

**Mid Term Review “Transforming effectiveness of  
biodiversity conservation in priority Sumatran  
landscapes”**

**Final Evaluation Report**

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## **ACRONYMS**

GEF	Global Environment Facility
Ha	Hectare
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MoEF	Ministry of Environment and Forestry
NGO	Non-Governmental Organization (used interchangeably with CSO)
NP	National Park
NTRP	National Tiger Recovery Plan
PA	Protected Area
RAMSAR	Ramsar Convention on Wetlands of International Importance
RBM	Resort Based Management
UNDP	United Nations Development Programme
USD	United States Dollar
UPT	Unit Pelaksanaan Teknis

**MIDTERM REVIEW OPENING PAGE**

Project Name     Transforming Effectiveness of Biodiversity Conservation in Priority  
Sumatran landscapes

GEF Project ID (PIMS#):	4892
UNDP PIMS ID:	5363
Region:	Asia
Country:	Indonesia
Focal Area:	Biodiversity
Operational Program	GEF-5 Strategic Program
Approval Date:	Feb 04, 2015
Project Start Date:	Feb 24, 2016
Project Closing Date:	Feb 22, 2022
Implementing Parties:	Ministry of Environment and Forestry (MoEF)
Implementation Modality:	National Implementation
Implementing Agencies	United Nations Development Programme
Other Partners Involved:	Department for Forest Protection and Nature Conservation (PHKA), Sumatran Tiger Conservation Forum (known as HarimauKita), Wildlife Conservation Society (WCS), Fauna & Flora International (FFI) and Zoological Society of London (ZSL)
Project Cost:	\$62,450,000
GEF Project Grant:	\$9,000,000
UNDP:	\$150,000
CO-Financing Committed:	\$53,300,000
(Government of Indonesia	\$44,100,000
Other Partners (NGOs, LGUs, Communities)	\$9,200,000
Evaluation Timeframe:	May-July 2019
Evaluator:	José Galindo
TE Reporting Language:	English

## i. EXECUTIVE SUMMARY

Project Summary Table				
<b>Project Title</b>	Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran landscapes		At Endorsement (USD million)	As of 31 March 2019 (USD Million)
<b>GEF Project ID:</b>	4892	<b>GEF Funding:</b>	\$1,751,484.00	\$9,000,000.00
<b>UNDP Project ID:</b>	5363	<b>UNDP:</b>	\$150,000.00	\$ 2,639,041.00
<b>Country:</b>	Indonesia	<b>Government:</b>	\$44,100,000.00	\$56,342,675.00
<b>Region:</b>	Asia	<b>Others:</b>	\$9,200,000.00	\$4,057,280.00
<b>Focal Area:</b>	Biodiversity	<b>Total Co-Financing:</b>	\$53,300,000.00	\$60,399,955.00
<b>Operational Programme:</b>	GEF 5 Strategic Programme	<b>Total Project Cost:</b>	\$62,450,000.00	\$63,039,036.00
<b>Implementing Agency:</b>	UNDP Indonesia	<b>Project Approval Date:</b>	February, 2015	
<b>Implementing Partner:</b>	Ministry of Environment and Forestry (MoEF)	<b>ProDoc Signature Date/ Actual Project Start Date:</b>	February, 2015	
<b>Other Partners Involved:</b>	Department for Forest Protection and Nature Conservation (PHKA), Sumatran Tiger Conservation Forum, Wildlife Conservation Society (WCS), Fauna & Flora International (FFI) and Zoological Society of London (ZSL)	<b>Operational Closing Date:</b>	Original February, 2022	Revised None

### Project Description

Sumatra is the sixth largest island in the world, characterized by the Bukit Barisan mountain range and globally significant tropical montane, sub montane, lowland, fresh water and peat swamp forests as well as mangroves and rivers. The Sumatran tiger *Panthera tigris sumatrae* is Indonesia's last remaining tiger subspecies with an estimated population of 400-500 adults. The Project will cover five globally significant sites and surrounding landscapes, two Ramsar sites (Berbak and Sembilang National Parks) and the UNESCO WHC Tropical Rainforest Heritage of Sumatra sites (the National Parks of Gunung Leuser, Kerinci Seblat and Bukit Barisan Selatan).

Across Sumatra, the principal threat to biodiversity is habitat loss and forest degradation, with clearance driven by commercial oil palm and timber plantations, followed by subsistence agriculture, while the main driver of forest degradation has been commercial logging. In addition, the wildlife trade is a significant pressure on species, with an estimated fifty Sumatran tigers poached annually between 1998 and 2002. The main barriers to achieving this vision are weak natural resource governance and limited protected area

management capacity, poor inter-agency coordination for wildlife and forest conservation outside of the PAs, and inadequate financial planning and management for protected areas.

The Project aims at consolidating a network of effectively managed and adequately funded protected areas (PAs) that are supported by complementary actions in the adjacent forests and with multiple stakeholders to achieve sustainably managed landscapes. The objective of the project is to enhance biodiversity conservation in priority landscapes in Sumatra through adoption of good management practices in protected areas and adjacent production landscapes, using tiger recovery as a key indicator of success. The Ministry of Environment and Forestry will lead project implementation in partnership with UNDP and NGOs.

### **Project Progress Summary**

The Project has exceeded its target by 27% in relation to the most important Project indicator which is the “Increase in Sumatran tiger density”, this justifies the project intervention so far. The first two Outcomes are in general terms on track and pose low risk to advance towards accomplishment by the end of the Project. Performance is not uniform in all sites; progress is more evident in Bukit Barisan Selatan and Kerinci Seblat. The case of Berbak Sembilang entails more risk not to accomplish all expected results for Outcomes 1 and 2, considering the NP is relatively less consolidated and still has limited absorption capacity.

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. The most immediate effect of the Project is the increase in law enforcement patrol effort (Indicator 1,3), which in turn triggered a reduction of tiger-related threats in three landscapes (Indicator 1,2).

Outcome 2: Intersectoral coordination systems developed for priority landscapes, reports three outputs on track and only one with a reasonable risk of partial accomplishment as innovative conservation practices (Indicator 2.2) are only been implemented in one landscape so far. The increase in the number of crimes against wildlife (Indicator 2.1) may be associated with higher levels of patrolling, informant networks and support to local law enforcement agencies to reveal IWT cases. Standardized tiger, prey and forest habitat monitoring system (2.3) has been developed legalized and internalized within the MoEF.

Limited progress is found in Outcome 3: Sustainable financing for biodiversity management, presenting a reasonable risk of not accomplishment. Indicator 3.1 has not achieved any of the five financial plans as expected, however progress exists in terms of improved budget allocation specially in Bukit Barisan Selatan National Park. No sustainable financing plans for production areas involving PPPs (Indicator 3.2) were developed so far, this indicator should be reviewed as it may not be relevant or feasible anymore. The Financial Sustainability Scorecard (Indicator 3.1) was filled in a participative manner but there is currently no plan, strategy or guideline on how the Project will catalyze change oriented to improve scorecard's performance in the remaining implementation period.

### MTR Ratings & Achievement Summary Table

Parameter	Rating	Achievement description
<b>Progress towards results</b>	Objective Achievement: <b>Satisfactory</b>	Project is on track to achieve most of its intended results. In terms of impact, the increased Sumatran tiger density justifies the project intervention. Major barriers to achieving EoP targets are related to Outcome 3, where urgent attention and priority is needed.
	Outcome 1: <b>Satisfactory</b>	Outcome 1 is on track to achieve most of its intended results, presenting relative low risk. Financial sustainability, staff rotation and limited absorption capacity were identified as key barriers for optimizing the capacity building investments. However, not all landscapes are advancing at the same rhythm, Berbak Sembilang is lagging behind and concern was expressed about possible time constraints to assimilate and accomplish all expected objectives.
	Outcome 2: <b>Satisfactory</b>	Most outputs are on track and present low risk, Greater commitment towards innovative practices and enhanced implementation capacities may be urgently needed to scale up and implement similar models in other landscapes.
	Outcome 3: <b>Moderately Unsatisfactory</b>	This outcome has a considerable delay due to a late start up process, all its three indicators pose a reasonable risk of non-accomplishment. Outstanding barriers for this outcome are related with technical capacities and greater integration with the overall intervention, specially at the landscape level.
<b>Execution and adaptive management</b>	<b>Moderately Satisfactory</b>	The PMU is perceived as supportive and experienced. Implementation partners proved to be an adequate strategy in terms of maximizing synergies, however stronger commitment from FFI ZSL is needed to meet commitments. The Project demonstrated adaptive capacity and flexibility to attend emerging priorities and trends. The role of the PMU, should be clearer and determinant in the case of Outcome 3 to avoid isolated implementation.
<b>Sustainability</b>	<b>Moderately Likely</b>	There are positive indications in terms of increased state budgets and implementing partners longstanding commitment in each landscape. However, major barrier towards



		sustainability of Project's intervention is its financial sustainability.
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<b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution</b>	<b>Sustainability ratings:</b>
<b>6: Highly Satisfactory (HS):</b> no shortcomings <b>5: Satisfactory (S):</b> minor shortcomings <b>4: Moderately Satisfactory (MS)</b> <b>3: Moderately Unsatisfactory (MU):</b> significant shortcomings <b>2: Unsatisfactory (U):</b> major problems <b>1: Highly Unsatisfactory (HU):</b> severe problems	<b>4: Likely (L):</b> negligible risks to sustainability <b>3: Moderately Likely (ML):</b> moderate risks <b>2: Moderately Unlikely (MU):</b> significant risks <b>1: Unlikely (U):</b> severe risks

## Conclusions

The Project is highly relevant for Indonesia, it is aligned with national policies and supports the implementation of the National Tiger Recovery Plan. It is widely recognized as flagship project for endangered species in Indonesia and the region. Implementation arrangements are adequate, the PMU is perceived as supportive and experienced, while the implementation partners proved to be an adequate strategy in terms of maximizing synergies, ensuring a differentiated approach and involving other local actors in the process. However, financial execution has reached only 29% of GEF budget, performing lower than expected at the midpoint, annual budgets execution varied from 68% to 81%.

Project demonstrated flexibility to attend emerging priorities and trends on a case by case approach, such as the case of including elephants in human – wildlife conflict management in BBS. Despite the barrier posed by the absence of an MoU with the Project implementing partners, they were able to adapt and find ways to deliver. In terms of stakeholder's engagement, the Project is highly appreciated and recognized by beneficiaries at all levels. It was able to mobilize a wide range of actors in national and local governments, as well as communities and NGOs, however no participation from the private sector has been reported.

The Project promotes technology transfer & knowledge management to increase human and institutional capacities at national, community and local levels. It contributes towards increased community, wellbeing by reducing stress and economic losses due to human wildlife conflict and facilitated livelihood opportunities to decrease pressure to natural

resources and expanded innovative schemes such as the forest village and REDD + schemes.

### Recommendations Summary Table

No	Recommendations	Responsible
1	Consider proactive alternatives to complement implementing partner's delivery at the landscape level, assess pending disbursements and investments because of an issue with the extension of MoU between INGOs and MoEF. If no progress could be ensured with the current implementation arrangement, Project should consider using UNDP or national NGOs to assume delivery of pending outcomes.	PMU, UNDP, MoEF
2	At the site level there is a need to encourage flow of information between implementing partners, NP and other authorities. PIU should have an enhanced coordination role in all landscapes, to ensure an integrated approach. NPs should be encouraged to have a greater participation and appropriation of different project activities, especially those outside of NP's boundaries such as human-wildlife conflict.	PMU, UNDP, MoEF
3	It should not be assumed that all stakeholders are sharing the same level of understanding and awareness about the Project, especially because of rotation of staff and authorities. Most are not able to differentiate the Project with the usual interventions of implementing partners at landscape level. Therefore, the National Project Manager should proactively seek direct contact and meet with NP authorities on a regular basis to continuously evaluate progress, demonstrate adaptive management capacity and mobilize key partners and stakeholders towards developing specific landscape exit strategies.	PMU, MoEF
4	New capacities, tools and operational guidelines delivered by the Project need an enabling environment and appropriate conditions to be absorbed by NPs. The PMU should be encouraged to play a political role to support implementing partners and PIU at the landscape level, providing a ground for increasing visibility and appropriation of newly acquired management practices and technologies, as well as engaging NP authorities to incorporate them within their ordinary planning and budgeting.	PMU, MoEF
5	There is a need to clarify the role of PMU with regards to Outcome 3. For this second period of implementation, Outcome 3 should be closely monitored by PMU to avoid implementing in isolation and to better reflect barriers and opportunities at the landscape level.	PMU, MoEF, BAPPENAS, UNDP.
6	Outcome 3 needs a differentiated implementation plan and strategy to attend STP separately from EPASS. Project implementation should have its own personality and build a customized response based on the specific characteristics and challenges of the Project's landscapes, in order to move faster and concentrate on delivering expected outputs.	BAPPENAS, PMU

8	The Project must focus on building an exit strategy prioritizing capacity building efforts, especially in areas where there is still dependency from implementing partners. Knowledge and technology transfer must be accelerated, NPs should have the capacity to process and analyze data, as well as to use it for improving decision making.	PMU, UNDP, MoEF
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## 1 INTRODUCTION

This first chapter presents the purpose of this evaluation report, its main objectives and the methodological approach that was followed to build this assignment.

### 1.1 Evaluation Purpose

The evaluation report is aimed at critically assessing the stages of the project “Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes or Sumatran Tiger project” and its products through participatory approaches, measuring to what extent the objective/outputs/activities have been achieved against the results and resources framework, and identifying factors that have hindered or facilitated the success of the project. The lessons learned section is aimed at capturing key lessons to assess what capacity building approaches/measures were effective. This part is therefore forward-looking and is aimed at promoting learning lessons so that the legacies of the project will be replicated and sustained beyond the project lifetime.

### 1.2 Evaluation Objectives

The objective is assessing the achievements of the planned outputs and outcomes. More specifically, the objectives of this evaluation are:

- Assess the Project’s implementation strategy.
- Assess the relevance, efficiency, effectiveness, sustainability, and impact of the interventions.
- Assess the Project’s processes, including budgetary efficiency.
- Assess the extent to which planned activities and outputs have been achieved.
- Identify the main achievements and impacts of the Project activities.
- Identify the underlying causes and issues of non-achievement of some targets.
- Document lessons learnt.

- Make recommendations for the project.

### **1.3 Scope and Methodology**

The Mid-Term Review was led by José Galindo; it was developed during the period between April and June 2019. The methodology used for this document is aimed at achieving the objectives defined for the ToR's (Annex 1). During the process, there was an active relationship and interaction between the consultant team, the UNDP Indonesia, the Sumatran Tiger Project Team, Ministry of Environment and Forestry - MoEF and other interested parties, in order to streamline the evaluation process and enable timely feedback of the findings.

In general, the evaluation was guided by the guidelines defined in the UNDP Guide for Assessments and its stated objectives. The methods and methodological instruments that were developed and used in the evaluation process were:

- Evaluation matrix
- Documentary analysis
- In-depth interviews with key informants and meetings-workshop
- Direct observation / visits to the implementation sites

At all times, the consultancy used a participatory and inclusive approach, based on data derived from programmatic, financial and monitoring documents, and a reasonable level of direct participation of interested parties through interviews, meetings - workshop and review of the documents generated in this evaluation.

Initially, on April 24, a first meeting was held, with the objective of presenting the consultant team and initiating an introduction to the Project. In addition, delivery times and coordination mechanisms between the consultants and the designated counterparts, communication channels, direct supervision of the consultancy and coordination of information delivery, product delivery and organization of the mission were defined. In this meeting the consultant team requested the necessary information to start the consultancy.

#### **1.3.1 Setting of documents and inception report**

The documentation provided were reviewed, which includes a series of documents provided by UNDP and the Project team, among which are listed:

- Project Document (PRODOC)
- Project Identification Document (PID)
- Project Implementation Review (PIR)
- Annual Progress Reports
- Quarterly Report on Progress and Project Achievements
- Combined Delivery Reports (CDR)
- Summary of the METT Sheet
- Audit Report
- Minutes of the Meeting of the Project Board
- Strategic Plan of UNDP, other strategic and legal national documents, and related to the project; and other documents that are detailed in Annex 2.

On the basis of the review, a detailed description of the Project was made, covering the identified problem, the established objectives, Outcomes and their respective activities. Subsequently, an evaluation framework was established that combines the orientation questions for the five key evaluation criteria and the performance evaluation categories of the Project (Project formulation and design, Project execution, results, monitoring and evaluation).

### **1.3.2 Mission to Indonesia - Information gathering, interviews and field visits**

The evaluation mission allowed the consultant team to have a better view of the context of the Project. In addition, through the field visit, the consultant was able to validate the activities carried out so far, in addition, the consultant made direct contact with the most representative actors in the implementation of the Project and received first-hand testimonies about the advances and barriers encountered so far.

During the mission, four methods of gathering information were applied. On the one hand, semi-structured interviews were carried out based on the guided questions presented in **Annex 4**; Secondly, visits to the project's execution sites (Nationals Parks: Bukit Barisan Selatan and Kerinci Seblat) were made, which involved long travel periods in which in-depth interviews were held (**Annex 2**).

More than 30 interviews were conducted with authorities, organizations linked to the management of protected areas, implementing partners, project team personnel, other related projects and relevant actors participating in the project intervention framework. Each interview had an estimated duration of an hour and a half, and were carried out individually, thus ensuring the confidentiality of the responses provided by the interviewees.

### 1.3.3 End of Mission - Presentation of Preliminary Findings

The information gathered and analyzed was presented to the Project Team, representatives of UNDP Indonesia and Representative of MoEF. At the end, their feedback was obtained, which facilitated the formulation and justification of conclusions and lessons learned, which in turn will feed into the recommendations for the remaining project period and beyond.

### 1.3.4 Draft Evaluation Report

The information gathered from the different sources of information was organized and codified by topic. To ensure the credibility and validity of the findings, judgments and conclusions that will be presented, the consultants used triangulation techniques, which consist of crossing the information obtained.

Each Outcome and phase of the Project was evaluated according to the categories established in the Terms of Reference: Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory and Highly Unsatisfactory.

Based on the results obtained, the consultant team formulated several recommendations of a technical and practical nature, which reflect a realistic understanding of the Project's achievements and lessons learned. The Mid-Term Review of the Project was applied to the development and implementation of the Project for the four categories of progress:

- **Project Strategy:** Formulation of the Project including the logical framework, assumptions, risks, indicators, budget, country context, national ownership, participation of design actors, replicability, among others.
- **Progress in the achievement of results:** focus on implementation, participation of stakeholders, quality of execution by each institution involved and, in general, financial planning, monitoring and evaluation during implementation.
- **Execution of the Project and Adaptive Management:** identification of the challenges and proposal of the additional measures to promote a more efficient and effective execution. The aspects evaluated are: management mechanisms, work planning, financing and co-financing, monitoring and evaluation systems at the Project level, stakeholder involvement, information and communication.

- **Sustainability:** In general, sustainability is understood as the probability that the benefits of the Project will last in time after its completion. Consequently, the Mid-Term Sustainability Assessment examines the likely risks that the Project faces so that the results will continue when the Project ends.

## 2 DESCRIPTION OF THE PROJECT AND IMPLEMENTATION CONTEXT

This chapter provides the necessary background to understand the context and the different issues influencing the Project design. After justifying the major institutional gaps that inspired the intervention, the chapter describes the Project in detail, including its implementation strategy and expected outcomes.

### 2.1 Project Background and Context

Sumatra consists of eight mainland provinces (Aceh, North Sumatra, Riau, West Sumatra, Jambi, Bengkulu, Lampung and South Sumatra) and two adjacent island cluster provinces (Riau Islands and Bangka Belitung Islands). The mainland human population was estimated at 47.7 million people in 2010, representing an average annual increase of 1.1% since 2000.

Sumatra is the sixth largest island in the world spanning 480,848 km<sup>2</sup>. It is characterized by the 1800 km long Bukit Barisan mountain range that runs the length of the island and gives rise to the 3805 m asl Mount Kerinci, the highest point on Sumatra. The climate in Sumatra is described as being ‘tropical wet equatorial’ that is shaped by a northeasterly monsoon from December to March, with most rain falling during the transition to the southwesterly monsoon from May to September.

Sumatra contains 335 watersheds, of which 112 are termed as being of national strategic importance and 85 span more than one province and therefore fall between the jurisdictions of different regional management authorities. The main forest types of Sumatra include lowland (0-300m asl), hill (300-800m), submontane (800-1400m), montane (>1400m) and peat swamp (0-50m) and, in part, give rise to the island’s rich and varied biodiversity that is recognized through several international conventions and designations. Sumatra contains 13 Important Bird Areas, two Ramsar sites and the UNESCO World Heritage Site’s Tropical Rainforest Heritage of Sumatra sites.

The flora of Sumatra is one of the most species-rich on earth, with 202 out of the 395 known families of seed plant and >10,000 types of vascular plant species, of which 12% are endemic. The island's fauna includes, for example, 201 mammal species and 580 bird species. This includes Southeast Asia's only migratory terrestrial mammal, the bearded pig (*Sus barbatus*), and several endemic and Critically Endangered species (such as the Sumatran ground cuckoo and Sumatran orangutan) and subspecies (such as the Sumatran tiger and Sumatran elephant).

Also, other relevant specie is the Sumatran tiger (*Panthera tigris sumatrae*) which is Indonesia's last remaining tiger subspecies, since the extinction of its unique subspecies from the island of Bali (*P. t. balica*) in the 1940s and Java (*P. t. sondaica*) in the 1980s. The most commonly used present day estimate for the number of Sumatran tigers is 400-500 adult individuals (1999). Despite being outdated, this estimate only considered tiger populations in seven protected areas and was therefore conservative. A more recent and reliable estimate does not exist and updating the tiger population size estimate remains a government priority. Nevertheless, recent assessments of Sumatran tiger status have revealed its widespread distribution, being present in 29 of 38 available forest habitat patches that cover 97% of the 144,160 km<sup>2</sup> available forest. Following on from this, a more detailed island-wide survey was completed in 2009, covering 59% of the available habitat and revealed a high (72%) tiger occupancy here.

In Sumatra, as elsewhere in Indonesia, all forest is state-owned, but categorized by national and regional planning agencies and managed by a diverse group of actors. The Forestry Law (No 41/1999) divides forests into three categories based on their function: Conservation Forests, Protection Forests and Production Forests. The Ministry of Environment and Forestry (MoEF) has established a wide-ranging protected area network system for Sumatra that covers 4.52 million ha. This includes some of Asia's largest protected areas, such as Kerinci Seblat National Park (1.39 million ha) and Gunung Leuser National Park (1.01 million ha). Nevertheless, deforestation still occurs inside all Sumatran protected areas indicating that they are not entirely secure. From 1985 to 2009, Sumatra lost approximately half (12.8 million ha) of its entire forest estate and from 2000 to 2012 lost 1.5 million ha of primary wetland forest and 1.2 million ha of primary lowland forest. The deforestation was primarily caused by large-scale agricultural plantation expansion.



Across Sumatra a range of barriers undermine efforts to conserve forest and biodiversity. These include poor governance, poor institutional coordination, insufficient resource allocation (both human and financial) and limited monitoring, together with the economic pressures associated with rural poverty and agribusiness growth.

## **2.2 Project Description**

Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes or Sumatran Tiger project was designed to enhance biodiversity conservation in priority landscapes in Sumatra through adoption of good management practices in protected areas and adjacent production landscapes, using Sumatran tiger recovery as a key indicator of success. This will be accomplished through supporting implementation of the National Tiger Recovery Plan, which sets out the key elements to protect forests and wildlife in Sumatra.

The project aims to address the institutional issues facing biodiversity management in Indonesia by focusing on the island of Sumatra, Indonesia's largest wholly owned island. The project will cover an area that includes some of the most important forests for biodiversity.

Besides tigers, the project landscapes also support the last viable populations of Sumatran rhinoceros, Sumatran orangutan and Sumatran elephant. They provide vital ecosystem services for local communities (e.g. through water supply regulation; genetic resources with potential commercial application, such as agriculture and bioproducts; and, macro-biodiversity with high tourism amenity value), as well as for the international community through climate regulation.

The project will focus on the national parks of Bukit Barisan Selatan (0.36 million ha), Kerinci Seblat (1.39 million ha), Gunung Leuser (1.10 million ha), Berbak (0.14 million ha) and Sembilang (0.20 million ha). Several of these national parks connect to other biodiversity-rich conservation areas; Batang Hari Protection Forest (0.33 million ha) adjoining Kerinci Seblat, and the Ulu Masen ecosystem (0.75 million ha) connecting to the wider Leuser ecosystem (1.25 million ha; which encircles Gunung Leuser National Park).

The project goal is to contribute to the conservation and sustainable use of globally significant biodiversity in Indonesia. The project objective is to enhance biodiversity conservation in priority landscapes in Sumatra through adoption of best management

practices in protected areas and adjacent production landscapes, using tiger recovery as a key indicator of success. The most plausible way to achieve this will be through implementing the MoEF's National Tiger Recovery Plan (NTRP) because it contains many of the key elements required for protecting forests and wildlife in Sumatra. The project is composed of three Outcomes, and each of them by a series of outputs:

**Outcome 1: Increased effectiveness of key protected area management institutions**

through training and technical assistance to increase the management capacity of the 5 target National Parks (NPs). To achieve the results, the following Outputs have been proposed:

- Output 1.1. Management capacity increased in target protected areas through training and technical assistance.
- Output 1.2. Enhanced management and annual work plans developed, adopted and implemented for target protected areas.
- Output 1.3. Adaptive management law enforcement tools and standards, such as SMART, are implemented in priority RBMs in target landscapes.
- Output 1.4. Management effectiveness change annually tracked through training results and METT assessments.
- Output 1.5. Updated version of the National Tiger Recovery Plan and Sumatran Tiger Strategy and Action Plan developed and adopted.

**Outcome 2: Intersectoral coordination systems developed for priority landscapes**

through developing and operationalizing landscape-level and inter-landscape partnerships between relevant agencies concerned with illegal wildlife trade; documenting and reviewing innovative forest and wildlife management interventions in target landscapes for replication and upscaling; informing management decision-making through systematic wildlife and forest monitoring using a standardized scientific survey protocol; and by enhancing the management of human-tiger conflicts in the target landscapes. The Outputs under this include:

- Output 2.1. Landscape-level and inter-landscape partnerships developed and operationalized between relevant agencies concerned with illegal wildlife trade.
- Output 2.2. Innovative forest and wildlife management interventions in target landscapes documented and reviewed for replication and upscaling.

- Output 2.3. Management decision-making informed through wildlife and forest monitoring using a standardized scientific survey protocol.
- Output 2.4. Human-tiger conflicts effectively managed in five target landscapes.

**Outcome 3: Sustainable financing for biodiversity management** the outcome focuses on conducting a financial sustainability analysis and related financial planning to improve cost-effectiveness and disbursement mechanisms for target PAs. The following Outputs have been proposed:

- Output 3.1. Financial sustainability analysis conducted to improve cost-effectiveness, disbursement mechanisms and budget resources for Unit Pelaksanaan Teknis (UPT).
- Output 3.2. Sustainable financing plans developed and implemented for selected production areas through business and biodiversity mechanisms.
- Output 3.3. Institutional framework at national level adopted to support sustainable financing scheme implementation.

The project is implemented by the Ministry of Environment and Forestry, following the programming guidelines for national implementation of UNDP-supported projects. Also, MoEF is accountable to UNDP for the disbursement of funds and the achievement of the project objective and outcomes, according to the approved work plan. The total budget of the Project estimated in the PRODOC is USD 62,450,000 of which USD 9,000,000 comes from the GEF.

### **3 EVALUATION FINDINGS**

This chapter analyses the adequacy of the Project document as a guiding tool to implement the Project. It reviews the Project's results framework, the expected results, assumptions and risks considering Indonesia's context, national ownership and stakeholder participation.

#### **3.1 Project Strategy**

The Project is consistent with the goals of GEF Biodiversity Objective 1 "Improve Sustainability of Protected Area Systems" (BD1) and specifically the BD1 Focal Area Outcome 1.1 "Improved management effectiveness of existing and new protected areas" and Outcome 1.2 "Increased revenue for protected area systems to meet total expenditures required for management." The project will also directly contribute to the implementation of

the CBD's Programme of Work on Protected Areas (PoWPA) as well as to achievement of the Aichi Targets, in particular under the strategic goal C: To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity. It contributes to Target 11 through increasing management effectiveness of the PA system including its integration with conservation actions across wider landscapes, and Target 12, through improving the conservation status of globally threatened species, with specific focus on the Sumatran tiger.

The Project is highly relevant for Indonesia, it is aligned with national policies and supports the implementation of the National Tiger Recovery Plan, which sets out the key elements to protect forests and wildlife in Sumatra. It responds to the need to continuous improvement of PA's capacities to ensure an integral conservation approach. In doing so, it will create a model biodiversity management system that is operational across the target landscapes, can be scaled-up across Sumatra, and strengthen the national PA system.

The Project targets the Sumatran Tiger (*Panthera tigris*), which is Indonesia's last remaining tiger subspecies with an estimated population of 400-500 adults. The Project covers five globally significant sites and surrounding landscapes, including 13 Important Bird Areas, two Ramsar sites (Berbak and Sembilang National Parks) and the UNESCO WHC Tropical Rainforest Heritage of Sumatra sites (the National Parks of Gunung Leuser, Kerinci Seblat and Bukit Barisan Selatan). It is one of the few GEF projects worldwide focused exclusively on endangered species, therefore it attracts international interest and high expectations, as it is seen as an opportunity to highlight endangered species conservation within future GEF portfolio.

The results framework builds upon large experience and longstanding tradition of the Ministry of the Environment, UNDP and its implementing partners. It capitalizes at least more than 10 years of continuous support from WCS, ZSL and FFI in Sumatra, strengthening NPs and wildlife conservation. This Project has been acknowledged as a logical consequence of the need to scale up and move endangered species conservation one step further.

The Project is highly ambitious and complex, its scope reflects an integral coverage of major barriers to endangered wildlife conservation, such as NP's governance, capacity building, technology transfer, management effectiveness and financial sustainability. The Project

involves a vast geographical area, multiple stakeholders, and NPs in different stages of consolidation.

The design is balanced in terms of combining system and site level activities; it addresses institutional capacities and sustainable livelihood opportunities; in situ & ex situ conservation through active and enhanced landscape approach.

In terms of the project indicators, Output 1.5 lacks a specific indicator, although it could be assumed that it refers to the Updated version of the National Tiger Recovery Plan and Sumatran Tiger Strategy and Action Plan developed and adopted. Some indicators are weak and do not reflect accurately the spirit of the outputs, such as the case of 2.2 where innovative forest and wildlife management interventions are sought to be measured exclusively through number of staffs involved.

Considering the three Project component's entitle a high level of public awareness, political support and adequate profiling for issues such as illegal wildlife trade as well as human - wildlife conflict, there are not specific outputs, indicators or budget addressing the need for strategic communication and advocacy. The Project did not have a specific gender objective, gender mainstreaming was encouraged, but it was not sufficiently reflected in Project design as no guidelines or capacity related activities were transferred to the implementing partners.

The Project was incubated originally by international INGOs and the World bank back in 2011, it was later endorsed by UNDP who lead the process to submit funding proposal to the GEF. In terms of risks and initial assumptions, the design could not anticipate risks such as renewal of NGO's MoU, which is a central issue for site-based performance. The Project could have envisioned a greater participation from national NGO's, as a means to further generate capacities and scale up the lessons and models developed.

Considering the scope of the Project, risks and assumptions should better reflect the absorption capacity of implementing partners and NPs, not all were in the same consolidation stage and therefore specific targets and approaches did not consider the pre-existing gaps and overall managerial context. Among other risks, relative high rotation of NP staff and authorities proved to be determinant to ensure Project's success in almost all areas.

In terms of management arrangements, the Ministry of Environment and Forestry lead project implementation in partnership with UNDP and three NGOs (WCS, ZSL and FFI) as implementing partners. Implementation arrangements nested sustainable finance component far away from NPs, this could make sense from an interinstitutional perspective but risks insulated implementation.

### **3.2 Progress in the achievement of results**

The following two Project outcomes are in general terms on track and pose low risk to advance towards accomplishment by the end of the Project: Outcome 1: Increased effectiveness of key protected area management institutions; Outcome 2: Intersectoral coordination systems developed for priority landscapes. Performance is not uniform in all sites, according to what has been reported. Progress is more evident in Bukit Barisan Selatan and Kerinci Seblat. The case of Berbak Sembilang entails more risk not to accomplish all expected results for Outcomes 1 and 2, considering the protected area is relatively less consolidated and still has limited absorption capacity. As implementation is lagging behind, time constrains would leave limited space until the end of the project to assimilate and accomplish all stated objectives.

The more limited progress is found in Outcome 3: Sustainable financing for biodiversity management, presenting a reasonable risk of not accomplishing it. After a late start up process, the new team is trying to recuperate valuable time lost during the first period of implementation. Assuming they manage to design different financial plans envisioned for this outcome, there would be very limited time left for implementation.

#### **3.2.1 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. Progress in protected areas management effectiveness usually takes time. Probably the most immediate effect of the Project is the increase in law enforcement patrol effort (Indicator 1.3), which in turn triggered a reduction of tiger-related threats in three landscapes (Indicator 1.2). The patrol data demonstrated that two project landscapes Kerinci Seblat and Bukit Barisan Selatan already exceeded the EoP target. The major barrier at the moment lies in the absence of a MoU between the Government and the implementing partners, in some NPs it was reported that patrol teams are not allowed to

undertake patrolling inside of the PA where most of the threats occur. Sustainable finance is still a structural barrier to bridge the existing capacity gaps, as budgets in certain NPs are likely to decrease.

Other results are more complex and take longer time to realize, such as improving forest degradation rates (Indicator 1.4), whose result will be measured by the end of the Project. Plantation and agricultural expansion triggers deforestation or forest cover change mostly within the border of NPs. Project is concerned about new encroachment in core area of Kerinci Seblat NP, associated with the development of a new road and, waiting for an opportunity to present to decision makers the findings of an assessment on green infrastructure.

Methods for calculating forest cover areas have been discussed with the Technical Advisory Group (TAG) to ensure a standardized assessment. Project efforts focus on linking deforestation hotspot with SMART patrol to be targeted in routine patrol. The political support at the central and local levels is needed to ensure more assertive response, for example it has been reported during the field visit that some local governments were charging taxes to new settlers inside of NPs. However more updated information related to Bukit Barisan Selatan suggest improvements on this issue, presenting evidence of many settlement's which have been formally excluded from the list of taxpayers by the local government and the regional tax office.

Based on a training need assessment, the following trainings to increase institutional capacity of the targeted protected areas were identified: 1) structural training; 2) managerial level training for third and fourth echelon officers; 3) functional training for PEH (Forest Ecosystem Controller) level officers; 4) functional training for forest rangers; 5) four level functional training for forest rangers, and 6) training for forest natural resources managers and 7) training for ecosystem managers. Additionally, in collaboration with the Center of Education and Training of the Ministry of Environment and Forestry, the project supported the development of an institutionalized curriculum for RBM-SMART Patrol. To strengthen the capacity of national park officials in handling human and wildlife conflicts, project has developed sets of curriculums on Management of Human and Tiger Conflict and Curriculum on Monitoring Sumatran Tiger Population.

Up to now, in total 49 trainings were conducted and attended by 1,494 participants (1,376 males and 128 females) from the Ministry of Environment and Forestry, National Park Agencies, Directorate of Natural Resources and Ecosystem Conservation, Police, Prosecutors, Journalists, Public Relation Officers, Veterinarians, community members and other relevant institutions.

In terms of the indicative scores for management effectiveness (Indicator 1.5), they seem to be on track even though not all NPs have been assessed so far. In general, all components of management effectiveness have increased, suggesting that Project intervention in providing technical, logistical, and knowledge support was adequate. The Project is supporting renewal of Sumatran Tiger Conservation Action Plan and Strategy (STRAKOHAS) 2018-2028, which will represent MoEF strategy for Sumatran tiger conservation (Table 1).

In general terms, staff rotation and limited absorption capacity were identified as key barriers for optimizing the capacity building investments, it has been observed that the Project could play a major role in facilitating an enabling environment for NPs to acknowledge and adopt new practices, tools and training received.

**Table 1 Progress towards results Outcome 1**

Indicator	Progress					Comments
<b>1.1 Capacity Development Score; Improved institutional capacity of the 5 target protected area authorities for management as indicated by the Capacity Development Scorecard</b>	<b>PA's</b>	<b>2014</b>	<b>2018</b>	<b>MTR</b>	<b>Target</b>	On track;
	Gunung Leuser NP	69%		74%	83%	Targets are likely to increase once PA management plans are approved in Kerinci and Gunung Leuser.
	Kerinci Seblat NP	72%	70%		85%	
	Bukit Barisan Selatan NP	71%	68%		81%	Exit strategy would need to define a methodology for knowledge transfer to NP authorities but also at the resort level.
	Berbak NP	69%	74%		83%	



<b>1.2. Reduction of tiger-related threats by &gt;10% in each of the 5 target PAs indicated by a reduction in the number of illegal activities as shown in SMART-RBM monthly patrolling reports*, and construction of tiger sanctuary in priority area is started</b>	<table><tr><th>PA's</th><th>2014</th><th>2018</th><th>Target</th></tr><tr><td>Gunung Leuser NP</td><td>8.3</td><td>10.6</td><td>7.5</td></tr><tr><td>Kerinci Seblat NP</td><td>11.4</td><td>11</td><td>10.3</td></tr><tr><td>Bukit Barisan Selatan NP</td><td>1.2</td><td>0.6</td><td>1.1</td></tr><tr><td>Berbak NP</td><td>0.22</td><td>1.4</td><td>0.1</td></tr><tr><td>Sembilang NP</td><td>0</td><td>2.5</td><td>0</td></tr></table>	PA's	2014	2018	Target	Gunung Leuser NP	8.3	10.6	7.5	Kerinci Seblat NP	11.4	11	10.3	Bukit Barisan Selatan NP	1.2	0.6	1.1	Berbak NP	0.22	1.4	0.1	Sembilang NP	0	2.5	0	<p>On track;</p> <p>The reduction of the threat can be attributed to the intensification of patrols carried out in 2018, as well as the accumulative and synergic effect of other partners.</p> <p>It is important to start with the annual evaluations of RBM-SMART.</p>
PA's	2014	2018	Target																							
Gunung Leuser NP	8.3	10.6	7.5																							
Kerinci Seblat NP	11.4	11	10.3																							
Bukit Barisan Selatan NP	1.2	0.6	1.1																							
Berbak NP	0.22	1.4	0.1																							
Sembilang NP	0	2.5	0																							
<b>1.3. Law Enforcement Patrol Effort; Increase in law enforcement patrol effort (km walked per year) by &gt;10% in each of the 5 target PAs as shown in SMART-RBM monthly patrolling reports</b>	<table><tr><th>PA's</th><th>2014</th><th>2018</th><th>Target</th></tr><tr><td>Gunung Leuser NP</td><td>237</td><td>1,285</td><td>712</td></tr><tr><td>Kerinci Seblat NP</td><td>1,722</td><td>2,388</td><td>2,140</td></tr><tr><td>Bukit Barisan Selatan NP</td><td>1,023</td><td>1,980</td><td>2,437</td></tr><tr><td>Berbak NP</td><td>464</td><td>417</td><td>511</td></tr><tr><td>Sembilang NP</td><td>320</td><td>278</td><td>352</td></tr></table>	PA's	2014	2018	Target	Gunung Leuser NP	237	1,285	712	Kerinci Seblat NP	1,722	2,388	2,140	Bukit Barisan Selatan NP	1,023	1,980	2,437	Berbak NP	464	417	511	Sembilang NP	320	278	352	<p>On track;</p> <p>The performance of the patrol activities financed by the partners, including the GEF-UNDP, exceeded the performance of the patrol financed by the DIPA, especially when the SMART patrol is implemented.</p>
PA's	2014	2018	Target																							
Gunung Leuser NP	237	1,285	712																							
Kerinci Seblat NP	1,722	2,388	2,140																							
Bukit Barisan Selatan NP	1,023	1,980	2,437																							
Berbak NP	464	417	511																							
Sembilang NP	320	278	352																							
<b>1.4. Forest Degradation Rates Forest degradation rates in core areas in 5 target protected areas reduced to &lt;1% by end of project</b>	<p>Methods for calculating forest cover areas have been discussed with the Technical Advisory Group (TAG) to ensure a standardized assessment in all landscapes.</p> <p>Deforestation rate in first year project at all landscapes was: Leuser NP 0.14%; Kerinci Seblat NP 0.008%; Bukit Barisan Selatan NP - 0.04%; Berbak NP 7.9%; Sembilang NP 11.24%. The target is the deforestation rate in EOP is less than 1%.</p>	<p>On Track;</p> <p>Second measurement shall take place at the end of the project.</p> <p>Currently, the project pays special attention to invasions in the central area of Kerinci Seblat NP, due to the possible development of a new road in the southern part of the Kerinci district.</p>																								

<b>1.5. Management Effectiveness (METT Score)</b> <b>Improved management effectiveness of 5 target protected areas* covering 3,185,359 ha, indicated by the increase in the METT assessment</b>	<b>PA's</b>					<b>2014</b>	<b>2018</b>	<b>MTR</b>	<b>Target</b>	On track;
	Gunung Leuser NP		63%		71%	76%				Despite the advance in the METT score in 3 APs, it is not possible to verify if there is a 50% joint advance, as planned in the PRODOC, because the updates of the two APs are still required. Scores may increase as new PA management plans will be ready during this year.
	Kerinci Seblat NP	64%	68%		76%					
	Bukit Barisan Selatan NP	69%		74%	77%					
	Berbak NP	53%	77%		75%					
	Sembilang NP	59%	75%		75%					
<p>In general, all components of management effectiveness increased. However, significant progress occurred in components of input and process.</p> <p>Gunung Leuser National Park have yet conducted METT assessment in 2018 and will finish in April 2019. Bukit Barisan Selatan National Park conducted pre-METT assessment on October 2018.</p>										

### 3.2.2 Outcome 2: Intersectoral coordination systems are developed for priority landscapes

In term of number of wildlife crime cases submitted for prosecution (Indicator 2.1) the number of cases submitted are above target, mostly because of improved law enforcement patrol. Enhanced partnership among law enforcement agencies, engagement of local informants and other intelligence approaches towards illegal wildlife trade, proved to be effective in providing a reliable key information for the civil servant investigators or police to dismantle wildlife crime. The Project has supported the establishment of two partnerships between national park agencies and Provincial Police Authority (POLDA), in Kerinci Seblat National Park and Gunung Leuser landscape. Communication and advocacy trainings have been conducted targeting 129 people (107 males and 22 females), aimed at improving stakeholders' understanding on the Sumatran tiger species and its conservation efforts. Limited budget is a barrier to further maintain and enhance strategic communication and advocacy, as a means to influence stakeholders in policy and decision making.

In terms of Indicator 2.2 - Number of agency staff participating in pilot projects, progress so far is mostly related to one previous intervention of FFI in forests adjacent to Kerinci Seblat NP. It started before the Project under the MoEF Village Forest (Hutan Desa) programme, as an innovative form of community-based forest management. The intervention includes forest village certification, patrol teams, alternative livelihood opportunities and Payment for

Environmental Services. In terms of agency staff participating, so far only the Forest Management Unit (KPH) Authority in Kerinci, Leuser and Bukit Barisan Selatan were reported. Greater commitment towards innovative practices and enhanced implementation capacity may be urgently needed to scale up and implement similar models in other landscapes.

Standardized tiger, prey and forest habitat monitoring system using camera traps (Indicator 2.3) has been developed and legalized, it is already operationalized in all landscapes. For example, in Leuser camera traps are regularly used to monitor tiger population. The adoption and operationalization of this protocol resulted in increased tiger density figure in most project landscapes, as it also provides significant biodiversity information in the core areas. Trainings for standardized implementation of the protocol have been conducted in all landscapes, based on the training syllabus on monitoring tiger that was developed and legalized in cooperation with Training Centre of MoEF (PUSDIKLAT). In terms of remaining barriers, data control, processing and analysis at the site level still relies heavily on partner NGO’s, it still has yet to be fully transferred to and managed by the national park authority.

In terms of human – tiger conflict (Indicator 2.4), conflict mitigation teams had been formed in all landscapes. Project has undertaken various interventions including conflict monitoring at high risk villages, trainings for different targeted groups, 12 tiger proof enclosures, developing a provincial coordination team in HTC handling and strengthening village capacity to handle conflict. Project has also contributed successfully to the incidents of serious human-tiger conflict case handling a tiger named Bonita, which has killed two villagers. Budgetary and coordination constraints of NPs limit their involvement in HTC activities, most of current progress has been undertaken by the implementing partners. Not all landscapes are equally engaged in this output, Kerinci Seblat is lagging behind, since it has not yet equipped and trained their target communities, while Berbak Sembilang does not have the same level of pressure due to less villages surrounding the NP (Table 2:

**Progress towards results of Outcome 2**

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**Table 2: Progress towards results of Outcome 2**

Indicator	Advance	Comments
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<b>2.1. Number of Wildlife Crime Cases Submitted for Prosecution</b> <b>Number of wildlife crime cases submitted for prosecution from operations conducted at island level as a result of intersectoral collaboration increases by &gt;25%:</b>	<ul style="list-style-type: none"> <li>• 2 illegal wildlife trading and 1 animal abuse at Gunung Leuser National Park</li> <li>• 1 case of illegal wildlife at Bukit Barisan Selatan National Park</li> <li>• 14 illegal wildlife activities at Kerinci Seblat National Park</li> <li>• 1 Wildlife Crime Investigation Unit (1 Coordinator, 2 Member) at Berbak Sembilang Landscape.</li> <li>• 6 Informant networks at Berbak Sembilang Landscape.               <ul style="list-style-type: none"> <li>• 2017: 3 Cases (2 tiger cases)</li> <li>• 2018: 10 Cases (3 tiger cases)</li> <li>• 2019: 1 Case</li> </ul> </li> </ul>	<p>On track; The increase in the number of crimes against wildlife may be associated with higher levels of patrolling; Informant networks are operational and supported in 4 target landscapes. Project has also supported local law enforcement agencies to reveal IWT cases.</p>
<b>2.2. Number of Agency Staff participating in Pilot Projects</b> <b>At least 25 staff of the Ministry of Environment and Forestry, Provincial/District level authorities and/or regional development planning authorities</b>	<p>In Kerinci Seblat, the implementing partner has a longstanding experience facilitating the village-based community organization to obtain forest village certification and implemented a Payment for Environmental Services scheme using a Carbon Offset mechanism</p> <p>The community has since then been supporting effort to protect the adjacent national park area by joining the patrol team. In parallel, various support to increase capacity of villager and to provide alternative livelihood has been also conducted.</p>	<p>Risk of non-compliance; The only progress reported so far refers to Kerinci Seblat, due to a previous intervention lead by the implementing partner. The model is interesting and offers replication opportunities for other landscapes. Indicator is weak, should be reformulated to state at least one innovative practice per landscape.</p>
<b>2.3. Tiger, Prey and Forest Habitat Monitoring System</b> <b>Standardized tiger, prey and forest habitat monitoring system developed and operationalized for 5 target protected areas and their surrounding landscapes.</b>	<p>Standardized tiger, prey and forest habitat monitoring system has been developed further legalized and internalized within the Ministry of Environment and Forestry's system through Decree of Head PUSDIKLAT. The adoption and operationalization of this protocol has resulted in tiger density figure in most project landscapes. The project has also produced some document and information kit and organized training. Training syllabus on monitoring tiger were developed in cooperation with Training Centre of MoEF (PUSDIKLAT).</p>	<p>On Track; Critical to concentrate on strengthening NP's capacities to process and analyze data; Strategy is needed to ensure that data is used and mainstreamed into decision making.</p>
<b>2.4. Human-Tiger Conflict Report Assessments / Responses</b> <b>&gt;95% of human-tiger conflict reports are correctly assessed and/or responded in accordance with KSDAE mitigation</b>	<p>Human tiger conflict mitigation teams had been formed in all landscapes. The project had developed 12 TPE (Tiger Proof Enclosures) units in Aceh, especially in 6 villages, 6 sub-districts, 5 districts / cities to mitigate human and wildlife conflicts along with monitoring, patrolling efforts, socialization and veterinary training involving local communities.</p>	<p>On Track; FFI is lagging behind, have not yet equipped and trained communities;</p> <p>All implementing partners should strengthen networks and further engage other authorities to undertake joint response.</p>

**protocol 53 P48, by  
Project Year 3;**

In the Gunung Leuser National Park 22 cases of human wildlife conflicts were handled, in the Bukit Barisan Selatan National Park 16 cases were attended; In the Kerinci Seblat National Park, 6 minor conflicts were attended.

### **3.2.3 Outcome 3: Sustainable financing for biodiversity management in priority landscapes**

This outcome has a considerable delay due to a late start up process, and all its three indicators pose a reasonable risk of non-accomplishment. It failed at addressing sustainable finance exclusively at national level, with limited exposure and mainstreaming of financing issues towards Project interventions at the landscape level. Instead of envisioning a wide array of funding sources and mechanisms operating simultaneously, the strategy followed poses more risk, as it intends to concentrate efforts towards implementing one single sustainable finance mechanism instead of a portfolio approach.

Indicator 3.1 has not achieved any of the five financial plans as expected, instead decided to reduce this indicator by three plans until the end of the Project. Progress include a financial gap assessment workshop and hiring a consultancy since January 2019 to do scoping and analyze the feasibility for implementing one sustainable financing mechanism. As reported, the Project is waiting for this consultancy to guide the whole implementation process through, in the absence of an implementation strategy.

Indicator 3.1 includes a 10% budget increase for NPs by the end of the Project - the results from the workshop organized by the Project on NPs financing strategy were reported as a useful reference for MOEF and BAPPENAS to design standardized budget to ensure adequate financial resources for NPs management. BAPPENAS reports progress in terms of increased visibility of NPs in the Medium-term National Development Planning (RPJMN), resulting in improved budget allocation specially in Bukit Barisan Selatan National Park. However, absorption capacity is still weak and currently NPs are not even using 100% of available yearly budgets, making it more difficult to argue for additional funding.

With regards to Indicator 3.2, no sustainable financing plans for production areas involving PPPs were developed so far. The Project argues that such PPP mechanisms already exist, but revenues generated are currently not retained or reinvested in PAs. This is why the original focus on PPP may not be relevant or feasible anymore. With regards to the Financial

Sustainability Scorecard (Indicator 3.1), there is a baseline year 2014 and a recent update year 2019. The scorecard was filled in a participative manner and recognized as an interesting learning opportunity, however, there is currently no plan, strategy or guideline on how the Project will catalyze change oriented to improve scorecard's performance in the remaining implementation period.

Since August 2018, Outcome 3 seems to be trying to get back on track. It still needs to be better nested within BAPPENAS to have greater autonomy and faster delivery, but also much more connected to the PMU to touch base with the rest of the Project and opportunities arising from Outcomes 1 & 2. Another remaining barrier seems to be technical, concern about the quality of deliverables was reported as it was very difficult to find national consultants with expertise in conservation finance. Outcome 3 urgently needs strategic direction and technical tools to recover the time lost so far and mobilize resources towards achieving the expected Project outputs (**Table 3**)

**Table 3 Progress towards results Outcome 3**

Indicator	Advance	Comments
<b>3.1. Financing Plans</b>  <b>Five new financing plans in place for selected target PAs by the project end and budgets increased by 10%.</b>	<p>Financial baseline has been developed including donors and other sources. A study is in progress at national level to explore options for sustainable financing mechanism. This study is part of developing the Medium-Term National Development Planning (RPJMN) for next 5 years. It is not evident that the road maps have been developed.</p> <p>Continuous mainstreaming of conservation finance is reported, but is not yet delivered under the output. Budget allocations increased over the past 3 years in targeted national parks.</p>	<p>Risk of non-compliance; Process started late; A firm has been hired to undertake the process in January 2019.</p> <p>Considering time constraints and quality concerns, additional technical support and guidance on international best practice may be needed.</p> <p>Would need to adjust indicator to reflect new scoping (1 pilot instead of 5 in NPs)</p>
<b>3.2. Sustainable Financing Plans for Production Areas involving PPPs; Two sustainable financing plans produced for production area/s through business and biodiversity mechanisms involving public-private</b>	<p>Different PPPs are reported as existing and operating mechanisms, however NPs are not allowed to retain or reinvest resources;</p> <p>Stock-tacking workshop on the potential innovative sustainable financing options for conservation activities was organized.</p> <p>Consultants were recruited to conduct a study on the establishment of a foundation or BLU (Public Service Agency).</p>	<p>Risk of non-compliance;</p> <p>Original focus on PPP may not be relevant or feasible anymore; ToR is ambiguous.</p> <p>Indicator should be modified to open opportunities for sustainable livelihoods and community-based mechanisms and incentives.</p>



partnerships (PPPs).		
<b>3.3. Financial Sustainability Scorecard</b>  <b>Increase by &gt;25% for each of the three component scores in the Financial Sustainability Scorecard for the sub-system of Sumatra's protected areas*</b>	Currently, project is in the process of hiring expert to analyze financial sustainability scorecard, and to develop business plan as well as tools for cost-effective management. Some enabling conditions and increased visibility of conservation issues Medium-term National Development Planning (RPJMN), biodiversity has been included as one of the criteria for rationalizing forest area – therefore national budget for conservation interest will be prioritized and secured.	Risk of non-compliance;  There is no evidence of comprehensive approach towards this output; Should be the first task to do in order to generate the baseline and guide planning accordingly.

### 3.3 Project Execution and Adaptive Management

In terms of **management arrangements**, the project has been implemented under the framework of the UNDP Country Programme Action Plan (CPAP) 2011 – 2015, applying the National Implementation Modality (NIM), where the Ministry of Environment and Forestry is the Implementing Partner. Activities completed under the various outputs were arranged through contracts with implementing partners, service providers or individual consultants, mostly based upon competitive bidding. Implementation was organized through one PMU at central level and three PIU's at the landscape level. At the landscape level, three INGO's were selected to execute the activities on-the-ground based on their experience and previous engagement with the NPs.

The PMU is perceived as supportive and experienced, it combines specific technical profiles with managerial and coordination capacities. PIU plays different roles according to the site and coordinator; in sites such as Bukit Barisan Selatan NP there is a high political profile and institutional coordination capacities; in other sites a more discrete role was perceived mostly linked to administrative and financial support. PIU's closer coordination and interaction with implementing partners should be encouraged to ensure a comprehensive intervention.

The implementation proved to be an adequate strategy in terms of maximizing synergies in areas such as capacity building and technology transfer, ensuring a differentiated approach, involving other local actors in the process. However greater attention should be placed in terms of delivery of reports and submission of expected products on time. ZSL and FFI

maintain a considerable delay meeting such commitments, affecting overall programming and financial execution. This does not reflect the progress found at the site level, which suggests that both partners may need to strengthen technical support and probably hire additional staff to meet commitments.

Although it has not been originally acknowledged in the PRODOC, BAPPENAS is currently responsible for Outcome 3. This functional division responds to institutional mandate, is coherent with previous arrangements and offers opportunities to maximize synergies, since the team is also in charge of the financial sustainability component of another GEF project named EPASS. While adequate integration and coordination between Components 1 & 2 is reported, actors agree that more attention should be placed to mainstream sustainable finance across Project intervention. The role of the PMU, although formally in charge of all components, is less evident in the case of Outcome 3. On the other hand, relative low appropriation has been reported, the team in charge of Outcome 3 operates physically outside of BAPPENAS complex and does not have sufficient autonomy to accelerate implementation rhythm.

In terms of **adaptive management**, the original Project objective and the three outcomes remained unchanged throughout the implementation timeframe. With respect to the outcome indicators, at least 4 indicators are either close or have already achieved its respective EoP targets, suggesting these should probably be adjusted to better reflect current implementation context: Indicator 1.3: Law Enforcement Patrol Effort &; Indicator 2.1: Number of Wildlife Crime Cases Submitted for Prosecution.

Project demonstrated flexibility to attend emerging priorities and trends on a case by case approach, such as the case of including elephants in human – wildlife conflict management in BBS. Each NP has a different reality and received a customized approach; implementing partners responded on a case by case basis and prove to be a cost-effective implementation arrangement.

Despite the barrier posed by the absence of an MoU between the Project IP and the INGO partners, they were able to adapt. Based on the context, partners follow a differentiated approach, in Berbak Sembilang landscape the Project invests in strengthening NP staff while in Kerinci Seblat the strategy consists of community rangers complementing NPs patrolling efforts by targeting the perimeter. In Berbak and Sembilang National Parks, the



area is dominated with peatland and swamp forest ecosystem, many of the patrol efforts are conducted by boat and not on foot, the measurement unit should be adjusted to better reflect the protection effort conducted in this area. In all landscapes, staff rotation affects continuation of activities such as Smart Patrolling and RBM.

The Prodoc was supposed to support the development of METT Toolkit and the establishment of METT Working group. However, due to inevitable delay in the project implementation and considering the urgency of this output for the government, the activities have been carried out by using MoEF's own resources. The tool now has been implemented and widely recognized as one of Indonesia's achievement in protected area management.

Outcome 3 shifted its original strategy that was more oriented towards site based financial planning to concentrate on identification and assessment of national sustainable finance mechanisms. The number of financial plans were reduced from 5 to 3 and only one sustainable finance mechanism will be implemented, considering time constraints and implementation capacity. Several years after the Project was designed, it seems that PPP's are probably not a priority now, as it has been reported that there are sufficient PPP cases in place and none actually benefits NPs directly. Nevertheless, no option or alternative has been proposed to reorient this output so far, as the Project seems to have over expectations about the results of the feasibility study for a sustainable financing mechanism, which they expect to guide implementation through. The outcome is not clear about an implementation strategy and has not yet developed a critical route to advance towards accomplishment.

In terms of **stakeholder's engagement**, the Project is highly appreciated and recognized by beneficiaries at all levels. Activities were conducted with reasonable degrees of appropriation and empowerment at the central and local levels. Success at NP level is determined by NP's absorption capacity and consolidation level. Priority provided by the top management and head of NP is determinant in all NPs, implementation was reported to improve in some cases such as BS and BBS after new head of NP assumed.

The Project was able to mobilize a wide range of actors in national and local governments, as well as communities and NGOs, but it was less active with the private sector with the exception of Bukit Barisan Selatan where partnerships are reported with Indosat, Telkomsel, and Pertamina. However, it was commented often that intensity of partnership building and inter-institutional coordination activities are perceived to have decreased over time.

Some of the outputs delivered by the Project, such as training curricula, monitoring methodologies and operational guidelines were legalized and formally adopted by national authorities. By formalizing the adoption of these tools and further endorsement of its implementation, the government demonstrates positive engagement.

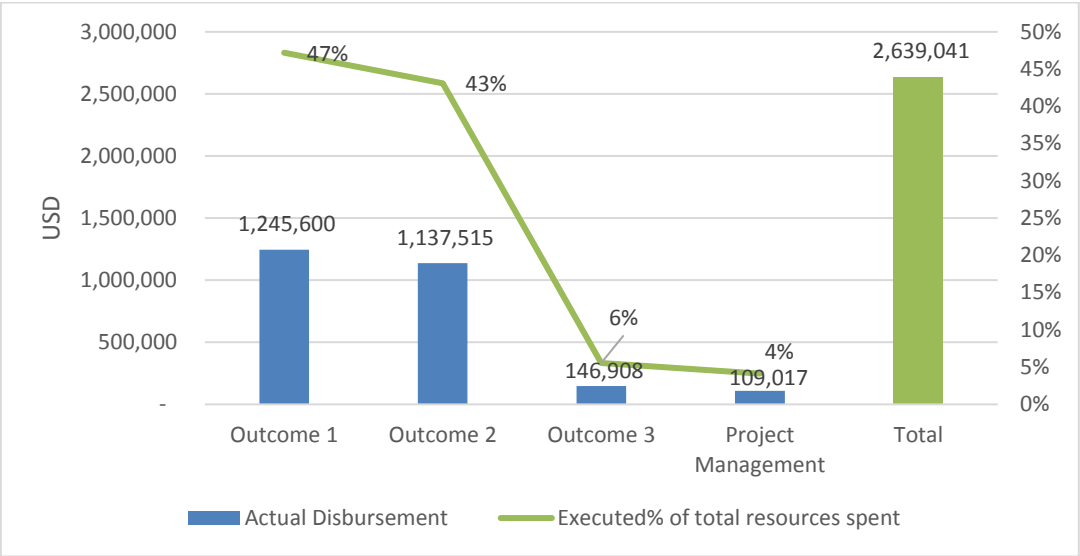
With regards to **communications**, the Project invested in a wide array of printing material, especially capacity building related publications. Even though there is no specific output or outcome associated, advocacy and strategic communications is an integral part of project implementation which is not sufficiently reflected in budget and staff allocation. STP does not have a clear positioning at the project sites where stakeholders recognize implementing partners clearly but cannot differentiate their support with STP's.

In terms of **monitoring and evaluation** the Project has followed the different milestones and monitoring and evaluation tools established in the PRODOC i.e. Project Results/Logical framework, Annual Workplan and Budget, M & E Plan, Capacity Development & METT scorecards. Supported by UNDP, the Project has executed several key processes such as the Inception Workshop, Annual Progress Reports (APRs)/PIR reports, Quarterly Progress Reports for UNDP, and holds regular meetings of the Project Board. The Project Board meetings served as the venue for monitoring progress of activities, formulate corrective actions and deciding on measures proposed by the PMU. Greater effort should be placed into integrating Outcome 3 in the M&E system, since it appears to be somehow independent from the PMU.

### **3.3.1 Financial Execution**

The original GEF budget for the Project as stated in the PRODOC is USD 9 million for the 6 years implementation period. Up to first quarter 2019, USD 2.6 million have been executed, equivalent to 29% of the total available resources. Almost 47% of these resources (USD 1.24 million) have been allocated to Outcome 1; 43% (USD 1.13 million) to Outcome 2 and 6% for Outcome 3 (USD 146,908) (Figure 1).

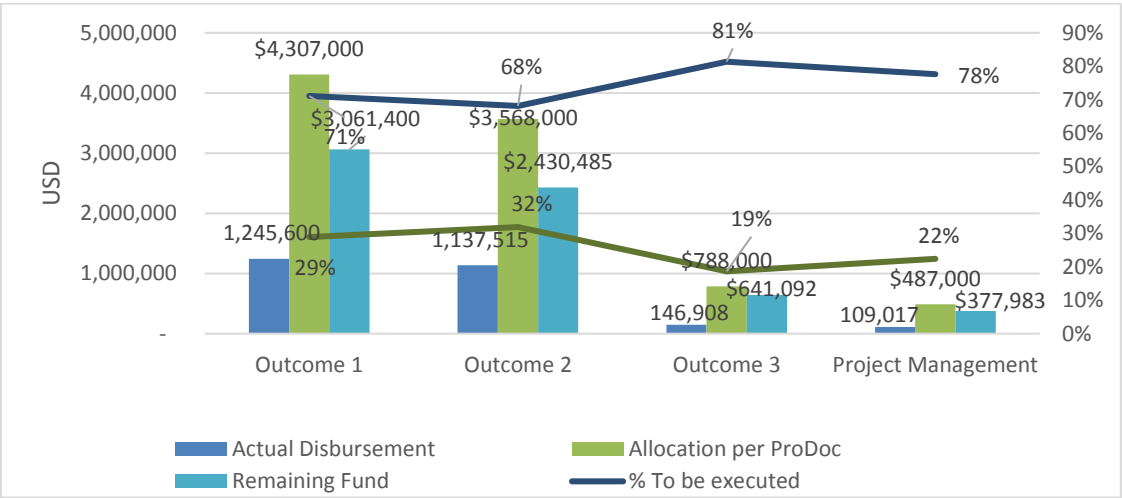
Figure 1 Budgetary Execution by Outcome



Source: Combined Delivery Report, 2017, 2018 and 2019

In relation to the resources executed from the total planned in the PRODOC, Figure 2 shows that in all cases 32% execution has not been exceeded. This low execution rate is associated with the delays in submitting reports and deliverables of FFI and ZSL, affecting overall execution. With only 19% so far, there is a risk that Outcome 3 would not be able to execute all available resources.

Figure 2 % Actual Disbursement and % to be Executed by Outcome

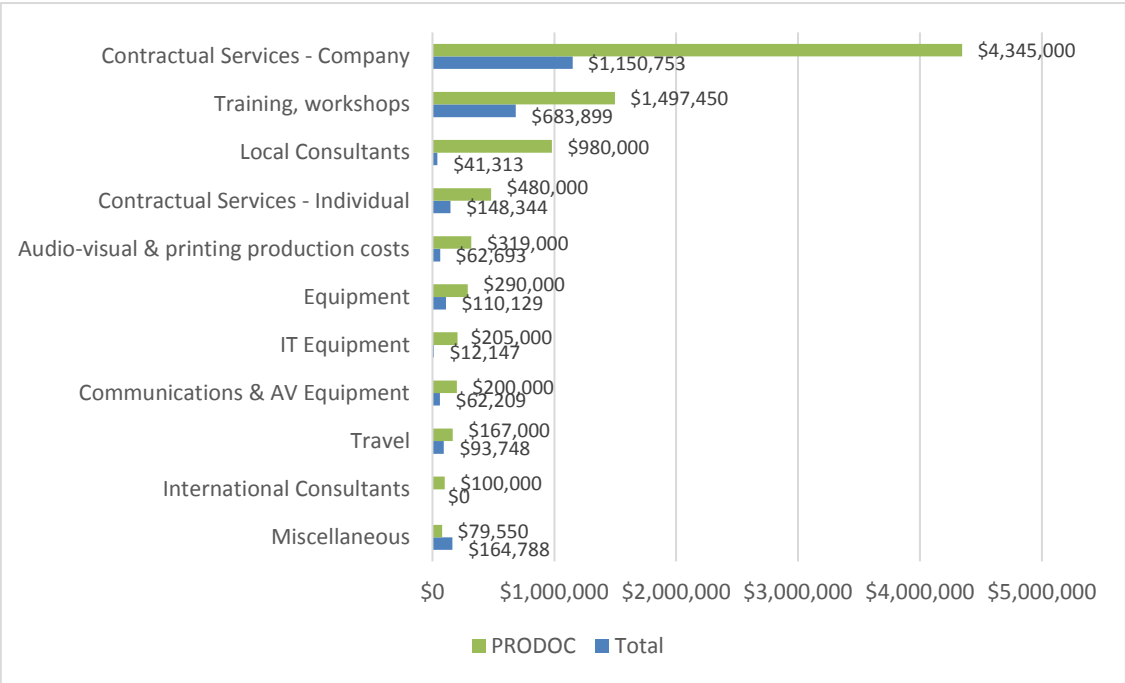


Source: Combined Delivery Report, 2017, 2018 and 2019; Prodoc, 2015.

In relation to budget execution by type of expenditure, it is evident from Figure 2 that at mid-term, there are still significant gaps in execution in different expenditure categories. Almost

50% of the budget has been allocated to the three NGO partners, but only one third of those resources have been executed so far. The second most important category is training workshops, which seems to be on track. The third most important with almost 1 million is the one with the lowest execution, so far only 4% has been executed (Figure 3).

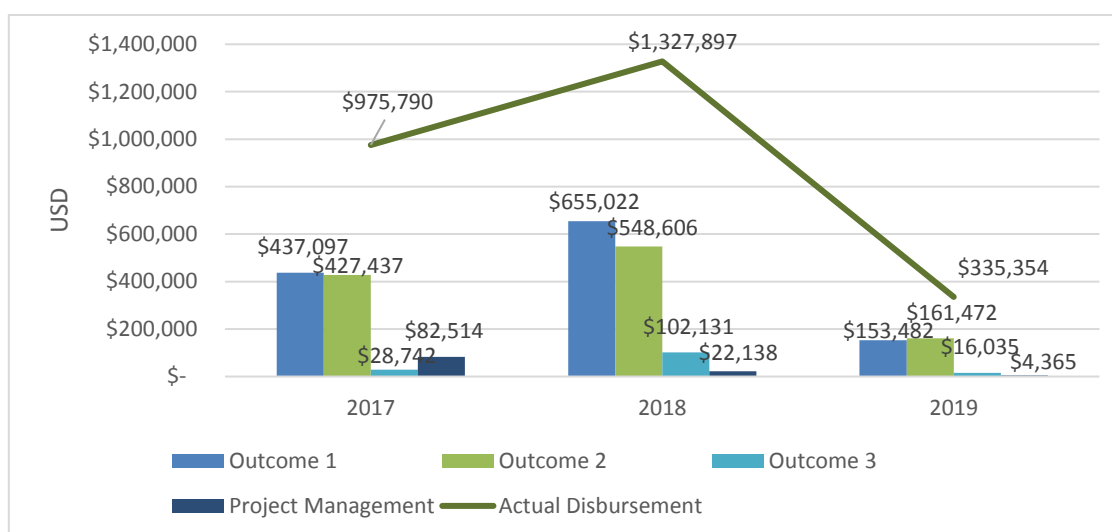
Figure 3 Budgetary Execution by Type of Expenditure



Source: Combined Delivery Report, 2017, 2018 and 2019; PRODOC, 2015.

The budgetary execution at the beginning of the Project (2017) was USD 975,000, almost 37% of the total resources executed to date. In the second year, the execution increased to 50%. **Figure 4** shows that once the project began to consolidate, budget execution also increased.

Figure 4 Time Line of Budget Execution by Outcome



Source: UNDP Expenditure Report, 2018

According to Prodoc, the committed co-financing was USD 53,300,300. However, it is noted as relevant that the final commitment of the partners increased to USD 82,414,779. To date, according to the information provided, the current disbursement is USD 60,339,955, with the Government being the institution with the highest percentage of resources delivered (77%) (Table 4).

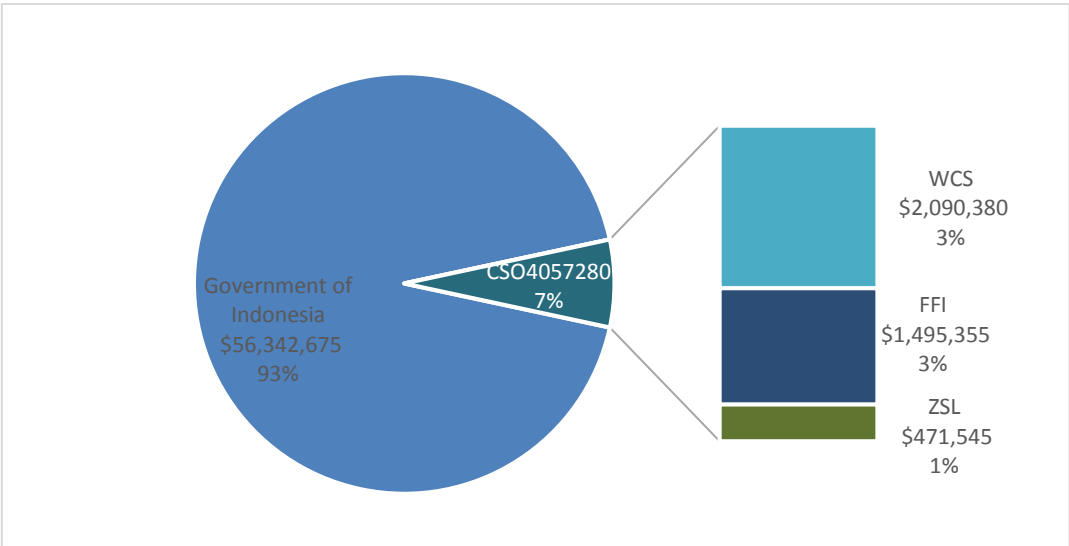
**Table 4 Current disbursement of Cofinancing vs. Commitment**

Stakeholders	Allocation based on Prodoc (A)	Final Commitment (B)	Difference (A-B)	Actual Disbursement	% Actual Commitment
Government of Indonesia	\$44,100,000	\$72,945,295	\$28,845,295	\$56,342,675	77.24%
WCS	\$5,700,000	\$3,049,226		\$2,090,380	68.55%
FFI		\$2,371,950		\$1,495,355	63.04%
ZSL		\$548,308		\$471,545	86%
Total CSO		\$5,969,484	\$269,484	\$4,057,280	67.97%
Private	\$3,500,000	\$3,500,000	\$ -	N/A	N/A
Total Gov + CSO + Private	\$53,300,000	\$82,414,779	\$29,114,779	\$60,399,955	73%

Source: Co-financing Matrix, 2019

Out of the total co-financing amounts, almost 93% comes from the Government of Indonesia (93%), while the remaining 7% corresponding to the co-financing of the CSOs, divided as follows: 3% WCS, 3% FFI and 1% ZSL (Figure 5). No details have been presented to identify how these resources were divided between outcomes, outputs and activities.

**Figure 5 Co-financing contributions by institution**



Source: PowerPoint Presentation Meeting of April 29 and 30; Match Fund Monitoring Report, March 2019

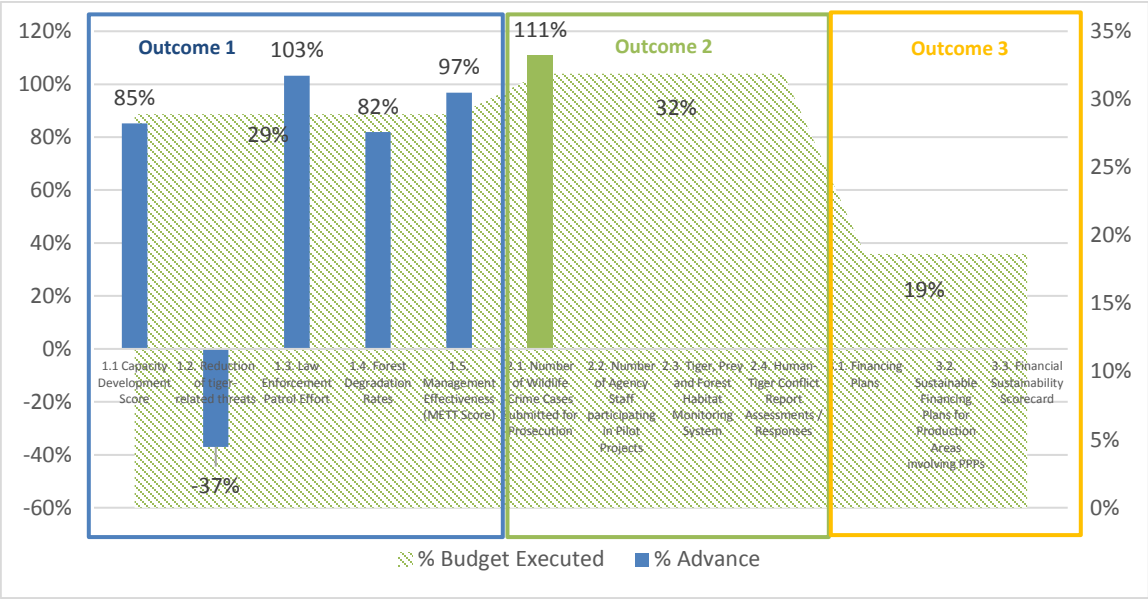
3.4 Effectiveness and Efficiency

The effectiveness refers to the progress in the fulfilment of the activities planned in relation to its percentage of progress towards the fulfilment of the different milestones and key processes. Figure 6 relates to actual investments with progress in achieving indicators at Output levels. Despite the fact that indicators 1.4, 2.2, 2.3, 2.4, 3.1, 3.2 and 3.3 have not been assessed yet, progress achieved by Outcome 1 is evident; three out of its 5 indicators have reached more than 85% and one of them even exceeded the target. In the case of Outcome 2, the only indicator that has been updated (2.1) has reached the expected end of project target. It is important to mention that in certain cases progress is not reported because the indicator is supposed to be measured by the end of the project.

It is striking that indicator 1.2 - reduction of tiger-related threats, present a decrease of (-37%) from its baseline, that is the indicator shows that the threats have increased, despite the fact that the Outcome has invested 29% of available resources. This is explained because the Project investments allowed to improve NPs control, which allowed to identify several illegal activities that were not previously evidenced by the lack of patrolling.

In the case of Outcome 3, only 19% of planned budget have been executed, however, its effectiveness cannot be evidenced since progress on indicators has not been reported yet.

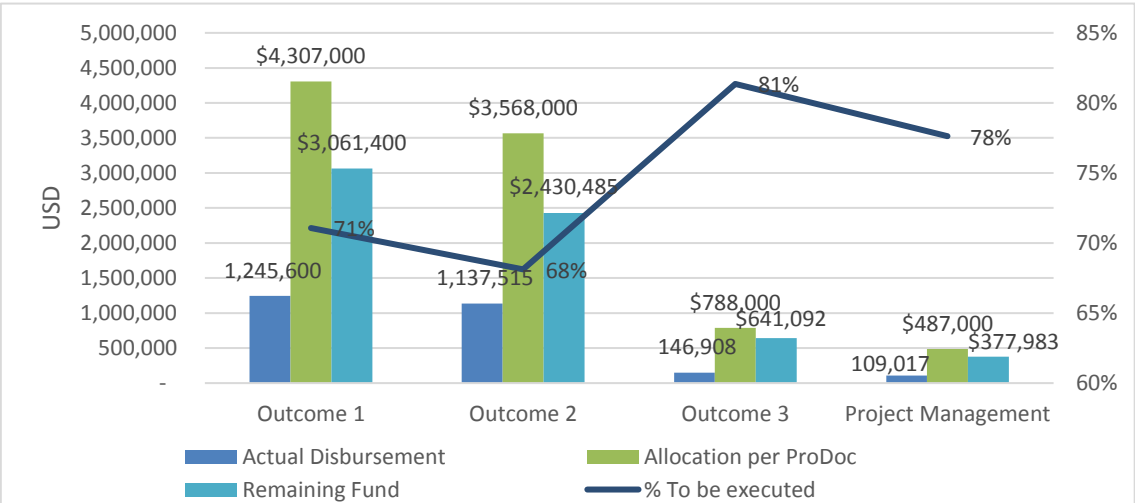
Figure 6 Budgetary Execution vs % Outcome Indicator Advance



Source: Combined Delivery Report, 2017, 208 and 2019 & Progress Annual Report, 2018

Form the start of the Project, it was not able to achieve the yearly budgets as presented in Figure 7, the absorption capacity varied between 68% to 81% of yearly budgets. Outcome 2 proved to be more efficient in the use of resources, with the highest percentage of budget execution to date. In each landscape the implementing partners have appropriate capacity to manage different projects simultaneously, benefiting the Project due to economies of scale and optimized synergies. Without their infrastructure, specific experience in all landscapes and technical capacity, such an ambitious Project would probably not be possible to realize.

Figure 7 Performance Gap by Outcome

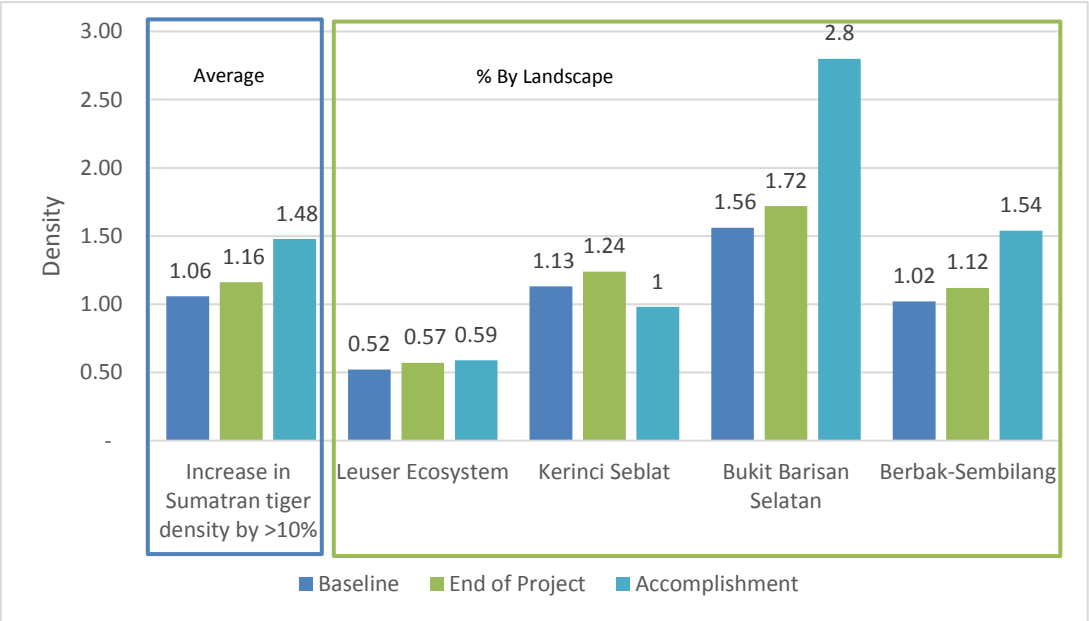


Source: Combined Delivery Report, 2017, 208 and 2019 & Prodoc, 2017

3.5 Results and Impact

The Project has achieved and even exceeded impact in relation to the most important Project indicator which is the “increase in Sumatran tiger density\* by >10% in core area in 4 target landscapes”. The Project target was exceeded by 27%, which means that the tiger density is over 1.16. The actual value of 1.48 result should be considered remarkable (Figure 8), considering that the project is in the mid of its implementation. The increased Sumatran tiger density justifies the project intervention so far.

Figure 8 Level of progress in the impact indicator of the Project



Source: PIR Project, 2018 & Project Progress, 2019

The Project is widely recognized as flagship project for endangered species in Indonesia and the region, where it has tested an interesting model for landscape conservation. STP created a momentum for tiger population recovery and technology based endangered species conservation, the Project was able to increase state’s ownership towards endangered species conservation through mobilization and awareness of new stakeholders such as local governments, judicial system, police, airport authority, KSDA, etc.

It contributes to alignment and enhanced coordination between MoEF, NPs other projects and stakeholders. As an example, the Project achieved a standardized methodological



approach for data collection & analysis for monitoring and information systems; this officialized tool ensures consistency of the resulting data, information gathered is now shared to national and NP authorities. This has helped to improve the quality of data and information gathered from a scientific study using a standardized SMART Patrol protocol.

Outcomes 1 & 2 are adding value to consolidated NPs such as Karinci, while facilitating foundational tools such as the first management plan and increased managerial capacities in Berbak Sembilang. The critical contribution from the Project is the enhanced national park protection through routine and intensive forest patrol, by using standardized methods which ensure reliability of collected data and the consistency of the resulting data management. The project implemented the SMART RBM in the protected area management system in Indonesia which has improved the performance in the preservation of key features in the respective national parks, including the tiger.

The Project promotes technology transfer & knowledge management to increase human and institutional capacities at national, community and local levels. It increased community wellbeing by reducing stress and economic losses due to human wildlife conflict and facilitated livelihood opportunities to decrease pressure to natural resources and expanded innovative schemes such as the forest village and REDD + schemes.

### **3.6 Sustainability**

In terms of Project's intervention in landscapes, sustainability perspective appears to be positive in the short and midterm, as all implementing partners confirmed their commitment to maintain cooperation and site level support once the projects ends. Since they operate with multiple funding sources, there is an expectation that new projects, donors and funding sources will take the lead to ensure mid to long term sustainability. Among them, the GEF-6 Combatting Illegal Wild Trade project/Global Wildlife Program will target similar NPs offering synergies and sustainability opportunities.

Another opportunity where the Project could attract donor's attention consists of providing support towards the unified management of BBS, Kerinci, and Leuser as a World Heritage Site (Tropical Rainforest Heritage of Sumatra). This site has been placed on the danger list to help overcome threats posed by poaching, illegal logging, agricultural encroachment, and plans to build roads through the site. Progress achieved by the Project should be highlighted

as a clear indication of improving conditions to support the decision to remove this site from the danger list.

The most important strategy towards sustainability of key practices such as the SMART patrol, would be mainstreaming these practices within the Unit Management routine budgets, and this is precisely where Outcome 3 should be targeting its financing plans and mechanisms. Increased budgets for NPs are already generating additional resources for NPs, as it was reported by BAPPENAS, this would also be instrumental for ensuring the necessary staff and resources to maintain basic targets and ensure the continuity of key processes such as SMART patrol, monitoring, and human – wildlife conflict. To achieve this, the Project should pursue political support at two different levels. First targeting the top management at the NP level through the National Project Manager and the PMU, to feed the NP planning and budgeting process with technical information and actively providing justification to mobilize additional funding to maintain these key practices. At the national level, BAPPENAS should continue to build the economic case for NPs and actively promote mainstreaming protected areas and biodiversity conservation as a sound public investment opportunities in national planning and budgeting processes.

However, Financial sustainability is still the highest risk for sustainability, the Project should concentrate on offering a diversified set of financial mechanisms, funding sources and enabling environment towards overcoming the existing barriers. Special attention should be placed in terms of improving the absorption capacity of NPs as well as financial planning and resource allocation capacities, to ensure that additional available funding will be used effectively to ensure Project's sustainability. This is a key role Outcome 3 could lead as part of the Project's exit strategy.

The Project achieved an important degree of appropriation in key areas of intervention, expressed in the official recognition of some of its outputs, such as training modules and curricula, the SMART RBM, monitoring system, management effectiveness tracking tool, etc. As this are now mandatory tools endorsed by the MoEF, the institutional sustainability of these achievements presents a reasonable expectation of success. However, NPs are still dependent on partners to process and analyze data; use of information systems is not yet clear in all sites and would need a structured strategy to overcome barriers. In the remaining period of implementation, the Project should accelerate the transfer of knowledge and capacities to ensure that the MoEF will be able to fully use and apply these tools.

The project must start developing an exit strategy as soon as possible, involving all relevant stakeholders at site and national level. Considering the uncertainty regarding the long-term operations of INGO's, it should consider at least two different scenarios: with or without MoU.

#### **4 CONCLUSIONS**

The Project is highly relevant for Indonesia - it is aligned with national policies and supports the implementation of the National Tiger Recovery Plan. It is widely recognized as flagship project for endangered species in Indonesia and the region, it has tested an interesting model for landscape conservation. STP created a momentum for tiger population recovery and technology based endangered species conservation, contributing to alignment and enhanced coordination between MoEF, NPs, other projects and stakeholders

The design is ambitious and complex, its scope reflects an integral coverage of major barriers to endangered wildlife conservation, such as NP's governance, capacity building, technology transfer, management effectiveness and financial sustainability. The Project involves a vast geographical area, multiple stakeholders, and NPs in different stages of consolidation.

In terms of risks and initial assumptions, the design could not anticipate risks such as renewal of INGO's MoU, which is a central issue for performance in all landscapes. Considering the scope of the Project, design should better reflect the absorption capacity of implementing partner and NPs, since not all were in the same consolidation stage. Among other risks, relative high turnover of NP staff and authorities proved to be determinant to ensure Project's success in almost all areas.

Implementation was organized through one PMU at central level and three PIU's at the landscape level. At the landscape level, three INGO's were selected to execute project on-the-ground based on their experience and previous engagement with the NPs. The PMU is perceived as supportive and experienced, it combines specific technical profiles with managerial and coordination capacities. The implementation partners proved to be an adequate strategy in terms of maximizing synergies, ensuring a differentiated approach and involving other local actors in the process.

Financial execution has reached only 29% of the total grant, performing lower than expected at the midpoint, annual budgets execution varied from 68% to 81%. This low execution rate is not necessarily associated with output implementation at the landscape level, but delays from FFI and ZSL in submitting reports and deliverables, affecting overall execution. partners maintain relatively large operations and different projects, allowing scale of economies and optimizing synergies.

With regards to Outcomes 1 & 2, the project is on track to achieve most of its intended results, presenting relative low risk. However, performance is not uniform in all sites, progress is more evident in Bukit Barisan Selatan and Kerinci Seblat, presenting lower risk and higher probability of achieving EoP targets. On the other side, Berbak Sembilang may probably face more difficulties to achieve its intended targets, considering the NP's absorption capacity and the current level of execution as time constrains would leave limited space to assimilate and accomplish objectives.

Limited progress is found in Outcome 3 - Sustainable financing for biodiversity management, presenting a reasonable risk of not accomplishment. The role of the PMU, although formally in charge of all components, is less evident in the case of Outcome 3. After a late start up process, the new team is trying to recuperate valuable time lost during the first period of implementation. Assuming the Project manages to design different financial plans envisioned for this outcome, there would be very limited time left for implementation.

Project demonstrated flexibility to attend emerging priorities and trends on a case by case approach, such as the case of including elephants in human – wildlife conflict management in BBS. Each NP has a different reality and received a customized approach; implementing partners responded on a case by case basis and proved to be a cost-effective implementation arrangement. Despite the barrier posed by the absence of an MoU with the Project implementing partners, they were able to adapt and find ways to deliver. This is a central issue for the project and its likely to pose reasonable risk in output delivery until the end of the project.

In terms of stakeholder's engagement, the Project is highly appreciated and recognized by beneficiaries at all levels. It was able to mobilize a wide range of actors in national and local governments, as well as communities and NGOs, however no participation from the private sector has been reported. Activities were conducted with reasonable degrees of

appropriation and empowerment at the central and local levels. Success at NP level is determined by NP's absorption capacity and consolidation level. Priority provided by the top management and head of NP is determinant in all NPs.

In terms of impact, the increased Sumatran tiger density justifies the project intervention. The Project has achieved and even exceeded impact in relation to the most important Project indicator which is the "increase in Sumatran tiger density\* by >10% in core area in 4 target landscapes". The actual density value of 1.48 should be considered remarkable, considering the project is in the mid of its implementation.

The Project promotes technology transfer & knowledge management to increase individual and institutional capacities at national, community and local levels. It contributes towards increased community, wellbeing by reducing stress and economic losses due to human wildlife conflict and facilitated livelihood opportunities to decrease pressure on natural resources and expanded innovative schemes such as the forest village and REDD + schemes.

In terms of sustainability, perspectives appear to be positive as implementing partners confirmed their commitment to maintain cooperation and site level and increased budgets for NPs are expected. The Project achieved the official recognition of some of its key outputs, which are now mandatory tools endorsed by the MoEF. However, financial sustainability is still the highest risk for sustainability, the Project should concentrate on offering a diversified set of financial mechanisms, funding sources and enabling environment towards overcoming the existing barriers.

## 5 RECOMMENDATIONS

No	General recommendations	Responsible
1	Consider proactive alternatives to complement implementing partner's delivery at the landscape level, assess pending disbursements and investments paralyzed by the absence of an MoU. If no progress could be ensured with the current implementation arrangement, Project should consider using UNDP or national NGOs to assume delivery of pending outcomes.	PMU, UNDP, MoEF
2	At the site level there is a need to encourage a more fluent flow of information between implementing partners, NP and other authorities. PIU should have an enhanced coordination role in all	PMU, UNDP, MoEF

	landscapes, to ensure an integrated approach. NPs should be encouraged to have a greater participation and appropriation of different project activities, especially those outside of NP's boundaries such as human-wildlife conflict.	
3	It should not be assumed that all stakeholders are sharing the same level of understanding and awareness about the Project, especially because of the turnover of staff and authorities. Most are not able to differentiate the Project with the usual interventions of implementing partners at landscape level. Therefore, the National Project Manager should proactively seek direct contact and meet with NP authorities on a regular basis to continuously evaluate progress, demonstrate adaptive management capacity and mobilize key partners and stakeholders towards developing specific landscape exit strategies.	PMU, MoEF
4	New capacities, tools and operational guidelines delivered by the Project need an enabling environment and appropriate conditions to be absorbed by NPs. The PMU should be encouraged to play a political role to support implementing partners and PIU at the landscape level, providing a ground for increasing visibility and appropriation of newly acquired management practices and technologies, as well as engaging NP authorities to incorporate them within their ordinary planning and budgeting. There is a need to increase political commitment to accelerate the adoption of these practices as well as to ensure that partners are encouraged to transfer necessary skills and capacities to ensure sustainability and appropriation.	PMU, MoEF
5	There is a need to clarify the role of PMU with regards to Outcome 3. For the remaining period of implementation, Outcome 3 should be closely monitored by PMU to avoid implementing in isolation and to better reflect barriers and opportunities at the landscape level.	PMU, MoEF, BAPPENAS, UNDP.
6	Outcome 3 needs a differentiated implementation plan and strategy to attend STP separately from EPASS. Project implementation should have its own personality and build a customized response based on the specific characteristics and challenges of the Project's landscapes, in order to move faster and concentrate on delivering expected outputs.	BAPPENAS, PMU
7	Gender mainstreaming should be actively encouraged and pursued at site and systemic level. Gender plan must be transferred to PIU and implementing partners, as specific guidelines and tools should be developed to mainstream gender across output delivery.	PMU, UNDP, MoEF
8	For the remaining period, the project must concentrate on building an exit strategy prioritizing capacity building efforts, especially in areas where there is still dependency from partners. Knowledge and technology transfer must be accelerated, NPs should have the capacity to process and analyze data, as well as to use it for improving decision making.	PMU, UNDP, MoEF

No	Recommendations Outcome 1	Responsible
9	The exit strategy should propose guidelines and basic standards for capacity building in general, as well as differentiated case by case approach for each project site. It should provide concrete actions in areas where there is still dependency from partners.	PMU, UNDP, MoEF
10	Actively pursue participation and appropriation of NPs in implementation of different activities. Promote joint teams and define clear counterparts who will take the lead after the project ends.	PMU, UNDP, MoEF
11	Support NPs to justify and budget additional funding and staff to undertake patrolling and ensure that intensity and quality will be maintained after the project ends.	PMU, UNDP, MoEF
12	Management plans should have a clear financial plan and gap assessments; project should encourage proper financial planning at the site level to complement management tools.	Project Team UNDP DENR-BMB, NCIP
13	Targets for Output 1.3 have been achieved and even exceeded. In light of what has been discussed during the inception workshop, EoP target for Outcome 1.3 has been revised once and has already exceeded the target. Should consider revising the EoP target one more time.	PMU, UNDP, MoEF

No	Recommendations Outcome 2	Responsible
14	NPs and KSDAs should be encouraged to assume a greater participation in human-wildlife conflict. This remaining period of implementation should focus on joint implementation as well as formal designation of NP counterparts and teams.	PMU, UNDP, MoEF
15	Wildlife crime intelligence gathered by partners would need greater mainstreaming and complementary support from governmental agencies. Joint collaboration and additional support should be encouraged in terms of money laundering and digital crime, ideally officialized through MoU's and political endorsements.	PMU, UNDP, MoEF
16	Follow up workshops and meetings should be undertaken with actors that were gathered originally in 2017, in the context of the 2 multi-agency partnerships (NP, SPORC, Poldo and BKSDA) operating in northern and southern Sumatra, in order to - evaluate the results achieved so far, envision future challenges to be addressed by the Project and renew stakeholder's commitment.	PMU, UNDP, MoEF
17	Additional resources should be planned for outreach, strategic communications and advocacy, as a means to influence stakeholders in policy and decision making. Coordination with other Projects such as the IWT and EPASS could achieve scale of economies and enhanced impact.	PMU, UNDP, MoEF
18	There is a need to develop and highlight a business case about human-wildlife conflict, assessing the cost-benefit of these	PMU, UNDP, MoEF

	investments as interesting opportunities for sound state investments.	
19	Indicator 2.2 should be revised to better reflect current situation, as it should not measure exclusively agency staff involvement but also landscape level representation and real support towards sustainable livelihood opportunities. Instead it should pursue that at least one innovative forest and wildlife intervention should be in place in each landscape.	PMU, UNDP, MoEF
20	Considering the limited time available for the remaining period, partners should urgently define the innovative practice to be implemented in Bukit Barisan Selatan, Berbak Sembilang and Gunung Leuser. Although FFI's village forest model is highly relevant and innovative, it seems there will not be enough time to fully undertake such complex model, unless there is an agreement with partners to ensure further implementation and sustainability after Project ends. In this case, FFI could provide support to replicate the village forest model in other landscapes instead of choosing an entirely new intervention	PMU, UNDP, MoEF

No	Recommendations Outcome 3	Responsible
21	This Outcome urgently needs specific and differentiated implementation strategy and action plan for the STP. The outcome must have a comprehensive step by step approach to guide the team towards output delivery and ensure alignment to support and mainstream sustainable finance in the first two project outcomes.	BAPPENAS, PMU, UNDP
22	The Outcome must reorient implementation towards becoming a resource center for mainstreaming sustainable finance across the overall intervention. The transversal spirit of this Outcome should be highlighted and appropriately landed to landscape needs. Financial sustainability and innovative strategies such as the Human Wildlife Conflict Fund should be mainstreamed into Component 3.	PMU, UNDP, MoEF
23	The Project should consider diversifying risk. As of now, it seems that success will be highly dependent on one single consultancy/team focusing exclusively on one sustainable financing mechanism. This strategy is not consistent with international practice and increases the risk of non-accomplishment. Instead, the Project should envision a portfolio approach, proposing a diversified set of funding sources, self-generated revenues and national level mechanisms.	BAPPENAS, PMU, UNDP
24	Considering the limited time available, the Project needs additional technical support and enhanced capacities to analyze both national as well as international best practices and mobilize the outcome towards successful implementation. If this specific expertise is not available in Indonesia, international consultants should be considered as well as knowledge transfer within UNDP network using programs such as BIOFIN.	BAPPENAS, PMU, UNDP



25	The project should consider developing business case in each area presenting financial and economic analysis to strengthen negotiation capacity and increase political awareness, to increase budget allocations and guide enabling policies and decision making.	BAPPENAS, PMU, UNDP
26	Consider revising indicator 3.2 to cope with new national priorities and attend relevant niches. This outcome could be redirected to address sustainability schemes oriented to community-based interventions, such as SMART Patrolling, Human – Wildlife conflict or innovative sustainable livelihood practices.	BAPPENAS, PMU, UNDP

## 6 ANNEX

### Annex 1: Terms of Reference (ToRs)

#### UNDP-GEF Midterm Review Terms of Reference

##### 1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes (PIMS 5363) implemented through the Ministry of Environment and Forestry (MoEF), which is to be undertaken in 6 years. The project started on the 24 February

2016 and is in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document Guidance for Conducting Midterm

Reviews of UNDP-Supported, GEF-Financed Projects

([http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance\\_Midterm%20Review%20EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20EN_2014.pdf)).

##### 2. PROJECT BACKGROUND INFORMATION

Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes or Sumatran Tiger project was designed to enhance biodiversity conservation in priority landscapes in Sumatra through adoption of good management practices in protected areas and adjacent production landscapes, using Sumatran tiger recovery as a key indicator of success. This will be accomplished through supporting implementation of the National Tiger Recovery Plan, which sets out the key elements to protect forests and wildlife in Sumatra.

Sumatra is the sixth largest island in the world, characterized by the Bukit Barisan mountain range and globally significant tropical montane, sub montane, lowland, fresh water and peat swamp forests as well as mangroves and rivers. The island's fauna includes 201 mammal and 580 bird species, with endemic and critically endangered species such as the Sumatran orangutan and Sumatran rhinoceros, and subspecies such as the Sumatran elephant.

The Sumatran tiger *Panthera tigris sumatrae* is Indonesia's last remaining tiger subspecies with an estimated population of 400-500 adults. Its conservation areas include 13 Important Bird Areas, two Ramsar sites (Berbak and Sembilang National Parks) and the UNESCO WHC Tropical Rainforest Heritage of Sumatra sites (the National Parks of Gunung Leuser, Kerinci Seblat and Bukit Barisan Selatan).

The current project will cover all five of these globally significant sites and surrounding landscapes. Across Sumatra, the principal threat to biodiversity is habitat loss and forest degradation, with forest cover shrinking from 25.3m hectares in 1985 to 12.8m hectares in 2009, with clearance driven by commercial oil palm and timber fibre plantations, followed by subsistence agriculture, while the main driver of forest degradation has been commercial logging.

The project will focus on the national parks of Bukit Barisan Selatan (0.36 million ha), Kerinci Seblat (1.39 million ha), Gunung Leuser (1.10 million ha), Berbak (0.14 million ha) and Sembilang (0.20 million ha). Several of these national parks connect to other biodiversity-rich conservation areas; Batang Hari Protection Forest (0.33 million ha) adjoining Kerinci Seblat, and the Ulu Masen ecosystem (0.75 million ha) connecting to the wider Leuser ecosystem (1.25 million ha; which encircles Gunung Leuser National Park).

The project aims to address a range of institutional, governance and financial issues that prevent the project objective from being achieved. In doing so, it will create a model biodiversity management system that is operational across the target landscapes, can be scaled-up across Sumatra, and strengthen the national PA system.

The total GEF investment of US\$9,000,000 for this project will leverage a minimum of US\$53.45 million in cofinancing, a highly cost-effective ratio of 5.94 with additional associated financing inputs anticipated during project implementation. The overall GEF investment in strengthening management effectiveness for the targeted National Parks in Sumatra (3,185,358 ha) will average around US\$ 0.56 per hectare per year, a small fraction of the estimated value of the ecosystem services provided.

Ministry of Environment and Forestry will lead project implementation in partnership with UNDP and national and international NGOs, such as WCS, FFI, ZSL, WWF, FHK to strengthen government efforts in conserving country rich biodiversity.

### **3. OBJECTIVES OF THE MTR**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

### **4. MTR APPROACH & METHODOLOGY** results. The MTR will also review the project's strategy, its risks to sustainability.

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan,

UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>1</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.<sup>2</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Director General of Biodiversity Conservation, Ministry of Environment and Forestry, National Project Director (NPD) of SUMATRAN TIGER Project, Directorate of Biodiversity Conservation, Ministry of Environment and Forestry, Directorate of Water and Forestry, BAPPENAS, Head of Gunung Leuser National Park, Medan, North Sumatera, Head of Kerinci Seblat National Park, Sungai Penuh, Kerinci, Head of Berbak Sembilang National Park, Jambi, Head of Bukit Barisan Selatan National Park, Lampung, Operation Focal Point of GEF Indonesia, Ministry of Environment and Forestry, Field Coordinator from each of Project Implementation Unit (PIU) of SUMATRAN TIGER Project, Coordinator of Forum HarimauKita, Director of Fauna and Flora International, Director of Zoological Society of London, Director of Wildlife Conservation Society (WCS); executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to specific locations in Berbak Sembilang and Kerinci Seblat (to be confirmed), including the following project sites: Gunung Leuser National Park, Kerinci Seblat National Park, Berbak Sembilang National Park and Bukit Barisan Selatan National Park.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

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<sup>1</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

## 5. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for extended descriptions.

### i. **Project Strategy**

#### Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

#### Results Framework/Log frame:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sexdisaggregated indicators and indicators that capture development benefits.

<sup>2</sup> For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

## ii. Progress Towards Results

### Progress Towards Outcomes Analysis:

- Review the log frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).
- 

**Table. Progress Towards Results Matrix (Achievement of outcomes against End- of project Targets)**

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-ofproject Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification or Rating
<b>Objective :</b>	Indicator (if applicable) :							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
	Etc.							
<b>Etc.</b>								

### **Indicator Assessment Key**

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

### iii. Project Implementation and Adaptive Management

#### Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear?
- Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

#### Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

#### Finance and co-finance:

- Consider the financial management of the project, with specific reference to the costeffectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on cofinancing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing

partners regularly in order to align financing priorities and annual work plans?

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<sup>3</sup> Populate with data from the Logframe and scorecards  
<sup>4</sup> Populate with data from the Project Document  
<sup>5</sup> If available  
<sup>6</sup> Colour code this column only  
<sup>7</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU



#### Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

#### Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

#### Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

#### Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there

- a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

#### iv. **Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

##### Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

##### Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

##### Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

##### Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

## Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.<sup>8</sup>

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-financed Projects for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

## Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

**Table. MTR Ratings & Achievement Summary Table for Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes**

<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome Achievement Rating: (rate 6 pt. scale) 1	
	Outcome Achievement Rating: (rate 6 pt. scale) 2	
	Outcome Achievement Rating: (rate 6 pt. scale) 3	
	Etc.	

<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## 6. TIMEFRAME

The total duration of the MTR will be approximately 40 days starting (06 February 2019), and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
(14 December 2018)	Application closes
(17 December 2018 – 17 January 2019)	Select MTR Team
(28 January 2019)	Prep the MTR Team (handover of Project Documents)
(29 January - 1 February 2019) 4 days (recommended: 2-4)	Document review and preparing MTR Inception Report
(4 February – 18 February 2019) 10 days	Finalization and Validation of MTR Inception Report- latest start of MTR mission
(4 – 22 March 2019) 14 days (r: 7-15)	MTR mission: stakeholder meetings, interviews, field visits
(25-26 March 2019)	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
(27 March – 2 April 2019) (r: 5-10) 5 days	Preparing draft report
(4 – 8 April 2019) (r: 1-2) 3 days (	Incorporating audit trail from feedback on draft report/Finalization of MTR report
(9 April 2019)	Preparation & Issue of Management Response
(11 April 2019)	(optional) Concluding Stakeholder Workshop (not mandatory for MTR tea

Options for site visits should be provided in the Inception Report.

## 7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	<b>MTR Inception Report</b>	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the mission	MTR team submits to the Commissioning Unit and project management
2	<b>Presentation</b>	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit
3	<b>Draft Final Report</b>	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	<b>Final Report*</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UN comments on draft	Sent to the Commissioning Unit

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

## 8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is *UNDP Indonesia Country Office*.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements *within the country* for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

## 9. TEAM COMPOSITION

A team of 2 (two) independent consultants will conduct the MTR - one team leader (International Consultant) and one team expert (National Consultant), usually from the country of the project.

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

<p>The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas: <b>Position</b></p>	<p><b>General Qualifications and Experience</b></p>
<p>Key Professional Staff</p>	
<p>International Team Leader</p>	<p><b><u>Academic Qualifications:</u></b></p> <p>Master’s degree or higher in the fields related to Environment, Natural resources, or other closely related field from an accredited college or university. (20 points)</p> <p><b><u>Experience:</u></b></p> <ul style="list-style-type: none"> <li>• Recent experience with result-based management and/or evaluation methodologies (15 points);</li> <li>• Experience applying SMART indicators and reconstructing or validating baseline scenarios (10 points);</li> <li>• Competence in adaptive management, as applied to biodiversity conservation;</li> <li>• Experience working in Indonesia, or ASEAN (15 points);</li> <li>• Familiarity with the challenges developing countries face in sustainable natural resource management and biodiversity conservation that includes communities (15 points);</li> <li>• Demonstrated understanding of issues related to gender and biodiversity</li> </ul>
<p>The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas: <b>Position</b></p>	<p><b>General Qualifications and Experience</b></p> <p>conservation and/or community-based conservation/natural resource management; experience in gender sensitive evaluation and analysis (15 points.</p> <ul style="list-style-type: none"> <li>• Experience working with GEF or GEF evaluations, UNDP evaluations or other UN agencies and/or international organizations and/or major donor agencies is an advantage (10 points);</li> <li>• Excellent communication skills;</li> <li>• Demonstrable analytical skills;</li> </ul> <p><b><u>Language:</u></b></p> <p>Excellent written and oral English skills a necessary requirement</p>

National Team Expert	<p><b><u>Academic Qualifications:</u></b></p> <p>Master's degree in the fields related to Environment, Natural resources, or other closely related field from an accredited college or university. (20 points)</p> <p><b><u>Experience:</u></b></p> <ul style="list-style-type: none"> <li>• Minimum 5 years of relevant experience (15 points)</li> <li>• Recent experience with result-based management evaluation methodologies (15 points)</li> <li>• Experience in undertaking evaluations for UNDP or for GEF (10 points)</li> <li>• Experience working in the area of Biodiversity and Natural Resource Management (15 points)</li> <li>• Work experience related specifically to mobilizing investment for Biodiversity and Natural Resource Management projects (15 points)</li> <li>• Excellent communication and analytical skills (10 points);</li> </ul> <p><b><u>Language:</u></b></p> <p>Excellent written and oral English skills a necessary requirement</p>
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## 10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon approval of the final MTR

Inception Report 30% upon submission of the

draft MTR report 60%

upon finalization of the MTR report

## 11. APPLICATION PROCESS

### **Recommended Presentation of Proposal:**

- Letter of Confirmation of Interest and Availability** using the template<sup>10</sup> provided by UNDP;
- CV and a Personal History Form** (P11 form<sup>11</sup>);
- Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)

<sup>9</sup> Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

<sup>10</sup> <https://intranet.undp.org/unit/bom/psa/Support%20documents%20on%20IC%20Guidelines/Template%20of%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

<sup>11</sup> [http://www.undp.org/content/dam/undp/library/corporate/Careers/P11\\_Personal\\_history\\_form.doc](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)

- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted by indicating the following reference “Consultant for Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes Midterm Review” by email at the following address ONLY: (bids.id@undp.org) by **(23:59 PM GMT +7 on 14 December 2018)**. Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method

– where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.



## **ToR ANNEX A: List of Documents to be reviewed by the MTR Team**

1. PIF
  2. UNDP Initiation Plan
  3. UNDP Project Document
  4. UNDP Environmental and Social Screening results
  5. Project Inception Report
  6. All Project Implementation Reports (PIR's)
  7. Quarterly progress reports and work plans of the various implementation task teams
  8. Audit reports
  9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm METT and UNDP's Capacity Development Scorecard
  10. Oversight mission reports
  11. All monitoring reports prepared by the project
  12. Financial and Administration guidelines used by Project Team
- The following documents will also be available:
13. Project operational guidelines, manuals and systems
  14. UNDP country/countries programme document(s)
  15. Minutes of the Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
  16. Project site location maps

## ToR ANNEX B: Guidelines on Contents for the Midterm Review Report<sup>12</sup>

- i.* Basic Report Information (*for opening page or title page*)
  - Title of UNDP supported GEF financed project
  - UNDP PIMS# and GEF project ID#
  - MTR time frame and date of MTR report
  - Region and countries included in the project
  - GEF Operational Focal Area/Strategic Program
  - Executing Agency/Implementing Partner and other project partners
  - MTR team members
  - Acknowledgements
  - ii.* Table of Contents
  - iii.* Acronyms and Abbreviations
  - 1.** Executive Summary (*3-5 pages*)
  - Project Information Table
  - Project Description (brief)
  - Project Progress Summary (between 200-500 words)
  - MTR Ratings & Achievement Summary Table
  - Concise summary of conclusions
  - Recommendation Summary Table
- 2.** Introduction (*2-3 pages*)
  - Purpose of the MTR and objectives
  - Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
  - Structure of the MTR report
- 3.** Project Description and Background Context (*3-5 pages*)
  - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
  - Problems that the project sought to address: threats and barriers targeted
  - Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
  - Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
  - Project timing and milestones
  - Main stakeholders: summary list
- 4.** Findings (*12-14 pages*)
  - 4.1** Project Strategy
    - Project Design
    - Results Framework/Logframe
  - 4.2** Progress Towards Results
    - Progress towards outcomes analysis

- Remaining barriers to achieving the project objective
- 4.3 Project Implementation and Adaptive Management**
  - Management Arrangements
  - Work planning
  - Finance and co-finance
  - Project-level monitoring and evaluation systems
  - Stakeholder engagement
  - Reporting
  - Communications
- 4.4 Sustainability**
  - Financial risks to sustainability
  - Socio-economic to sustainability
  - Institutional framework and governance risks to sustainability
  - Environmental risks to sustainability
- 5. Conclusions and Recommendations (4-6 pages)**
  - 5.1 Conclusions**
    - Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project
  - 5.2 Recommendations**
    - Corrective actions for the design, implementation, monitoring and evaluation of the project
    - Actions to follow up or reinforce initial benefits from the project
    - Proposals for future directions underlining main objectives
- 6. Annexes**
  - MTR ToR (excluding ToR annexes)
  - MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
  - Example Questionnaire or Interview Guide used for data collection
  - Ratings Scales
  - MTR mission itinerary
  - List of persons interviewed
  - List of documents reviewed
  - Co-financing table (if not previously included in the body of the report)
  - Signed UNEG Code of Conduct form
  - Signed MTR final report clearance form
  - *Annexed in a separate file:* Audit trail from received comments on draft MTR report
    - *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.*)

**ToR ANNEX C: Midterm Review Evaluative Matrix Template**

<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
(include evaluative (i.e. relationships (i.e. project documents, (i.e. document question(s)) established, level of national policies or analysis, data analysis, coherence between strategies, websites, interviews with project project design and project staff, project staff, interviews with implementation partners, data collected stakeholders, etc.) approach, specific throughout the MTR activities conducted, mission, etc.)			
	qualit		
	y of		
	risk		
	mitiga		
	tion		
	strate		
	gies,		
	etc.)		
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			

**Project Implementation and Adaptive Management:** Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?

**Sustainability:** To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?

## **ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants<sup>13</sup>**

### **Evaluators/Consultants:**

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

### **MTR Consultant Agreement Form**

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

Name of Consultant:

Name of Consultancy Organization (where relevant):

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

**ToR ANNEX E: MTR Ratings**

<b>Ratings for Progress Towards Results:</b> (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

<b>Ratings for Project Implementation &amp; Adaptive Management:</b> (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

**Ratings for Sustainability: (one overall rating)**

4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

**ToR ANNEX F: MTR Report Clearance Form**

*(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)*

**Midterm Review Report Reviewed and Cleared By:****UNDP Country Office**

Name: Iwan Kurniawan

Signature: IWAN KURNIAWAN Date: 14<sup>th</sup> October 2019

**UNDP-GEF Regional Technical Advisor**

Name: Tashi Dorji

Signature:  Date: 14<sup>th</sup> October 2019

**Annex 2: Mission Itinerary**

Time	Agenda	Participant	Remark
Saturday, 11 Mei 2019			
09.00 – 13.00	Jakarta – Kota Agung	Consultant, Program, PMU, IP (if any).PIU Leuser	Flight from Jakarta to Lampung (Garuda 09.05), continue with overland trip. Stop for lunch
13.00 – 13.30	Meeting with PIU and WCS team	Consultant, Program, PMU, IP, PIU, WCS Team	At WCS office
14.00 – 16.30	Visit to Resort Sukaraja and Margomulyo Village. Topic: RBM in BBS NP and initiative on Human-Tiger conflict (Masyarakat Desa Mandiri Konflik)	Consultant, Program, PMU, IP, PIU, Forest Renger at Resort Sukaraja, WCS Team	Meeting at Post Guard and village
16.30 – 18.00	Back to Kota Agung		Overnight at Kota Agung
Sunday, 12 Mei 2019; Plan I			



08.30 – 10.00	Discussion on Patrol Team; HWC Task Force; Local Informant Network		WCS Office
10.00 – 16.30	Trip to Ngambur and Rajabasa Village Topic: Camera trap Survey and Tiger Proof Enclosure		
16.30 – 20.00	Back to Kota Agung		Overnight at Kota Agung
<b>Monday, 13 Mei 2019</b>			
07.00 – 10.30	Visit to Camp Rhino Topic: Human-Elephant Conflict Mitigation And back to Kota Agung (BBSNP HQ)	Consultant, Program, PMU, IP, PIU, NP staff, WCS team	
10.30 – 14.00	Meeting with national Park team; Forest Management Unit (KPH) Kota Agung Utara		
14.00 – 17.30	Trip to Bandar Lampung	Consultant, Program, PMU, IP, PIU, (WCS)	
15.00 – 16.00			Overnight at Bandar Lampung (Amalia Hotel)
<b>Tuesday, 14 Mei 2019</b>			
08.30 – 10.00	Meeting with Local Government of Lampung Province and BKSDA		
14.20 - ...	Flight to Jakarta		Garuda (Consultant overnight at Jakarta)
<b>Wednesday May 15<sup>th</sup></b>			
05.45 - 11.00	Flight to Muara Bungo	Consultant, Program, PMU, IP	Garuda Indonesia connecting Wings Air
11.00 – 12.30	Visit to KPH Bungo	Consultant, Program, PMU, PIU, FFI	
12.30 - 15.00	Trip to Bungo		
15.00 - 16.00	Visit KSDA Jambi (Seksi Bangko)	Consultant, Program, PMU, PIU,	
16.00 - 18.00	Discussion with FFI and ZSL team	Consultant, Program, PMU, PIU, FFI, ZSL	FFI Office Overnight at Bangko
<b>Thursday May 16<sup>th</sup></b>			
08.00 - 17.00	Trip to Durian Rambun		
10.30 - 12.00	Discussion with LPHD, NTFP Nursery and processing coffee	Consultant, Program, PMU, PIU, FFI, ZSL, NP staff	
12.00 - 13.00	Lunch Break		
13.00 - 14.30	Discussion with women group	Consultant, Program, PMU, PIU, FFI, ZSL, NP staff	
14.30 - 17.30	Back to Bangko		Overnight at Bangko

Friday May 17 <sup>th</sup>			
07.00 - 12.30	Trip to Sungai Penuh, Stop at Bedeng 5 village and Puncak		
12.30 - 14.00	Pray and lunch break		
14.00 - 17.00	Discussion with NP Team, KPH, PHS, MHS	Consultant, Program, PMU, PIU, FFI, ZSL, NP staff	
17.00 - 19.30	Break		
19.30 - 21.30	Dinner and vist KPHP Cafe		
Saturday May 18 <sup>th</sup>			
07.30 – 10.30	Visit to Renah Kayu Embun Topic Camera trap and camera trap	Consultant, Program, PMU, PIU, FFI, ZSL, NP staff	
10.30 – 14.30	Back to Jakarta		Sungai Penuh - Jambi Wing air Jambi – Jakarta Garuda 13.20

### Annex 3: List of Documents

- PIF
- UNDP Initiation Plan
- UNDP Project Document
- UNDP Environmental and Social Screening results
- Project Inception Report
- Project Implementation Reports (PIR's)
- Quarterly progress reports
- Audit reports
- UNDP's Capacity Development Scorecard
- All monitoring reports prepared by the project
- Financial and Administration guidelines used by Project Team
- Project operational guidelines, manuals and systems
- Minutes of the Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes Board Meetings and other meetings
- Project site location maps

## **Annex 4: Key Evaluation questions**

The questions proposed below consider those proposed in the ToRs and in questions that have been formulated by the evaluator based on his experience.

### **General**

- Did they have an inception workshop? How was it, who participated, is there a minute or document I can see about it?
- When was decided to scale down the project?
- How were the administrative and financial arrangements?
- What other projects and initiatives have been collaborating / complementing or competing with ours?
- What happened with the strategic advisors the project was supposed to provide under the different Outcomes? Did it work? Where Is he/she now?
- The extent to which the project activities are suited to the priorities and policies of the target group, recipient and donor.
- To what extent are the objectives of the project still valid?
- Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the project consistent with the intended impacts and effects?
- What could have been done differently?

### **Relevance**

- Is the project relevant to GEF biodiversity focal area?
- How does the project support the GEF biodiversity focal area and strategic priorities?
- Is the project relevant to the Indonesia's environment and sustainable development objectives?
- How does the project support the environment and sustainable development objectives of the Indonesia?
- Is the project country-driven?
- What was the level of stakeholder participation in project design?
- What was the level of stakeholder ownership in implementation?

- Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?
- Is the project relevant to the country programme of the UNDP?
- Does the project contribute to the Country Programme Document of UNDP in Indonesia?
- Is the project addressing the needs of target beneficiaries at the local and regional levels?
- How does the project support the needs of relevant stakeholders?
- Has the implementation of the project been inclusive of all relevant stakeholders?
- Were local beneficiaries and stakeholders adequately involved in project design and implementation?
- Is the project internally coherent in its design?
- Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc.)?
- Is the length of the project sufficient to achieve project outcomes?
- How is the project relevant with respect to other donor-supported activities?
- Does the GEF funding support activities and objectives not addressed by other donors?
- How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors?
- Is there coordination and complementarity between donors?
- Does the project provide relevant lessons and experiences for other similar projects in the future?
- Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?
- What has been the main focus of the project implementation so far? Who are the main beneficiaries? How were they selected?
- The extent to which the project activities are suited to the priorities and policies of the target group, recipient and donor.
- To what extent did the objectives remain valid throughout the project duration?
- Were the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
- Were the activities and outputs of the project consistent with the intended impacts and effects?

- How was the project aligned to the national development strategy?
- To what extent are the objectives of the project still valid?
- Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the project consistent with the intended impacts and effects?

## **Effectiveness**

- Has the project been effective in achieving its expected outcomes?
- To what extent have the project targets been achieved?
- To what extent have the project failed to achieve its targets?
- To what factors can be attributed the achievement and/or non-achievement of the targets?
- Did the activities contribute to the achievement of the planned outputs?
- Have the different outputs been achieved?
- What progress toward the outcomes has been made?
- How is risk and risk mitigation being managed?
- How well are risks, assumptions and impact drivers being managed?
- What was the quality of risk mitigation strategies developed? Were these sufficient?
- Are there clear strategies for risk mitigation related with long-term sustainability of the project?
- What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?
- To what extent the design, implementation and results of the project have incorporated a gender equality perspective and human rights-based approach? What should be done to improve gender and human rights mainstreaming?
- What has been the result of the capacity building/trainings interventions? Were qualified trainers available to conduct training?
- How did UNDP support the achievement of project outcome and outputs?
- How was the partnership strategy conducted by UNDP? Has UNDP partnership strategy been appropriate and effective? What factors contributed to effectiveness or ineffectiveness? What were the synergies with other projects?

## Efficiency

- Is project support provide in an efficient way?
- Is adaptive management use or need to ensure efficient resource use?
- Is the project logical framework and work plans and any changes made to them use as management tools in the implementation?
- Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?
- Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes?
- What was the original budget for the Project? How have the Project funds been spent? Were the funds spent as originally budgeted?
- Are there any management challenges, which affected efficient implementation of the Project? What are they and how were they addressed?
- Do the leveraging of funds (co- financing) happen as planned?
- Are financial resources utilize efficiently? Could financial resources have been used more efficiently?
- Is procurement carried out in a manner making efficient use of project resources?
- How is results-based management used during project implementation?
- Is project implementation as cost effective as originally proposed (planned vs. actual)
- How efficient are partnership arrangements for the project?
- To what extent partnerships/ linkages between institutions/ organizations are encouraged and supported?
- Which partnerships/linkages are facilitated? Which ones can be considered sustainable?
- What is the level of efficiency of cooperation and collaboration arrangements?
- Which methods are successful or not and why?
- Is the project efficiently utilize local capacity in implementation?
- Is an appropriate balance struck between utilization of international expertise as well as local capacity?
- Is the project take into account local capacity in design and implementation of the project?
- Is there an effective collaboration between institutions responsible for implementing the project?

- How could the project have more efficiently carry out implementation (in terms of management structures and procedures, partnership arrangements etc.)?
- What changes could make (if any) to the project in order to improve its efficiency?
- Are objectives achieved on time?
- Is the project implement in the most efficient way compared to alternatives?

### **Sustainability**

- Are the outputs and outcomes of the project likely to be sustainable?
- Is there a realistic sustainability plan?
- Do project achievements show potential for sustainability, replication, scaling up?
- Do the financial, institutional, policy, social, economic, cultural and environmental conditions pose risk/s to the sustainability of project results?
- Are the risks manageable?
- Does the sustainability plan address the risks?
- What opportunities are available that can help sustainability of project gains?
- How can these opportunities be used or optimized for sustainability?
- What are the major factors that influence the achievement or non-achievement of sustainability of the programme or project?
- What should be done to improve environmental sustainability mainstreaming?
- To what extent will the benefits of the programme or project continue after donor funding stops?

### **Impact of interventions**

- What are the stated goals of the Project? To what extent are these goals shared by stakeholders? What are the primary activities of the programme and expected outputs? To what extent have the activities progressed?
- What has happened as a result of the project?
- How many people have been affected?
- Has the project contributed or is likely to contribute to long-term social, economic, technical, environmental changes for individuals, communities, and institutions related to the project?
- What difference has the project made?

## Annex 5: Rating Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability ratings	Relevance ratings	Impact Ratings
6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	4: Likely (L): negligible risks to sustainability 3: Moderately Likely (ML): moderate risks 2: Moderately Unlikely (MU): significant risks 1: Unlikely (U): severe risks	2: Relevant (R) 1: Not relevant (NR)	3: Significant (S) 2: Minimal (M) 1: Negligible (N)
<b>Additional ratings where relevant:</b> Not Applicable (N/A) Unable to Assess (U/A)			



## Annex 6 Photographic Record of the Field Mission







