currency of records maintained:	Indonesian Rupiah
Expenditures incurred/reported to UNICEF, UNDP and UNFPA (as applicable). Indicate the amount (in US$) and the financial reporting period ;	N/A since previously COSS
Current or latest cash transfer modality/ies used by the UN agency/ies to the IP	COSS (Country Office Support System)
Intended start date of micro assessment:	8-9 May 2018 for assessment and 30 May 2018 for exit meeting
Number of days to be spent for visit to IP:	3 days
Any special requests to be considered during the micro assessment:	-

Annex II – Organizational Chart

STRUKTUR ORGANISASI DIREKTORAT PERENCANAAN DAN EVALUASI PENGENDALIAN DAERAH ALIRAN SUNGAI





Annex III– List of Persons Met

Name	Unit/organization	Position
Ir. Yulianto Joko Putranto, M.AP (during entry and exit meeting)	Directorate Pepdas	National Project Director CCCD
Ir. Anang Widicahyono, MM (during entry and exit meeting)	Directorate Pepdas/ PMU Jakarta	Commitment Officer at CCCD
Ali Sabana (during assessment and exit meeting)	Directorate Pepdas/ PMU Jakarta	Finance Officer at CCCD
Rio Febrianto (during assessment)	Directorate Pepdas/ PMU Jakarta	Assistant Finance Officer at CCCD
Tami (during assessment and exit meeting)	Directorate Pepdas	Kasie DAS yang Dipulihkan
Sutisna (during assessment and exit meeting)	Directorate Pepdas	Procurement officer Pepdas

Annex B – CCCD Project Staffing

No	Nama	Jabatan dalam Proyek CCCD	Keterangan
A.	*Project Manager Unit* (PMU) Jakarta		
1	Ir. Anang Widicahyono, MM NIP.19640109 199103 1 001	Pejabat Pembuat Komitmen (PPK)	
2	Ali Sabana NIP.19610910 198602 1 001	Bendahara Pengeluaran	
3	Arif Budimansyah NIP.19820629200604 1 005	Bendahara Pengeluaran Pembantu (BPP)	
B.	*Site Coordinator Unit* (SCU) Surabaya		
1	Enny Yusnita Susilo, S.Hut M.MA NIP.19740112 1999032006	Pejabat Pembuat Komitmen (PPK)	
2	Aries Purnawati, S.Kom, MSi NIP. 198104172000608200l	Bendahara Pengeluaran Pembantu (BPP)]	
C.	*Site Coordinator Unit* (SCU) Lampung		
1	Ratnawati, SE NIP. 19630723 199403 2 001	Pejabat Pembuat Komitmen (PPK)	
2	Ernawati, SE NIP. 19851004 200901 2 004	Bendahara Pengeluaran Pembantu (BPP)]	

Micro-assessment workbook

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
1. Implementing Partner						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the entity.	Yes			Low	1	Implementing partner is a government entity, i.e. Directorate General of Planning and Monitoring Evaluation for DAS / Direktorat Jenderal Perencanaan dan Evalusasi Pengendalian DAS (hereinafter called Ditjen Pepdas) under Ministry of Environment and Forestry. The project that carried out by IP related to the UNDP fund is "Capacity development for implementing bio conventions through enhancing incentive mechanism for sustainable watershed / land management (cross cutting capacity development / CCCD Project)"
1.2 If the IP received United Nations resources in the past, were significant issues reported in managing the resources, including from previous assurance activities.	Yes			Low	1	IP received UN resources (from UNDP) in the past during the year 2009-2014 for the project SCBFWM (Strengthening Community Base Forest and Watershield Management). The project had been extended till 2016. As per discussion with personnel of Pepdas, the implemention of the project was successful
1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements in the prior three fiscal years?	Yes			Low	1	for their internal fund (APBN), they have statutory reporting requirements, i.e. Realization report which is reported on a monthly basis. In addition, they need to prepare also cash book, bank reconciliation, and accountability report For UNDP fund, they need to report as required by SOP CCCD
1.4 Does the governing body meet on a regular basis and perform oversight functions?	Yes			Low	1	They have internal monitoring and external monitoring which perform as oversight function
1.5 If any other offices/ external entities participate in implementation, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?	Yes			Moderate	4	For APBN fund, there is no other offices invoved. For UNDP fund, there are two offices (Lampung and Surabaya) which participate in implementation. Such policies are under development related to the oversight and monitoring
1.6 Does the IP show basic financial stability in-country (core resources; funding trend) ***Provide the amount of total assets, total liabilities, income and expenditure for the current and prior three fiscal years.***	Yes			Low	1	As informed by Bendahara (Pak Ali), during the past 3 years, the budget and expenditures for APBN indicates stability. Also, the absorption rate is more than 90% and almost reached full absorption. We reviewed the fund allocation from APBN for the last 2 years, and we found the amount is consistent (2017 budget: IDR 4,64 bio and 2018 budget: IDR 4.55 bio)

1.7 Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?	Yes			Low	1	IP can easily received funds for APBN. Cash ready is IDR 200 Mio for operational and certain activities, while other than that is executed by KPPN For UNDP fund, they have separate bank account for CCCD which NPD and finance as authorized signature (dual signatory)
1.8 Does the IP have any pending legal actions against it or outstanding material/significant disputes with vendors/contractors? *If so, provide details and actions taken by the IP to resolve the legal action.*		No		Low	1	As per discussion with personnel pepdas, no pending legal against it or outstanding disputes with other parties
1.9 Does the IP have an anti-fraud and corruption policy?	Yes			Low	1	Inspectorate general, BPK (audit board), and BPKP (finance and development of audit supervisory) perform regular / periodic audit. This audit will be direct or indirecty prevent fraud.
1.10 Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?	Yes			Low	1	as 1.9 and in addition, SOP, job descriptions, and good attitute from management indirectly give positive impact to prevent this issue
1.11 Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe. *Examples: foreign exchange risk; cash receipts.*		No		N/A	-	During our review, no financial risks or operational risks that are not covered by this questionnaires
Total number of questions in subject area:	**11**					
Total number of applicable questions in subject area:	**10**					
Total number of applicable key questions in subject area:	**5**					
Total number of risk points:	**13**					
Risk score	**1.3**					
Area risk rating	**Low**					

Subject area *(key questions in **bold**)*	**Yes**	**No**	**N/A**	**Risk Assessment**	**Risk points**	**Remarks/comments**
2. Programme Management						
2.1. Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?	Yes			Low	1	for APBN funds, they follow the policy from government; and in the workplan specifies name of activities, code, purpose, target, indicator, location, implementing unit, budgeted amount. program and plans related to the project were developed in collaboration with UNDP
2.2. Do work plans specify expected results and the activities to be carried out to achieve results, with a time frame and budget for the activities?	Yes			Low	1	as no.2.1 above
2.3 Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	Yes			Low	1	As per discussion with Kasie DAS Yang Diperlukan, no potential risks arise
2.4 Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?		No		Moderate	2	As per discussion, such policies and tools will be developed

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
3. Organizational Structure and Staffing						
3.1 Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?	Yes			Low	1	for APBN funds, recruitment and its related are conducted by staffing unit. For UNDP funds, recruitment of project staff of CCCD were conducted in a transparent manner, i.e. Open auction
3.2 Does the IP have clearly defined job descriptions?	Yes			Low	1	Both APBD and UNDP fund, job descriptions have been clearly defined
3.3 Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.	Yes			Low	1	finance for UNDP funds consist of finance officer (Pak Ali Sabana) which is also finance for APBD funds. He is assisted by finance staff. This position is included in circular letter signed by NPD on 15 January 2018 However finance officer will enter 'pension period preparation' starting last quarter this year. In this transition, he is assisted by finance staff. During review and discussion with them, they are competent and have sufficient experience in related field
3.4 Is the IP's accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds?	Yes			Low	1	as 3.3
3.5 Does the IP have training policies for accounting/finance/ programme management staff? Are necessary training activities undertaken?	Yes			Low	1	Regular training and technical asistant have been obtained for finance (bendahara)
3.6 Does the IP perform background verification/checks on all new accounting/finance and management positions?	Yes			Low	1	as no.3.1.
3.7 Has there been significant turnover in key finance positions the past five years? If so, has the rate improved or worsened and appears to be a problem?		No		Moderate	2	Turnover are mostly caused by rotation conducted by secretariat (equivalent to eseleon 1) of the ministry and in most cases, this is beyond their control
3.8 Does the IP have a documented internal control framework? Is this framework distributed and made available to staff and updated periodically? If so, please describe.	Yes			Low	1	for APBD funds, they have their own policy for UNDP funds, they have SOP for CCCD
Total number of questions in subject area:	**8**					
Total number of applicable questions in subject area:	**8**					
Total number of applicable key questions in subject area:	**3**					
Total number of risk points:	**9**					
Risk score	**1.125**					
Area risk rating	**Low**					

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4. Accounting Policies and Procedures						
4a. General						
4.1 Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	Yes			Low	1	For UNDP funds, IP uses separate SOP, i.e. SOP for CCCD. The SOP provides further guidance in term of job description, fund transfer, financial reporting, supporting document, travelling, segregation of duties, monitoring, assets management, and audit/spot check. This SOP is issued in january 2018 and signed by NPD.
4.2 Does the IP have an appropriate cost allocation methodology that ensures accurate cost allocations to the various funding sources in accordance with established agreements?	Yes			Low	1	for APBN fund, cost allocation is prepared when workplan is made.
4.3 Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?	Yes			Low	1	For APBN fund, such supporting documents are retained in organized and separate place
4.4 Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?			N/A	N/A	-	no general ledger and subsidiary ledger applicable for APBN fund
4b. Segregation of duties						
4.5 Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?	Yes			Low	1	for UNDP funds, authorization to execute transaction: Ir Anang Widicahyono, MM (PPK - Commitment officer) recording transaction: finance: Ali Sabana custody assets: finance: Ali Sabana for APBN fund, segregation of duties are properly implemented.
4.6 Are the functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated?	Yes			Low	1	for APBD fund, there is mechanism, i.e. Procurement officer: Pak Tisna Examining/verification: Bu Tami for UNDP fund, as 4.5 above
4.7 Are bank reconciliations prepared by individuals other than those who make or approve payments?	Yes			Low	1	For APBN fund, reconciliation bank is perfomed by finance. For UNDP funds, still not applicable since the modality at the moment is COSS
4c. Budgeting system						
4.8 Are budgets prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance?	Yes			Low	1	for APBN fund, they prepare budget based on their guidance.
4.9 Are actual expenditures compared to the budget with reasonable frequency? Are explanations required for significant variations from the budget?	Yes			Low	1	For APBN fund, there is system that provide reaization between budget and expenditures; and such tool is performed on a monthly basis

4.10 Is prior approval sought for budget amendments in a timely way?			N/A	N/A	-	For APBN fund, it is very rare for amendment of budget. For UNDP fund, still not applicable
4.11 Are IP budgets approved formally at an appropriate level?	Yes			Low	1	budget is coordinatedby subdit perencanaan, who collect and review budget from all subdits under pepdas. And approval is under authority of subdit perencanaan

4d. Payments						
4.12 Do invoice processing procedures provide for: **· Copies of purchase orders and receiving reports to be obtained directly from issuing departments?** **· Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods/services actually received?** **· Checking the accuracy of calculations?**	Yes			Low	1	for APBN funds, we have reviewed: 1. SPJ (accountability report) for some transactions in 2018 2. General cash book for end of march 2018 3. Quarterly report for 1st quarter 2018 4. Monthly report for march 2018 5. Bank reconciliation Except for SPJ which consists of manual supporting documet, all pertinent documents prepared by using computerized system. Our review on SPJ, SPJ is supported by appropriate document such as accountability expense, official receipt, travelling expense statement, third party invoice, assignment form (surat tugas), etc. All those supporting documents are properly authorized by responsible persons We have also reviewed item no.2 until 5 above and find no exception to be noted. Accuracy, completeness, and authorizations are properly performed.
4.13 Are payments authorized at an appropriate level? Does the IP have a table of payment approval thresholds?	Yes			Low	1	as 4.12 above
4.14 Are all invoices stamped '*PAID*', approved, and marked with the project code and account code?		No		Significant	6	During our review, almost all supporting documents were not stamped 'paid'. However, they said that alternative procedure has been performed to prevent double payment or unapproved payment, such as check to budget and related activities
4.15 Do controls exist for preparation and approval of payroll expenditures? Are payroll changes properly authorized?			N/A	N/A	-	for APBN fund, payroll is managed from central unit. For UNDP fund, at the moment, payroll is done by UNDP.
4.16 Do controls exist to ensure that direct staff salary costs reflects the actual amount of staff time spent on a project?			N/A	N/A	-	as 4.15
4.17 Do controls exist for expense categories that do not originate from invoice payments, such as DSAs, travel, and internal cost allocations?	Yes			Low	1	for APBN fund, they have their control procedure for UNDP fund, they have SOP for CCCD
4e. Policies and procedures						
4.18 Does the IP have a stated basis of accounting (i.e. cash or accrual) and does it allow for compliance with the agency's requirement?	Yes			Low	1	for APBN, they have government policy and procedure for UNDP fund, they have policy and procedure as well
4.19 Does the IP have an adequate policies and procedures manual and is it distributed to relevant staff?	Yes			Low	1	as per discussion with IP, such policy and procedure are adequetly distributed

4f. Cash and bank						
4.20 Does the IP require dual signatories / authorization for bank transactions? Are new signatories approved at an appropriate level and timely updates made when signatories depart?	Yes			Low	1	for UNDP funds, dual signatory is required for approval of the bank account: NPD and finance
4.21 Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?	Yes			Low	1	a no.4.12 above
4.22 If the partner is participating in micro-finance advances, do controls exist for the collection, timely deposit and recording of receipts at each collection location?	Yes			Moderate	2	For APBN funds, almost all payments are conduted by cash transfer. Only few transaction by advance. However, if advance exist, and during our review indicates that settlement is around one month for year 2018. As per disucssion with finance, since only few advance, so monitoring advance is conducted by cash book
4.23 Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant, unusual and aged reconciling items?	Yes			Low	1	as no 4.12 above
4.24 Is substantial expenditure paid in cash? If so, does the IP have adequate controls over cash payments?	Yes			Low	1	for APBD funds: they have 2 mechanism, ie. Cash payment and LS (direct payment). Cash payment is for the purpose of small value and LS is specifically for more than 50 Mio and processed and paid by KPPN, such as hotel, travelling, and contracts. Control over cash payment is in place, i.e. via authorization and completeness of the document
4.25 Does the IP carry out a regular petty cash reconciliation?	Yes			Low	1	for APBN fund, the IP uses cash with fixed amount of IDR 200 Mio for the purpose of small expenditure and certain activities such as travelling. On periodic basis, IP make accountability and request for reimbursement to KPPN to fill the cash to become IDR 200 Mio. Our review on cash refer to 4.12 above
4.26 Are cash and cheques maintained in a secure location with restricted access? Are bank accounts protected with appropriate remote access controls?	Yes			Low	1	they have brankas (deposit box) to keep cash safely
4.27 Are there adequate controls over submission of electronic payment files that ensure no unauthorized amendments once payments are approved and files are transmitted over secure/encrypted networks?	Yes			Low	1	for small amount (below 50 Mio), payment is executed via cash. Above than that, payment is executed via electronic transfer by KPPN
4g. Other offices or entities						
4.28 Does the IP have a process to ensure expenditures of subsidiary offices/ external entities are in compliance with the work plan and/or contractual agreement?	Yes			Low	1	not yet for APBN fund, but for UNDP fund there has a process tp ensure expenditures in compliance with policies.
4h. Internal audit						
4.29 Is the internal auditor sufficiently independent to make critical assessments? To whom does the internal auditor report?	Yes			Low	1	for APBN, audit is performed periodically by BPK or BPKP. Further, audit from inspectorate general also perform in a periodic basis.

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
5. Fixed Assets and Inventory						
5a. Safeguards over assets						
5.1 Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?	Yes			Low	1	for APBN, they have their own policies and procedures. All assets are administered by BMN (Barang Milik Negara / Property onwed by government) officer For UNDP fund, we have SOP
5.2 Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts?	Yes			Low	1	For APBN fund, BMN manages and administer the data. However, we did not perform assessment for this unit
5.3 Are there periodic physical verification and/or count of fixed assets and inventory? If so, please describe?	Yes			Low	1	For APBN fund, verification is conducted by BMN officer
5.4 Are fixed assets and inventory adequately covered by insurance policies?		No		Moderate	2	as government policy, no insurance covers
5b. Warehousing and inventory management						
5.5 Do warehouse facilities have adequate physical security?			N/A	N/A	-	for APBN fund, Ditjen pepdas does not have warehouse and inventory. As a result, this area is not applicable for UNDP fund, it is unlikely that inventory and warehousing will be applicable.
5.6 Is inventory stored so that it is identifiable, protected from damage, and countable?			N/A	N/A	-	
5.7 Does the IP have an inventory management system that enables monitoring of supply distribution?			N/A	N/A	-	
5.8 Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?			N/A	N/A	-	
5.9 Are regular physical counts of inventory carried out?			N/A	N/A	-	
Total number of questions in subject area:	**9**					
Total number of applicable questions in subject area:	**4**					
Total number of applicable key questions in subject area:	**0**					
Total number of risk points:	**5**					
Risk score	**1.25**					
Area risk rating	**Low**					

Subject area *(key questions in **bold**)*	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
6. Financial Reporting and Monitoring						
6.1 Does the IP have established financial reporting procedures that specify what reports are to be prepared, the source system for key reports, the frequency of preparation, what they are to contain and how they are to be used?	Yes			Low	1	for APBN fund, they need to report monthly via computerized system, i.e. Realization report
6.2 Does the IP prepare overall financial statements?		No		Low	1	for APBN fund, IP does not prepare overall financial statements since ditjen pepdas is part of the directorate in ministry of environment and forestry
6.3 Are the IP's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please describe the auditor.	Yes			Low	1	refer to 4.29
6.4 Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past three years?		No		Low	1	as per discussion with finance, there is no major issues during the past three years which resulting no significant recommendations
6.5 Have any significant recommendations made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?		No		Low	1	as 6.4 above
6.6 Is the financial management system computerized?	Yes			Low	1	computerized accounting system, except for supporting document
6.7 Can the computerized financial management system produce the necessary financial reports?	Yes			Low	1	at higher level, financial reporting can be produced report real time
6.8 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the financial data? *E.g. password access controls; regular data back-up.*	Yes			Moderate	2	for APBN fund, based on discussion, confidentiality and integrity data in term of financial are adequate.
Total number of questions in subject area:	**8**					
Total number of applicable questions in subject area:	**8**					
Total number of applicable key questions in subject area:	**3**					
Total number of risk points:	**9**					
Risk score	**1.125**					
Area risk rating	**Low**					

7.12 Does the IP follow a well-defined process for sourcing suppliers? Do formal procurement methods include wide broadcasting of procurement opportunities?	Yes			Low	1	as 7.11 ; 7.3 and 7.13
7.13 Does the IP keep track of past performance of suppliers? E.g. database of trusted suppliers.	Yes			N/A	-	for APBN fund: track record of past performance is under database of LPSE
7.14 Does the IP follow a well-defined process to ensure a secure and transparent bid and evaluation process? If so, describe the process.	Yes			Low	1	as 7.3
7.15 When a formal invitation to bid has been issued, does the IP award the contract on a pre-defined basis set out in the solicitation documentation taking into account technical responsiveness and price?	Yes			N/A	-	under LPSE rules
7.16 If the IP is managing major contracts, does the IP have a policy on contracts management / administration?	Yes			Low	1	for APBN fund, they have officer who manages the contract management, i.e. Procurement officer
7b. Contract Management - To be completed only for the IPs managing contracts as part of programme implementation. Otherwise select N/A for risk assessment						
7.17 Are there personnel specifically designated to manage contracts or monitor contract expirations?	Yes			Low	1	as 7.16
7.18 Are there staff designated to monitor expiration of performance securities, warranties, liquidated damages and other risk management instruments?	Yes			N/A	-	
7.19 Does the IP have a policy on post-facto actions on contracts?	Yes			N/A	-	for APBN fund, as discussed, this case is rarely occurred and if occuured, there should be approved by PPPK (commitment officer)
7.20 How frequent do post-facto contract actions occur?			N/A	N/A	-	as 7.19
Total number of questions in subject area:	**20**					
Total number of applicable questions in subject area:	**14**					
Total number of applicable key questions in subject area:	**4**					
Total number of risk points:	**11**					
Risk score	**0.786**					
Area risk rating	**Low**					

Totals	
Total number of questions:	**96**
Total number of applicable questions:	**77**
Total number of applicable key questions:	**34**
Total number of risk points:	**90**
Total risk score	**1.169**
Overall risk rating	**Low**

Design & Appraisal Stage Quality Assurance Report

Form Status: Approved

Overall Rating:	Highly Satisfactory
Decision:	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
Portfolio/Project Number:	00141871
Portfolio/Project Title:	Investing in the Komodo Dragon In Flores
Portfolio/Project Date:	2022-10-01 / 2028-09-30

Strategic **Quality Rating: Exemplary**

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

- (●) *3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.*
- ( ) 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.
- ( ) 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

Evidence:

The project made clear linkage to the national and ministerial policies and targets (both mid-term and long-term) as well as SDGs. 3 barriers were identified and there was an explanation of how the theory of change would address the barriers and promote conservation of Komodo dragon and other globally threatened species in Flores. It also envisioned how the knowledge and experience would contribute to other conservation initiatives.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Long-termvision_12491_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Long-termvision_12491_101.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:12:00 AM
2	nationalpolicyandSDGs_12491_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/nationalpolicyandSDGs_12491_101.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:13:00 AM
3	TheoryofChange_12491_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/TheoryofChange_12491_101.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:13:00 AM

2. Is the project aligned with the UNDP Strategic Plan?

- ○ 3: The project responds to at least one of the development settings as specified in the Strategic Plan[1] and adapts at least one Signature Solution[2]. The project's RRF includes all the relevant SP output indicators. (all must be true)
- ◉ *2: The project responds to at least one of the development settings as specified in the Strategic Plan[4]. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)*
- ○ 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

Evidence:

The project responds to Signature Solution #4 (Environment: nature-based solutions for development); contributing to UNDP SP Result 4.1: Natural resources protected and managed to enhance sustainable productivity and livelihoods; and Result 4.2: Public and private investment mechanisms mobilized for biodiversity, water, oceans, and climate solutions.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	ResultsFramework_12491_102 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ResultsFramework_12491_102.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:28:00 AM

3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)

- (●) *Yes*
- ( ) No

Evidence:

The project will contribute to CPD 2021-2025 Outcome 3: Institutions, communities and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive.
Contributing Outputs:
Output 3.2: Strengthened and expanded protection, governance and management of terrestrial and aquatic ecosystems, habitats, and species.
Output 3.4: Conservation and resilience strategies with local priorities (income and food security) contribute to global environment benefits.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	ResultsFramework_12491_103 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ResultsFramework_12491_103.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:31:00 AM

Relevant **Quality Rating:** **Highly Satisfactory**

4. Do the project target groups leave furthest behind?

- ○ 3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.
- ◉ *2: The target groups are clearly specified, prioritizing groups left furthest behind.*
- ○ 1: The target groups are not clearly specified.

Evidence:

The project will promote equitable representation and participation of women, Adat communities, and other marginalized groups in natural resource governance and management. During the design stage, the team made the best efforts to reach women and marginalised groups living in the villages. In response to the obstacles they are facing in terms of access to financial and other resources, Output 2.3 included targeted training for women's groups, youth organizations, people with disabilities, and other marginalized groups on topics such as financial management, marketing, sustainable certification and skills training. Of these groups, the direct beneficiaries will be 2,500 people from the traditional Adat community, Baar in Sambinasi and West Sambinasi villages in Ngada district in the north Flores landscape-seascape.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	stakeholders_12491_104 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/stakeholders_12491_104.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:49:00 AM

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

- ◉ *3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.*
- ○ 2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.
- ○ 1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

Evidence:

The baseline scenario explained the past and ongoing conservation efforts in the area. For example, the ecotourism component learned from Swiss Contact's Local Economic Development LED-NTT and the eco-tourism project WISATA. The landscape approach learned from GEF Sumatran project. Several lessons were learned from USAID's Terrestrial NRM Project, including more focused activities, the dedication of staff time, and grant management. The pilot innovative biodiversity financing was based on BIOFIN project.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Baselinescenario_12491_105 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Baselinescenario_12491_105.pdf)	xiaoyang.tian@undp.org	3/22/2022 5:18:00 AM

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)
- *2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.*
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence:

There is a complete list of the partners working in th e region and the relevant projects with analyses on t heir linkage to this project. Component 3 will support knowledge exchange and explore South-south coop eration. Though forums and partnerships were menti oned, detailed funding and communications strategi es are to be developed

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Baselinescenario_12491_106 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Baselinescenario_12491_106.pdf)	xiaoyang.tian@undp.org	3/22/2022 7:35:00 AM
2	Component3_12491_106 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Component3_12491_106.pdf)	xiaoyang.tian@undp.org	3/22/2022 7:35:00 AM
3	partnership_12491_106 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/partnership_12491_106.pdf)	xiaoyang.tian@undp.org	3/22/2022 7:35:00 AM

Principled **Quality Rating: Highly Satisfactory**

7. Does the project apply a human rights-based approach?

- *3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)*
- 2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)
- 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence:

While the project component section explained how to reach adat communities, women and marginalise d groups, the risk section listed Human Rights, Gen der equality and women´s empowerment, and Acco untability risks concerned. In response, Environment al and Social Management Framework, Stakeholder Engagement Plan including Grievance Redress Mec hanism (GRM), Gender Analysis and Gender Action Plan were developed as mitigation and management measures, where international and national laws an d standards were also analysed as relevant.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Risks_12491_107 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Risks_12491_107.pdf)	xiaoyang.tian@undp.org	3/22/2022 8:00:00 AM
2	6506_Annex10_ESMF_20Jan2022_CLEAN_12491_107 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex10_ESMF_20Jan2022_CLEAN_12491_107.docx)	xiaoyang.tian@undp.org	3/22/2022 8:00:00 AM
3	6506_Annex11_Genderanalysisandactionplan_09Feb2022_12491_107 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex11_Genderanalysisandactionplan_09Feb2022_12491_107.docx)	xiaoyang.tian@undp.org	3/22/2022 8:01:00 AM
4	6506_Annex08_Stakeholderengagementplan_09Feb2022_12491_107 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex08_Stakeholderengagementplan_09Feb2022_12491_107.docx)	xiaoyang.tian@undp.org	3/22/2022 8:01:00 AM
5	6506_Annex10_ESMF_Encl5_IPPF_31Dec2021_12491_107 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex10_ESMF_Encl5_IPPF_31Dec2021_12491_107.docx)	xiaoyang.tian@undp.org	3/22/2022 9:48:00 AM

8. Does the project use gender analysis in the project design?

- ○ 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)
- ◉ *2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)*
- ○ 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

Evidence:

There is a dedicated Gender Analysis and Action Plan. Situations, policies, and measures at the national level, on Flores Island, and at district level were analysed. Corresponding activities were developed to promote gender quality. The document explains that due to the COVID-19 restrictions, consultations were conducted but not comprehensive. All outputs included explicit references to gender equality. Indicators 6, 13, 14, and 15 were gender-related.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	6506_Annex11_Genderanalysisandactionplan_09Feb2022_12491_108 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex11_Genderanalysisandactionplan_09Feb2022_12491_108.docx)	xiaoyang.tian@undp.org	3/22/2022 9:05:00 AM

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

- ◉ *3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)*
- ○ 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)
- ○ 1: Sustainability and resilience dimensions and impacts were not adequately considered.

Evidence:

The project will connect species management, sustainable economic activities and livelihood development. In the Strategy section, Other Effective Area-based Conservation Measures (OECMs) will be applied to areas outside of the protected areas; landscape-seascape planning will be improved through socio-economic and financial interventions and better connection between currently fragmented habitats; innovative biodiversity financing based on BIOFIN study will be implemented alternative livelihood activities will be provided. Except for SESP, there was also a COVID-19 Action Framework and Climate and Disaster Risk Screening to further identify the shocks, hazards and adverse impacts

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Strategy_12491_109 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Strategy_12491_109.pdf)	xiaoyang.tian@undp.org	3/22/2022 9:05:00 AM
2	6506_Annex12_climateanddisasterscreening_08Feb2022_12491_109 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex12_climateanddisasterscreening_08Feb2022_12491_109.docx)	xiaoyang.tian@undp.org	3/22/2022 9:06:00 AM
3	6506_Annex13_COVID_analysis_actionframework_09Feb2022_12491_109 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex13_COVID_analysis_actionframework_09Feb2022_12491_109.docx)	xiaoyang.tian@undp.org	3/22/2022 9:06:00 AM

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

- (●) *Yes*
- ( ) No
- ( ) SESP not required because project consists solely of (Select all exemption criteria that apply)
  - [ ] 1: Preparation and dissemination of reports, documents and communication materials
  - [ ] 2: Organization of an event, workshop, training
  - [ ] 3: Strengthening capacities of partners to participate in international negotiations and conferences
  - [ ] 4: Partnership coordination (including UN coordination) and management of networks
  - [ ] 5: Global/regional projects with no country-level activities(e.g.activities such as knowledge management, inter-governmental processes)
  - [ ] 6: UNDP serves as Administrative Agent
  - [ ] 7: Development Effectiveness projects and Institutional Effectiveness projects

Evidence:

The SESP identified 14 risks for this project that co uld have potential negative impacts in the absence o f safeguards, ten rated moderate, three substantial a nd one rated high.

List of Uploaded Documents

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On

1	6506_Annex04_SESP_10Jan2022_CLEAN_12491_110 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex04_SESP_10Jan2022_CLEAN_12491_110.docx)	High	Human Rights; Gender Equality and Women's Empowerment; Biodiversity Conservation and Sustainable Natural Resource Management; Climate Change and Disaster Risks; Community Health, Safety and Security; Cultural Heritage; Displacement and Resettlement; Indigenous Peoples; Pollution Prevention and Resource Efficiency; Labour and Working Conditions	Draft	xiaoyang.tian@undp.org	3/22/2022 12:38:00 PM

Management & Monitoring **Quality Rating: Satisfactory**

11. Does the project have a strong results framework?

- 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)
- *2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)*
- 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

Evidence:

The indicators were clear and verifiable. Some indic ators and targets were gender-sensitive, but the bas eline was not specific. As explained by Gender Anal ysis and Action Plan, it was because some gender p olicies were not fully implemented at the village level therefore gender data were not sufficiently collected.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	ResultsFramework_12491_111 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ResultsFramework_12491_111.pdf)	xiaoyang.tian@undp.org	3/22/2022 9:35:00 AM

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

- 3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)
- *2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)*
- 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence:

The roles and responsibilities of the project board members were identified, the structure of project management unit staff and consultants was attached as annex. Project Board ToR has not been attached, but in Prodoc the detailed responsibilities were listed out, and it was mentioned that PB must agree on the ToR

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	GovernanceandManagement_12491_112 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/GovernanceandManagement_12491_112.pdf)	xiaoyang.tian@undp.org	3/22/2022 12:39:00 PM
2	6506_Annex06_Projectstaff_technicalconsultancies_31Jan2022_12491_112 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex06_Projectstaff_technicalconsultancies_31Jan2022_12491_112.docx)	xiaoyang.tian@undp.org	3/22/2022 12:39:00 PM

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

- ◉ *3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)*
- ○ 2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.
- ○ 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

Evidence:

The risk register was detailed and comprehensive, with evidence of consultative process. Mitigation measures were identified, those related to social and environmental, gender, adat community risks were detailed out in ESMF, Grievance Redress Mechanism, Climate and Disaster Screening Report, Indigenous Peoples Planning Framework

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	6506_Annex05_Riskregister_31Jan2022_12491_113 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex05_Riskregister_31Jan2022_12491_113.docx)	xiaoyang.tian@undp.org	3/22/2022 10:02:00 AM

Efficient **Quality Rating: Exemplary**

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example:
i) Using the theory of change analysis to explore different options of achieving the maximum results with the resources available.
ii) Using a portfolio management approach to improve cost effectiveness through synergies with other interventions.
iii) Through joint operations (e.g., monitoring or procurement) with other partners.
iv) Sharing resources or coordinating delivery with other projects.
v) Using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

- (●) *Yes*
- ( ) No

Evidence:

There was an incremental analysis of the GEF investment in the Strategy section. The project will align with Indonesia's Guaranteed Microfinance Programme (KUR), village-owned enterprise (BUMDes), and low-interest loans from local banks through building capacities of community-based organizations and local business enterprises to manage the available funds.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Strategy_12491_114 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Strategy_12491_114.pdf)	xiaoyang.tian@undp.org	3/22/2022 3:49:00 PM

15. Is the budget justified and supported with valid estimates?

- ◉ *3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.*
- ○ 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.
- ○ 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence:

The budget plan is at activity-level (see budget notes), segregated by ATLAS budget codes. Funding sources are listed, including GEF funding, co-financing from national and subnational government, Burung Indonesia, UNDP (grant and in-kind)

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	budgetandworkplan_12491_115 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/budgetandworkplan_12491_115.pdf)	xiaoyang.tian@undp.org	3/22/2022 3:50:00 PM

16. Is the Country Office / Regional Hub / Global Project fully recovering the costs involved with project implementation?

- ◉ *3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)*
- ○ 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.
- ○ 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

Evidence:

Except for GEF funding, co-financing letters have be en obtained, the amounts can be found in Prodoc.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	budgetandworkplan_12491_116 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/budgetandworkplan_12491_116.pdf)	xiaoyang.tian@undp.org	3/22/2022 3:50:00 PM

Effective **Quality Rating: Exemplary**

17. Have targeted groups been engaged in the design of the project?

- *3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)*
- 2: Some evidence that key targeted groups have been consulted in the design of the project.
- 1: No evidence of engagement with targeted groups during project design.
- Not Applicable

Evidence:

The list of Stakeholders Engagement Activities shows that Initial Coordination, Inception Workshop, Field Consultations, Ministerial Consultations, Validation Workshop have actively engaged all targeted groups with minor exception of a few that were due to COVID-19 restrictions (which shortened the available time in the field). A Stakeholder Engagement Plan was developed for enhanced engagement during implementation, relevant activities were budgeted under respective outputs. From SESP, it was clear that such engagement revealed important aspects and risks of the project.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	6506_Annex09_StakeholderconsultationsduringPPG_07Feb2022_12491_117 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex09_StakeholderconsultationsduringPPG_07Feb2022_12491_117.docx)	xiaoyang.tian@undp.org	3/22/2022 4:18:00 PM
2	6506_Annex08_Stakeholderengagementplan_09Feb2022_12491_117 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex08_Stakeholderengagementplan_09Feb2022_12491_117.docx)	xiaoyang.tian@undp.org	3/22/2022 4:18:00 PM

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

- *Yes*
- No

Evidence:

The financial section mentioned that a tolerance lev el of revisions could be approved by project board fo r each detailed plan under the overall multi-year wor k plan. The project board will advise on major and m inor amendments to the project, according to Gover nance and Management Arrangement section.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	financialplanningandmanagement_12491_11 8 (https://intranet.undp.org/apps/ProjectQA/Q AFormDocuments/financialplanningandmana gement_12491_118.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:52:00 PM
2	GovernanceandManagement_12491_118 (ht tps://intranet.undp.org/apps/ProjectQA/QAFo rmDocuments/GovernanceandManagement_ 12491_118.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:52:00 PM

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- (●) *Yes*
- ( ) No

Evidence:

The Gender Analysis and Action Plan shows that all outputs contain gender elements.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	6506_Annex11_Genderanalysisandactionpla n_09Feb2022_12491_119 (https://intranet.un dp.org/apps/ProjectQA/QAFormDocuments/6 506_Annex11_Genderanalysisandactionplan _09Feb2022_12491_119.docx)	xiaoyang.tian@undp.org	3/22/2022 4:53:00 PM

Sustainability & National Ownership **Quality Rating: Satisfactory**

20. Have national / regional / global partners led, or proactively engaged in, the design of the project?

- 3: National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.
- *2: The project has been developed by UNDP in close consultation with national / regional / global partners.*
- 1: The project has been developed by UNDP with limited or no engagement with national partners.

Evidence:

9 Ministries, 30 regional government offices at provi nce and district-level, 12 villages, 5 private sector en tities (including 3 banks), four CSOs, one UN agenc y, two universities and the Indonesian Zoo Associati on contributed to the design of the project

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	6506_Annex09_StakeholderconsultationsduringPPG_07Feb2022_12491_120 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex09_StakeholderconsultationsduringPPG_07Feb2022_12491_120.docx)	xiaoyang.tian@undp.org	3/22/2022 4:54:00 PM

21. Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?

- 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- *2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.*
- 1: Capacity assessments have not been carried out.
- Not Applicable

Evidence:

Management Effectiveness Tracking Tool (METT) assessments have been done to the protected land and ocean areas. A gap analysis was formed, the recommendations were incorporated in project activities. Another assessment has been done on the Community-Based Organizations and local businesses for the livelihood component of the project.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	6506_Annex16_METTbaseline_08Feb2022_12491_121 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex16_METTbaseline_08Feb2022_12491_121.xlsx)	xiaoyang.tian@undp.org	3/22/2022 4:54:00 PM
2	6506_Annex17_METTgapanalysis_10Feb2022_12491_121 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex17_METTgapanalysis_10Feb2022_12491_121.docx)	xiaoyang.tian@undp.org	3/22/2022 4:54:00 PM
3	6506_Annex21_CapacityassessmentoflocalCBOs_09Feb2022_12491_121 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/6506_Annex21_CapacityassessmentoflocalCBOs_09Feb2022_12491_121.docx)	xiaoyang.tian@undp.org	3/22/2022 4:55:00 PM

22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- (●) *Yes*
- ( ) No
- ( ) Not Applicable

Evidence:

The project builds on MoEF policies on biodiversity and regional government's policies on multi-sectoral planning and management (Strategy section). From the Results Framework, national monitoring data (based on existing system but which will be strengthened by the project) will be used for evaluation.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	landscapesandseascapes_12491_122 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/landscapesandseascapes_12491_122.pdf)	xiaoyang.tian@undp.org	3/22/2022 5:29:00 PM
2	ResultsFramework_12491_122 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ResultsFramework_12491_122.pdf)	xiaoyang.tian@undp.org	3/22/2022 5:29:00 PM

23. Is there a clear transition arrangement / phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

- (●) *Yes*
- ( ) No

Evidence:

Sustainability of landscape-seascape planning and management processes will be enhanced through th e formation of two multi-stakeholder landscape-seas cape platforms. Investing in organizations and com munity-based enterprises during project implementat ion, and sharing knowledge on organizational practic es, will lead to the professionalization of organizatio ns over the longer term. Funding models will be dev eloped to ensure that financial architecture and infra structure is in place by the end of the project. Social sustainability will be promoted through the strengthe ning of community-based institutions, organizations as well as individuals that will manage the OECMs f or the long-term. It is hoped that the first OECMs in t errestrial areas will become best practices for other areas.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	sustainabilityscalingup_12491_123 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/sustainabilityscalingup_12491_123.pdf)	xiaoyang.tian@undp.org	3/22/2022 4:55:00 PM

QA Summary/LPAC Comments

The project was designed with extensive consultation with the national government, provincial government, district g overnment, villages, private sector, CSOs, UN agency, universities, and other relevant stakeholders. By improving th e management of landscapes outside protected areas, through establishment of Other Effective Area-based Conser vation Measures (OECMs) in key biodiversity areas, the project aims to safeguard threatened and endangered wildlif e species in Flores, thereby contributing to CPD 2021-2025 Outcome 3: Institutions, communities and people activel y apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender-sensitive. It will also contribute to national CBD targets. The project social and enviro nmental risk is overall high, indicating that UNDP and the Implementing Partner will have to work closely to monitor and safeguard the implementation: SESP, ESMF/ESMP, Indigenous Peoples Plan, Stakeholder Engagement Plan, Gender Action Plan, Climate and Disaster Risk Screening, COVID-19 Action Framework all provided mitigation optio ns for the risks. If the intervention lead to positive outcomes, there is large scaling-up potential, as the percentage of protected areas in Indonesia is still low, and many key biodiversity areas fall out of protected areas therefore can be nefit from the lessons from this project

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UNDP Check list to be used for projects when submitted to the GEF for CEO endorsement/approval

Project Title: *Investing in the Komodo Dragon and other globally threatened species in Flores (PIMS6506)*

Background:

Reference is made to the OAI Audit report in relation to UNDP's management of GEF-supported projects (issued on 1 December 2020). Any actions undertaken in relation to the project shall require strict adherence to all recommendations and associated management actions plans set out in the OAI report. Pursuant to the decisions of the GEF Council during the 59th GEF Council meeting, UNDP is required by GEF Council, at the time of seeking CEO Endorsement/approval, to demonstrate that this project design meets all of the 2020 OAI audit recommendations as a prerequisite for further consideration and review by the GEF Secretariat. The project proposal will also be subject to 2nd review and approval by Council as a condition for CEO endorsement/approval. Consequently (and contrary to earlier practices), please note that funding is not assured unless and until these preconditions have been met and duly confirmed and submitted to the GEF Secretariat.

Checklist:

Project address all concerns raised in the OAI report, based on below assessment.			**UNDP Assessment**	
			YES	**NO**
			X	
UNDP to indicate Yes or No and provide additional information:	**Yes**	**No**	**Additional information** (*please include a page reference in the PRODOC and/or a link to supporting documents*)	
Internal Control Framework (ICF)				
1) Please indicate when the Internal Control Framework of your Country Office has been validated by the Regional Bureau. Indicate when this will be reviewed again.	X		**Date of ICF review by RBX**: 22 November 2021 **Future date of ICF review**: 22 May 2022	
Country Office (CO) Capacities				
2) Please clarify if the CO is equipped to provide proper implementation (oversight) and financial management of the project in line with UNDP rules and regulations and GEF policies?	X		CO Indonesia has adequate technical capacities and human resources to ensure delivery and provide oversight management according to planned results. In 2021, CO achieved 115% of the annual target. Programme delivery was US$40.5M compared to a target of US$38M. In 2022, CO will aim for programme delivery of $60M Since 1998, the CO managed a portfolio of more than 25 GEF-funded projects, GCF RBP REDD+ and GCF adaptation fund, with more than US$ 260 million. In 2020, for VF portfolio, CO's delivery was US$ 11,843,919 (31% of total CO Programme Delivery). In	

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			2021, there were 13 GEF projects with a combined delivery target of US$ 11.6 million. The current CO portfolio has the following identified risks by NCE/BPPS: • One PPG (GEF ID #10728) which is rated as high risk for PIF safeguard risk (pre-SESP) and CEO endorsement submission cancellation risk. • One project (GEF ID #9493) has performance issues flagged and low delivery against work plan in approved Project Document. • One project (GEF ID #4892) has overdue Terminal Evaluation and another project (GEF ID #10238) has overdue PPG operational closure. CO has consistently ensured quality oversight throughout the project cycle – from identification through to development, implementation and closure. Project ideas are assessed jointly by the GEF Operational Focal Point and CO Senior Management. Prior to Project Document finalization, a Local Project Appraisal Committee (LPAC) is convened. During project implementation, the UNDP CO Programme Manager exercises substantive oversight over the activities of the Project Management Units. Secondary quality assurance is conducted by the Quality Assurance and Reporting (QARE) Unit to provide support to Mid-Term Review and Terminal Evaluation as well as HACT micro assessments for Implementing Partner and Responsible Party (-ies). In addition, QARE ensures that HACT spot check(s) and audit(s) are undertaken, following HACT Framework and policies. Compliance and programme management is discussed during weekly CO Management Team Meetings chaired by the UNDP Indonesia Resident Representative, and during Programme Staff Meetings, chaired by the Deputy Resident Representative. Unit and cluster meetings are also held regularly. Issues related to implementation, compliance and partnerships are discussed and course corrections decided and undertaken, as required.
3) Please provide evidence of CO capacities including the list of	X		CO Staff/ personnel providing oversight but not covered by the GEF fee)

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subject matter experts to support oversight and provide execution support/procurement (when the latter has been approved by GEF)			• Norimasa Shimomura, Resident Representative (D1), overall oversight and accountability of all programme and operations undertaken in the CO. • Deputy Resident Representative (P5). Overall technical and operational oversight of all vertical fund design, implementation and monitoring. CO staff providing oversight funded from general management services fee accrued to UNDP from multiple donor resources, including GEF resources. CO Oversight Team: • John Benjamin, Operations Manager (NOC). provides strategic directions and quality assurance of operations. • Linda Hartono, Head of Finance and Resource Management (NOB) provides financial oversight and quality assurance of financial documentation and processes. • Riana Hutahayan, Programme Finance Associate, Environment Unit (G7). Her role in the oversight services is to review budget revision requests, verify expenditures, advance funds, issue combined delivery reports, ensure no over-expenditure of budget. In addition, she provides technical, managerial and financial backstopping, problem identification and troubleshooting as well as ensuring timely project closure. • Dikot Pramdoni Harahap, Head of the Quality Assurance and Results (QARE) (NOC): technical quality clearance, gender mainstreaming, programmatic guidance and oversight services, including support to Mid-term Review and Terminal Evaluation. • Iwan Kurniawan, Programme Management, Environment Unit (NOB). His expertise is in programme design, proposal development and policy advocacy in the areas of climate change, natural resources management, and community empowerment. There will be no UNDP staff who will provide execution support covered by PMC because the project is full NIM.
4) Has the CO put in place the necessary protocols to conduct annual field missions	X		The CO has standard processes for ensuring quality assurance and oversight support, which includes conducting field missions/monitoring visits.

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(monitoring visits) for project oversight support?			All projects submit Project Assurance Reports (PAR) on a bi-annual basis as per CO established QA process. For this project, PAR is assured by the Head of Environment Unit and reviewed by the CO oversight team with additional reviews undertaken by the QARE Unit. The PARs include various elements of planning, monitoring, tracking, results achievement, and risk management, as well as findings from the field missions to which the Back to Office Reports (the main output of the field missions) are appended. The M&E Plan described in Section VI of the Project Document also outlines monitoring requirements of UNDP such as annual supervisory missions aimed at validating project results and ensuring effective communication with the target beneficiaries. To this end, the assigned CO oversight team arranges field missions, at least once a year, to visit selected project sites. Due to the COVID-19 pandemic and restricted mobility, alternative mechanisms have been adopted for verification of project results. This includes utilization of Information and Communication Technologies (such as video-conferencing, social messaging apps and networks) for remote exchanges and engagement with field level stakeholders, including local government focal points (and other assigned members as deemed necessary), for regular verification and monitoring of project results. Such activities are properly documented. The CO will utilize its GEF Agency fee allocation to finance these visits. The CO Team members participating in the supervisory visits will adhere to the Travel Authorization procedures with different levels of certifying officers. Furthermore, a Back-to-Office Report (BTOR) needs to be prepared and submitted accordingly to CO Management for review and lessons-learned. Moreover, the RTA in BRH also aims to conduct oversight missions once a year (overall circumstances permitting) and whose findings through the BTOR will be made available and reported in the annual PIR. The BTORs will also be used as reference documents when reviewing project risks, in addition to providing

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			initial information on the need for adaptive management, grievances related to UNDP's Social and Environmental Screening Procedure (SESP), and feedback from target beneficiaries. Moreover, the QARE Unit will use the various M&E reports presented by the project as the basis to assess its compliance with the regular IATI reporting.
5) Please indicate when the latest internal OAI audit of the Country Office took place? Were there any qualifications and are there any outstanding recommendations? Is there an Action Plan in place? Please indicate if any other audits (BOA, DIM audits, special audits, etc.) have taken place in relation to the CO during the last 3 years.	X		Date last OAI audit: 5 Oct 2018 Qualification: Satisfactory[1] List outstanding audit recommendations: None Date last OAI DIM audit: 18 July 2019 on Support Facility for the Institutional Setup of the Peat Restoration Agency Qualification: Unmodified List outstanding audit recommendations: The audit did not result any recommendations.
6) Has ProDoc clearly outlined roles and responsibilities of UNDP Country Offices and implementing partners for the oversight of this project	X		Yes (refer to Chapter VII Governance and Management Arrangements and Chapter VIII Financial Planning and Management of the ProDoc).
7) Has ProDoc clearly outlined roles and responsibilities of the project boards?	X		Yes. (refer to Chapter VII of the ProDoc)

Oversight and execution			
8) Where execution support services have been agreed with GEF Secretariat, specify if the LOA with the Government to provide CO support has been duly completed, cleared by BPPS, and signed by the relevant parties and included as Annex to the UNDP-GEF project document before signature by the Implementing Partner, Government Coordinating Agency and UNDP. Please provide the link to the LOA. Also,		X	Not Applicable. Execution support services have not been requested by the Implementing Partner (IP). The project will be fully executed under UNDP National Implementation Modality based on the demonstrated capacities of the IP to successfully execute the project. There are no support services agreed with GEF Secretariat.

[1] https://bit.ly/3oHdx1R

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please indicate what provisions have been taken to ensure that a proper separation of functions between staff providing oversight of the Implementing Partner executing the project and execution on behalf of the Implementing Partner is in place at the CO level.			
9) Have governance structures, staffing and/or operational measures been put in place in this specific project to ensure proper oversight of this project and effective separation between oversight and execution?	X		The project will be implemented following UNDP's National Implementation Modality (NIM). As mentioned in the above responses (point 3 & 7), among the CO staff, there is a clear separation of functions established which clearly differentiates the roles of those conducting oversight from those undertaking execution services. The Implementing Partner (IP) for this project is the Ministry of Environment and Forestry (MoEF). The Implementing Partner assumes full responsibility for the effective use of UNDP resources and the delivery of outputs in the signed project document; report fairly and accurately on project progress against agreed work plans in accordance with the reporting schedule and formats included in the project document; and maintains documentation and evidence of the proper and prudent use of project resources in conformity to the project document and in accordance with applicable regulations and procedures; and documentation should be available on request to project monitors and designated auditors. In addition, a Project Board will be established with its composition, roles and responsibilities clearly described under the project organizational structure. As per UNDP guidelines concerning GEF programming, UNDP will employ a three-tier supervisory, oversight and quality assurance role. This structure funded by the GEF Agency fee comprises: 1. UNDP Country Office; 2. UNDP Regional Bureau to ensure compliance with UNDP's regulations and rules; and 3. UNDP BPPS Nature, Climate and Energy (NCE) team to ensure technical oversight and compliance with GEF policies and procedures – Headquarters

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			(Global Principal Technical Advisers) and regional based staff (Regional Technical Advisor). UNDP performs the project assurance function in the project organization structure. Project assurance is totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.
Implementing Partner Capacities			
10) Please indicate the risk rating outlined in the Partner Capacity Assessment Tool (PCAT) and HACT/ micro assessments. Indicate the year the HACT assessment was undertaken.	X		PCAT: conducted in 2021 for a different project (PIMS 6380)[2]. Risk rating: low. The PCAT will be updated at mid-term review of this project. HACT: CO conducted HACT micro assessment[3] of the Ministry of Environment and Forestry (MoEF) for another GEF financed project (PIMS 4549, GEF ID 4340) in 2017. The assessment was conducted in Oct 2017. CO also conducted two other HACT micro assessments for other GEF financed project within the MoEF in May 2018 for project PIMS 5224 and December 2021 for project PIMS 6393 (the final report will be available at end of February 2022 but final draft has been received and reviewed).The risk rating for both the micro assessments (MA 2018 and draft MA 2021) is Low. This HACT assessment report is considered relevant for the proposed project, given that all directorates under the MoEF apply similar policies and procedure in managing a grant. It was regulated through a Ministry Regulation, covering policies & procedures in planning, implementing, monitoring & reporting, audit of the grant project. Additionally, it provides guidance to undertake procurement through both competitive and non-competitive process and human resources with distinct roles and responsibilities to avoid conflict of interest. Disbursement and utilization of the project grant will be reported internally within the Implementing Partner (IP) system and recorded within the Ministry of Finance

2https://undp-my.sharepoint.com/:x:/g/personal/riswan_andika_undp_org/EV6lZ9p66hJMgQmy6jfDqecBFV-NMMp5_Ww2SsVf1QKBOg?e=zCin7t

[3] https://bit.ly/3nCnnBs

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			system on a quarterly basis. Realization of grant will be prepared and reported by a project manager, cleared by National Project Director and then submitted to different authority levels within the MoEF for clearance and approval prior to reporting to the Ministry of Finance. The HACT assurance activities will be updated periodically. The current HACT micro assessment is valid for 5 years, until 2022. Further assessment will be conducted in Q3, 2022.
11) Please indicate the date of the most recent HACT/NIM audits have been conducted of the selected Implementing Partner. What measures have been put in place to respond to the audit findings? When available, provide a link to the management response.	X		The last HACT/NIM spot check for the Implementing Partner was conducted in October 2021[4]. There are 2 findings indicated in the report. Both findings were considered low risk. The finding #1 required the IP to maintain monitoring control procedures to ensure that duplicate payments are avoided such as using "UNDP (PROJECT CODE) or PAID" stamp on all supporting documents attached with vouchers related to UNDP project. The Implementing Partner (IP) has stamped all Financial Report documents for the period Q1-Q2 - 2021. The finding #2 required the IP to tag or number fixed assets. The IP has tagged all equipment and updated the 2021 Assets list. All audit recommendations have been followed up. Measures have been put in place and periodic spot check put in place. A management response has been developed.[5]
12) Are there any outstanding HACT/NIM audit recommendations that haven´t been addressed? What is the Net Financial Misstatement?		X	No, all recommendations have been addressed.
13) Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP´s capacities	X		UNDP CO manages, monitors and schedules spot checks on an annual basis. In performing HACT assurance activities, such as Spot Check and Audit, the CO is utilizing Global LTA supplier. QARE and FRM Units will provide clearance of TOR for hiring independent third parties and will undertake review of the spot check reports. CO has assured the project has allocated required budget for these Spot Checks and Audits.

[4] https://bit.ly/3GGtCvy
[5] https://bit.ly/3Adz5aF

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			In addition, there will be a HACT audit conducted by a selected professional public accounting firm at least once every other year for low risk partner if the annual expense exceeds or equal to $ 200K per year during the project cycle. .
14) Has the capacity assessment for implementing partners, including a strengthening of the focus within the capacity assessment tools of procurement capabilities, been done and documented in the ProDoc?	X		Yes, it has been included and documented in Annex 28 Partner Capacity Assessment Tool and HACT Assessment.
Procurement			
15) Has the procurement plan been elaborated and validated in coordination with the operation team/procurement unit? Please include the minutes of the validation meeting.	X		As this project will be implemented under NIM, procurement will mainly be carried out by the Implementing Partner. There will be certain activities that will be implemented directly by UNDP CO related to oversight and quality assurance of the project. This included auditing services, and consultants for the Mid-Term Review and Terminal Evaluation. A procurement plan for the first year of the project has been developed in coordination with the IP as part of project preparation (Annex 7 of the ProDoc). Subsequent revisions of the Procurement Plan will be undertaken during the AWP planning process. The Procurement Plan will serve as a guide for managing procurement throughout the project, and any updates or changes regarding the procurement plan will be reviewed by UNDP CO and approved by the Project Board.
16) Does the UNDP office have an established protocol to identify and manage conflict of interest in general, and more specifically those arising in procurement decision-making processes at project level?	X		Procurement activity that will be undertaken by the Implementing Partner will follow the Presidential Regulation No 12/2021 on Procurement of Government's Goods and Services. Further, Implementing Partner's procurement policy and procedure have been assessed through HACT Micro Assessment mechanism conducted by reputable accounting firm in 2021. No significant deviation in government procurement principle and UNDP procurement principle in PoPP. In addition, the principle of the regulation (accountability, competitive supply, consistency, value for money, effectiveness, fairness, integrity) will be adopted in project's SOP at

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			the operational level to meet standard of the UNDP policies.
Risk Management			
17) Has the CO conducted a proper risk analysis based on the project document? Does the risk register fully align with the risks outlined in the project document	X		The project risks and risk mitigation measures are reported in the Project Document in Annex 5 [6] and registered in the project's Risk Register and in Annex 5 of the project document (SESP). The register will be updated by the project manager as deemed necessary guided by the ATLAS system and QARE Unit. In the case of any changes in these risks or of additional risks identified, these will be presented to the Project Board (or National Steering Committee), recorded in the project risk register, and followed up, as necessary.
18) List the frequency the risks will be monitored, and by whom. Explain how risks are monitored by the CO.	X		The registered risks will be regularly updated by the project team and reviewed by the UNDP CO, in its oversight role also reviewed by UNDP's 2nd tier oversight at the regional level (by NCE). The project team will implement the project and monitor the risk under the responsibility of the Project Manager. At the same time, the UNDP CO will monitor and work with the Implementing Partner to ensure that risks are addressed semi-annually, in consultation with the implementing partner and relevant stakeholders. Risk Mitigation measures will be put into place to manage these risks via regular meetings and calls and reported on through the annual Project Implementation Review (PIR). In addition, the management response to the mid-term review and the final evaluation will also capture how the IP has successfully or not managed risks associated with the project. The risk log (or risk register) will also be reflected in project progress reports and it will be updated on a regular basis as deemed necessary guided by the ATLAS system and QARE Unit. When risks are identified as being high, they will be flagged with the UNDP CO management and with the Regional Office of UNDP (Bangkok Regional Hub) and, where required, with UNDP HQ.
19) Has risk assessment and management been done with identified mitigating measures documented in the ProDoc?	X		Chapter XI on Risk Management [7] of the Project Document defines the principal risks in achieving the Project's objectives. These will be assessed and revised on an annual basis alongside the PIR process with a view to identifying any amendments or additions to the

[6] https://bit.ly/3IdO4nR
[7] https://bit.ly/33LmTBK

			Project's activities that may be required to further reduce such risks. Such amendments or additions would be reviewed by the Project Board for approval.
Co-finance			
20) Please indicate how the CO will monitor and report back on the realization of co-financing included in the UNDP GEF Project Document	X		Letters of co-financing commitment from the Ministry of Environment and Forestry, Burung Indonesia, Labuan Bajo Tourism Authority and UNDP have been included with the CEO endorsement submission package. The PMU will provide tracking data on co-financing, which will be quality assured by the UNDP country office, as part of its oversight function. , and reported during Project Board meetings as part of the annual reporting. All partners will participate in annual planning meetings where co-financers, including from the government and non-government, will confirm their co-financing amounts, The PMU will be responsible for providing detailed figures and monitoring realization of co-financing commitment, which will be documented in annual reports. The PIRs, MTR and TE, will be used by UNDP CO, PMU and IP to verify and report back on co-financing mobilized during implementation. . The data will be updated annually in the PIRs.
Time tracking			
21) Please specify if you currently have a system in place to trace time dedicated to providing oversight of this project and separately execution support.	X		UNDP BPPS/NCE has developed a timesheet feature in the PIMS+ and has been rolled out to COs for accurately accounting staff's time spent on providing oversight and execution support. This system has been operational from 31st March 2021.

DocuSigned by:
Norimasa Shimomura
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13-Feb-2022

Signature/Clearance: Mr. Norimasa Shimomura, UNDP Resident Representative

DocuSigned by:
13-Feb-2022

Signature/Clearance: Mr. Christophe Bahuet, Deputy Regional Director for Asia and the Pacific and Director, Bangkok Regional Hub

DocuSigned by:
14-Feb-2022

Signature/Clearance: Mr. Pradeep Kurukulasuriya, UNDP GEF Executive Coordinator

Annex 30: On-Granting Provisions Applicable to the Implementing Partner

On-Granting Provisions Applicable to the Implementing Partner
(to attach to the Project Document when UNDP is NOT the Implementing Partner)

Whereas the Implementing Partner ("IP") has been selected by UNDP and the Government to undertake grant-making activities under the Agreement in accordance with the Project Document (Annex A), the IP agrees to be bound by the following additional provisions:

1. Grant Award Process

1.1 The IP shall be fully accountable for the completion of all grant making activities in accordance with its financial regulations, rules and policies, to the extent that they are consistent with UNDP's grant policies and Financial Regulations and Rules. If they are not consistent, UNDP's grant policies and Financial Regulations and Rules must be followed.

1.2 The IP shall conduct an assessment of grant recipient proposal(s) against set selection criteria established in the Project Document or in the call for proposals, and shall submit eligible grant proposal(s) to the Project Board or designated grant selection committee for consideration and final selection.

1.3 The IP shall ensure that:

a. the grant award process is organized in a fully transparent manner that guarantees impartiality and equal treatment to all applicants;
b. all stages of the grant award process are formally documented through standardized checklists and forms;
c. grants are awarded in accordance with formal rules of procedure, including adequate due diligence policies and processes;
d. the evaluation process is based solely on the established criteria for eligibility, selection and exclusion as indicated in the call for proposals;
e. the grant recipient is duly organized and an in good standing in its state/country of organization, as well as the eligibility of activities to be carried out with the grant award;
f. all applicants are notified in writing of the grant award outcome;
g. the grant award decision is made public within a reasonable timeframe following its issuance;
h. grant funds are channeled transparently and effectively to grant recipients;
i. no grant is awarded retroactively for activities already started or completed at the time of the application; and
j. procedures are in place (and set forth in any agreements the IP enters into with grant recipients pursuant to this Agreement) to:
    i. recover grant funds unduly paid, and/or to prevent and address irregularities and fraud by the grant recipient; and
    ii. suspend, reduce or terminate the grant if the grant recipient fails to comply with its obligations.

1.4 Funding provided by the IP to any individual grant recipient shall not exceed $150,000 per individual grant and $300,000 on a cumulative basis within the same programme period.

2. Managing and Monitoring Performance of Grant Recipient(s)

2.1 The IP shall supervise and monitor the grant recipient's activities and its achievement of specified results pursuant to the grant proposal selected by the Project Board or designated grant selection committee, including the schedules set forth therein.

2.2 The IP shall measure the grant recipient's performance based on results achieved against agreed performance targets in the grant agreement. Performance shall be monitored and assessed through the progress narrative and financial reports specified in Section 3 below.

2.3 The IP shall ensure that each deliverable for which a grant recipient is responsible for achieving has an effective performance target against which the grant recipient must report periodically and which the IP will monitor through regular reporting, at least on an annual basis.

2.4 UNDP may, during the term of the Agreement, undertake various independent assurance measures (such as spot checks or audits) regarding the IP's activities that are the subject of this Agreement, including monitoring and oversight, as well as independent assurance measures of the Responsible Party (where applicable) and grant recipients' programmatic and financial activities.

3. Reporting and Audit

3.1 The IP shall have in place its own systems to assess and monitor the grant recipient's activities and use of grant funds, including reporting and audit requirements.

3.2 The IP shall ensure the timeliness and accuracy of the grant recipient's reporting in relation to the grant and shall be responsible for the management of the grant recipient's audits. The IP shall determine the frequency of audits of grant recipient(s), evaluate audit quality, and monitor audit findings and any corrective measures to ensure resolution. Notwithstanding the above, UNDP shall have the right to audit or review the IP's and the grant recipient's related books and records as it may require.

3.3 The IP shall consolidate the reporting from grant recipient(s) and submit **annual financial and narrative progress reports** to UNDP no later than 30 days after the end of the year. In the event that the IP engages a Responsible Party to undertake its grant-making obligations and responsibilities (as further described in Section 5 below), the IP shall cause the RP to consolidate the **annual financial and narrative progress reports** from grant recipient(s) and submit the aforementioned to the IP no later than 30 days after the end of the year. The IP will in turn review and submit the consolidated reports to UNDP no later than 45 days after the end of each year.

3.4 The IP shall provide progress reports ("Performance Reports") including financial and narrative information, to UNDP at least 30 days before the expected release of the next tranche or at least annually within 30 days after the end of each year until the activities have been completed. In the event disbursement of funds from UNDP to the IP is to be made quarterly, Performance Reports should be submitted to UNDP on a quarterly basis. The Performance Reports should include a dated certification by the IP's representative with institutional responsibility for financial reporting.

3.5 The IP shall ensure that the grant recipient(s) are audited in accordance with the terms of the relevant agreements. Upon request, the IP shall furnish or cause to be furnished to UNDP a copy of audit reports of the grant recipient(s).

4. Responsibility of the IP

4.1 The IP shall be solely liable for claims by third parties arising from the grant recipient's acts and/or omissions in the course of performing activities under the agreement entered into with the IP pursuant to this Agreement. UNDP shall assume no responsibility for the actions of grant recipients and shall in no way be held liable for third party claims arising therefrom.

5. Engagement of a Responsible Party to Undertake the IP's Grant-Making Responsibilities and Obligations

In the event that the IP engages a Responsible Party ("RP") to undertake its grant-making responsibilities, the IP agrees to the following additional provisions:

5.1 In selecting an RP to undertake the grant-making activities, the IP shall use the same capacity assessment process and due diligence standards applied by UNDP to assess the IP's financial and grant management skills prior to signing this Agreement.[1] The IP shall select the RP in consultation with the Project Board, as such term is defined in the Project Document, and which includes UNDP and the IP.

[1] The UNDP Partner's Capacity Assessment tool is available here - Partner Capacity Assessment.

5.2 The IP shall sign an agreement with the RP, the terms of which shall be subject to, and construed in a manner that is fully in accordance with, all of the provisions of this Agreement. The IP shall remain responsible for the acts and omissions of the RP in relation to the on-granting activities as if they were the acts and omissions of the IP.

5.3 The IP shall ensure that all provisions, commitments and performance standards that apply to the IP in Paragraphs 1 – 3 above shall apply to the RP unless otherwise agreed by UNDP.

5.4 The IP shall ensure that each responsibility contracted to the RP has an effective performance indicator against which the RP must report periodically and which the IP will monitor through regular reporting and spot-checking, at least on an annual basis.

5.5 Funding provided by the RP to any individual grant recipient shall not exceed $60,000 per individual grant and $120,000 on a cumulative basis within the same programme period.

5.6 The disbursement of grant-making funds from UNDP to the IP shall be made quarterly and in arrears upon submission to and acceptance by UNDP of the quarterly narrative and financial reports provided in Paragraph 3.4 above.

5.7 Payments from the IP to the RP must be made as Performance-Based Payments and contingent solely upon or subject to the achievement of specific results. The RP shall self-finance all or a significant portion of the grant funds necessary to achieve the required measurable results until the pre-agreed performance measures are achieved by the RP and the grant recipients, as measured and approved by UNDP.

5.8 The IP shall ensure that the RP is audited in accordance with the terms of the relevant agreements. Upon request, the IP shall furnish or cause to be furnished to UNDP a copy of audit reports of the RP.

5.9 Any attempted or purported assignment, delegation or other transfer of obligations of the IP set forth in the above on-granting Provisions shall be void and have no effect, except with the prior written consent of UNDP.