

# Midterm Review Report

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**Midterm Review of the UNDP-Supported  
GEF-Financed Full Size Project:**

*“Combating Illegal and Unsustainable Trade  
in Endangered Species in Indonesia”*

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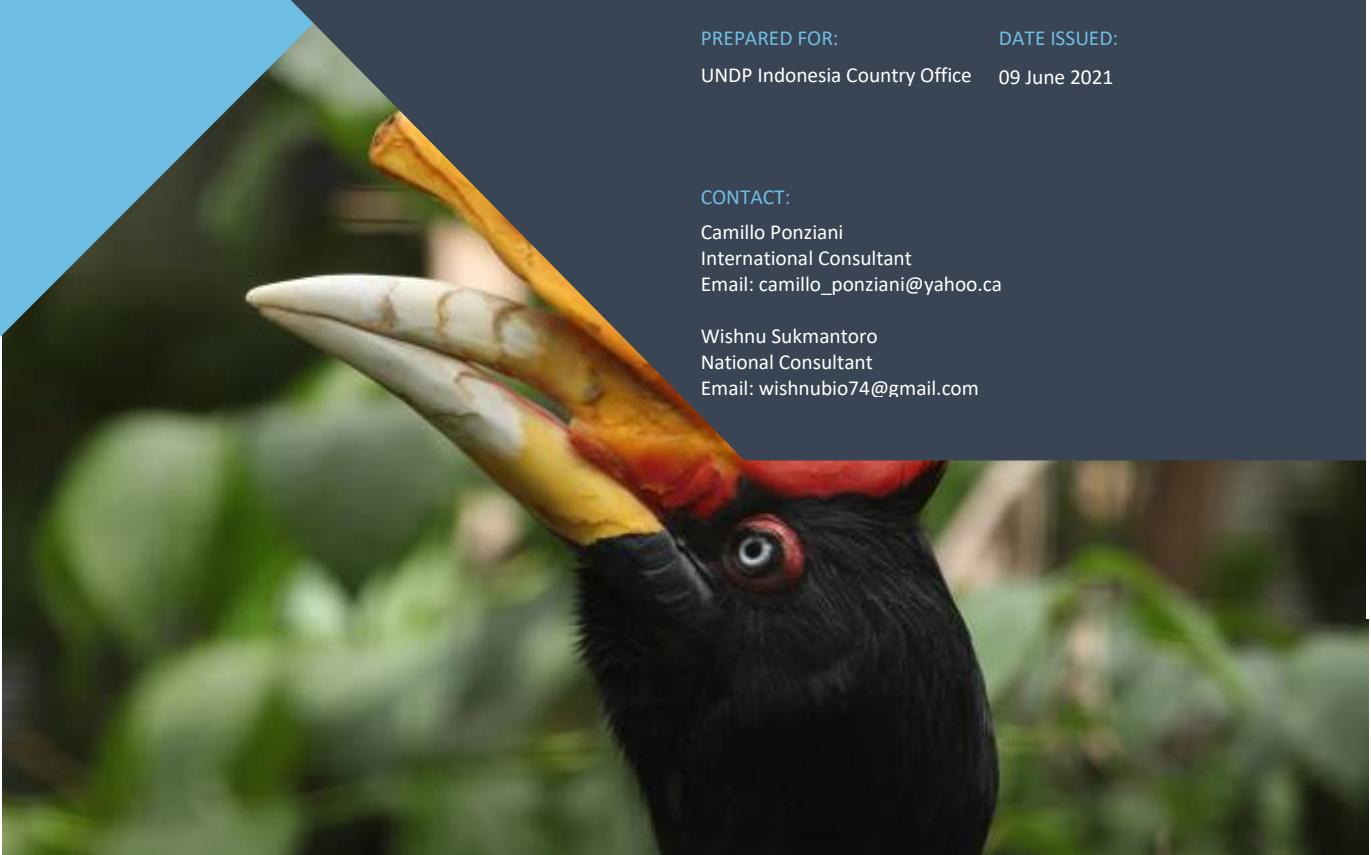
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## Midterm Review Report

*UNDP-Supported GEF-Financed  
Full Size Project:  
“Combating Illegal and Unsustainable Trade  
in Endangered Species in Indonesia”*

PIMS# 5391

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Editing courtesy of Sharon Creasey

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## DOCUMENT REVIEW SIGN-OFF

This Midterm Review Report, version 2.0, dated 09 June 2021, for the UNDP-Supported GEF-Financed Full Size Project ***“Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia”*** has been reviewed by the following signatories.

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Dated 15 June 2021  
(dd-mm-yyyy)

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Dated 15 June 2021  
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## REVISION HISTORY

Document Version Number	Version Release Date	Summary of Changes	Changed By
1.0	19 May 2021	Draft MTR Report	Camillo Ponziani
2.0	09 June 2021	Final MTR Report	Camillo Ponziani

## KEY PROJECT INFORMATION PAGE

**Table 1: Summary of key project information**

<b>Project Title:</b>		Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia	
<b>UNDP PIMS#:</b>	5391	<b>GEF project ID#:</b>	9150
<b>PIF Approval Date:</b>	04 Jun 2015	<b>CEO Endorsement:</b>	16 May 2017
<b>ATLAS Award #:</b> <b>ATLAS Project ID:</b>	00094636 00098732	<b>Project Document Signature Date (date project officially began):</b>	17 Nov 2017
<b>Country:</b>	Indonesia	<b>Date project manager hired:</b>	01 January 2019
<b>Region:</b>	Asia and the Pacific	<b>Inception Workshop:</b>	6-7 Mar 2018
<b>Focal Area:</b>	Biodiversity	<b>Midterm Review Completion:</b>	30 May 2021
<b>GEF Focal Area Strategic Objectives:</b>	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)	<b>Planned Project Closing:</b>	17 November 2023 (72 months)
<b>Trust Fund (Indicate GEF TF, LDCF, SCCF, NPIF</b>	GEF Trust Fund	<b>If revised, proposed op. closing date:</b>	TBD
<b>GEF Agency:</b>		UNDP	
<b>Lead Government Coordinating Agency:</b>		Ministry of Environment and Forestry (Directorate General of Law Enforcement on Environment and Forestry)	
<b>Executing Partners:</b>		WCS, WWF, JAAN and YIARI (micro grant recipients / partners)	
<b>UNDP-GEF Technical Team:</b>		Ecosystems and Biodiversity	
<b>Project Financing:</b>		<b>At CEO Endorsement</b> US\$	<b>At Midterm Review</b> US\$
<b>(1) GEF financing:</b>		6,988,853.00	3,252,917.02
<b>(2) UNDP contribution:</b>		100,000.00	not provided for the MTR
<b>(3) Government (MoEF):</b>		42,848,742.00	25,348,905.00
<b>(4) Other partners (WCS):</b>		2,000,000.00	777,995
<b>(5) Total co-financing [2+3+4]:</b>		44,948,742.00	25,348,905.00
<b>TOTAL PROJECT COSTS [1+5]:</b>		51,937,595.00	29,379,817.02

Source: PIF / PRODOC / GEF Project Database

## ACKNOWLEDGEMENTS

The Midterm Review (MTR) team would like to thank the many project stakeholders who generously gave their time to participate in the MTR interviews, focused group discussions and who shared their knowledge and insight on Illegal Wildlife Trade (IWT) issues, often with great passion and candour. As a result, this report is not really the work of the MTR team alone, but rather is a joint effort representing the collective wisdom by all the stakeholders. The MTR team commends the core project partners - MoEF, UNDP, WCS, YIARI, JAAN and WWF - for their openness on the project's achievements, the impacts realized to date and some of the implementation challenges and shortcomings. Their clear commitment at the senior-most levels to ensuring that the MTR process serves to strengthen project implementation to deliver lasting benefits to tackle the illegal wildlife trade and to biodiversity conservation of the most traded species in Indonesia.

Particular thanks is extended to the UNDP Indonesia Country Office, and the CIWT Project Management Unit (PMU) for planning and facilitating the online virtual interviews and meetings with government officials, as well as patiently accommodating changes in plans and scheduling additional interviews at the MTR team's request. We would like to especially thank Mr. Achmad Pribadi, the National Project Manager within the PMU, Ms. Rissa Budiarti and Mr. Faiz Yajri. They patiently answered all our questions and repeated requests for clarification, as well as tracked down answers to every question asked, and discussed the points we took every opportunity to raise. The MTR's efficiency was a direct result of their efforts and input. Special mention certainly goes to Ms. Rissa Budiarti for keeping the MTR team abreast of upcoming interviews, posting additional documentation as requested, diligently following up with stakeholders on the online questionnaire and sending recordings of the Zoom conversations to enrich our notes and analysis. The MTR is impressed with the maturity and depth of the PMU. We are also grateful for the guidance and frank conversations with the UNDP Country Office, most notably Mr. Muhammad Yayat Afianto, and the unique perspective as both his initial CIWT project caretaker role and depth of experience in supporting a range of UNDP-supported GEF-financed projects within the biodiversity portfolio.

The evaluation is intended to give a summary of what has been achieved in the Project as well as glean some of the critical lessons that can be learned from it up to its mid-point. In the report, we have tried to offer constructive criticism where we think it is warranted and sincerely hope that those involved in the project take it as such.

Finally, the Team Leader is indebted to the National Consultant and Technical Expert Mr. Wishnu Sukmantoro whose proactive nature and nuanced expertise of the local context was very much appreciated and indispensable to the MTR. His translations in creating the supporting analysis underpinning the review were equally instrumental. Notable mention also goes to Mr. Feraidoon Khosravi - whose thought leadership and command of multiple disciplines, including Theory of Change, have added tremendous value to the evaluation and provoked numerous discussions, exchanges and insight into the multi-layered nature of this Project. Thank you to both! Many thanks also to Sharon Creasey for her editing expertise and giving flow to what might have been a scattershot of ideas and observations.

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## LIST OF ACRONYMS AND ABBREVIATIONS

ACAP	Albatrosses and Petrels
AGO	AGO Attorney General's Office
APR/PIR	Annual Project Review/ Project Implementation Reports
ASEAN-WEN	Association of South East Asian Nations – Wildlife Enforcement Network
AWG-CITES WE	ASEAN Working Group on CITES and Wildlife Enforcement
AWP	Annual Work Plan
BAPPEDA	Badan Perencana Pembangunan Daerah (Regional Development Planning Agency)
BAPPENAS	Badan Perencanaan Pembangunan Nasional (National Development Planning Agency)
BKSDA	Balai Konservasi Sumberdaya Alam (Natural Resources Conservation Agency)
BPPS	Bureau for Policy and Programme Support
CBD	Convention on Biological Diversity
CBO	Community Based Organization
CID	Criminal Investigation Division (of the Indonesian National Police)
CITES	Convention on International Trade in Endangered Species
CIWT	Combatting Illegal and Unsustainable Trade in Endangered Species in Indonesia
CMS	Convention on the Conservation of Migratory Species of Wild Animals
CO	Country Office
COSS	Country Office Support Services
CPD	Country Programme Document
CSO	Civil Society Organization – used interchangeably with local NGO
Dishut	Dinas Kehutanan (Forestry Agency)
DG	Direktorate General
E-PASS	UNDP/GEF project - Enhancing the Protected Area System in Sulawesi
EOP	End of Project
ERC	Evaluation Resource Center (of UNDP Evaluation Office)
FFI	Fauna & Flora International
FGD	Focus Group Discussion
FPIC	Free Prior and Informed Consent
FSP	Full Sized Project
Gakkum	Direktorat Jenderal Penegakkan Hukum / Directorate General of Law Enforcement on Environment and Forestry (MoEF)
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat

Gol	Government of Indonesia
GTI	Global Tiger Initiative
GWP	Global Wildlife Program
Ha	Hectare
HWC	Human Wildlife Conflict
IBSAP	Indonesian Biodiversity Strategy and Action Plan
ICCWC	International Consortium on Combatting Wildlife Crime
ICITAP	International Criminal Investigative Training Program (US Department of Justice)
ICT	Information & Communication Technology
IDR	Indonesian Rupiah
INGO	International Non-Governmental Organization
INP	Indonesian National Police
IUCN	International Union for Conservation of Nature (World Conservation Union)
IUU	Illegal, Unreported and Unregulated
IP	Implementing Partner
IPB	Institut Pertanian Bogor / IPB University
IW	(Project) Inception Workshop
IWT	Illegal wildlife trade
JAAN	Jakarta Animal Aid Network
KAP	Knowledge, attitude and practice
KPK	Komisi Pemberantasan Korupsi (Corruption Eradication Commission)
KSDAE	Direktorat Jenderal Konservasi Sumberdaya Alam dan Ekosistem (Directorate General of Conservation of Natural Resources and Ecosystems)
KUHAP	Kitab Undang-undang Hukum Acara Pidana (Indonesian Code of Criminal Procedures)
LIPI	Lembaga Ilmu Pengetahuan Indonesia / Indonesian Institute of Science (CITES scientific authority)
LoA	Letter of Agreement
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MMAF	Ministry of Marine Affairs and Fisheries
MoEF	Ministry of Environment and Forestry
MoF	Ministry of Finance
MoHA	Ministry of Home Affairs
MoU	Memorandum of Understanding
MTR	Mid-Term Review
MUI	Majelis Ulama Indonesia (Indonesian Ulama Council)
NASTRA	National Strategy & Action Plan (2021-2025) for Combatting Illegal Wild Animal Trade in Indonesia

NGO	Non-Governmental Organization (used interchangeably with CSO)
NIM	National Implementation Modality
NP	National Park
NPD	National Project Director
NTRP	National Tiger Recovery Plan
OPDAT	Overseas Prosecutorial Development, Assistance and Training (US Dept of Justice)
PA	Protected Area
PAC	Project Appraisal Committee
PAR	Project Assurance Report
PB	Project Board
PCA	Project Cooperation Agreement
PHKA	Direktorat Jenderal Perlindungan Hutan dan Konservasi Alam (Directorate General of Nature Conservation and Forest Protection). The previous name of DG KSDAE
PIF	Project Identification Form (for GEF)
PIMS	Project Information Management System
PIR	GEF Project Implementation Report
PIU	Project Implementation Unit
PM	Project Manager
PMC	Project Management Cost
PMU	Project Management Unit
POLAIR	Polisi Air (Directorate of Coast and Sea Guarding Police)
POPP	Programme and Operation Policies and Procedures
PortMATE	Port Monitoring & Anti-Trafficking Evaluation tool
PPATK	Pusat Pelaporan dan Analisis Transaksi Keuangan (Indonesian Financial Transaction Reports and Analysis Centre)
PPG	Project Preparation Grant (for GEF)
PPH	Pencegahan dan Pengamanan Hutan (Forest Protection and Surveillance)
PPNS	Penyidik Pegawai Negeri Sipil (Civil Service Investigator)
PPR	Project Progress Report
ProDoc	Project Document
Project	Combatting Illegal and Unsustainable Trade in Endangered Species in Indonesia (CIWT) Project
PusDikLat	Pusat Pendidikan dan Pelatihan (Training and Education Centre)
QMR	Quarterly Monitoring Report
RBM	Resort Based Management (for National Parks)
RF	Results Framework
RP	Responsible Party
RTA	Regional Technical Advisor (of UNDP)

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SA WEN	Southern Africa Wildlife Enforcement Network
SATKER	Satuan Kerja (Task Force)
SESP	UNDP Social and Environmental Screening Procedure
SMART	Spatial Monitoring and Reporting Tool (patrolling and reporting system)
SOP	Standard Operating Procedure(s)
SPORC	Satuan Polhut Reaksi Cepat (Rapid Response Forest Police Unit)
STAP	GEF Scientific Technical Advisory Panel
TE	Terminal Evaluation
ToR	Terms of Reference
TRACE	Tools and Resources for Applied Conservation and Enforcement – Wildlife Forensics Network
UN	United Nations
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
UNDP	United Nations Development Programme
UNDP-CO	UNDP Country Office
UNEP	United Nations Environment Programme
UNODC	United Nations Office on Drugs and Crime
UNPDF	United Nations Partnership for Development Framework
UPT	Unit Pelaksanaan Teknis (Technical Implementation Unit)
US\$	United States Dollar
USAID	US Agency for International Development
USAID-ARREST	Asia's Regional Response to Endangered Species Trafficking, 2010-2016
USG	United States Government
WCS	Wildlife Conservation Society
WCU	Wildlife Crimes Unit
WRU	Wildlife Response Unit
WT	Wildlife trade
WWF	World Wide Fund for Nature
YIARI	Yayasan Inisiasi Alam Rehabilitasi Indonesia

## EXECUTIVE SUMMARY

### Project Description

1. The UNDP-supported and GEF-financed full-sized project entitled "*Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia*" or CIWT project for short, is a six-year project implemented by the Directorate General of Law Enforcement on Environment and Forestry (Gakkum) within the Ministry of Environment and Forestry (MoEF). The CIWT project was designed to address the devastating impact of unsustainable and illegal wildlife trade (IWT) on wildlife populations in Indonesia and SE Asia, with primary focus on addressing the pervasive threats posed by the illegal and unsustainable wildlife trade to endangered species in Indonesia, and by lifting key barriers and honing efforts on the trade chain to disrupt a global industry estimated to be worth US\$ 7-23 billion annually, of which East Asia and the Pacific is thought to contribute US\$2.5 billion alone.<sup>1, 2</sup>
2. The Project has a total budget of US\$51,937,595.00 comprised of US\$6,988,853.00 of GEF support and US\$44,948,742.00 in co-financing, comprising US\$42,848,742.00 from the MoEF, US\$100,000.00 from UNDP and US\$2,000,000.00 from the Wildlife Conservation Society (WCS).
3. The project was funded under the GEF-6 replenishment and is particularly significant for Indonesia as it is the country's first child project and biodiversity initiative under the Global Wildlife Program (GWP). At the national level it is also breaking new ground, as it is the first UNDP-supported GEF-financed project that aims to bring about systemic transformation of the illegal (and unsustainable) wildlife trade through an integrated set of strategies. At its core, the CIWT project is purpose-built to bring together various entities and disparate efforts addressing IWT issues under a singular umbrella, and to encourage these organizations to break out of their silos and pool their intelligence, resources and assets to collaboratively strengthen the different aspects and perceived gaps critical to the trade chain, from national policy / legislative framework, improved coordinated planning, institutional capacity and improved tools at the international, national, subnational and local levels.
4. The **objective** of the Project is ***to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia***. Interventions to achieve this objective are structured into four outcome components, designed to incrementally address barriers at the regional, national, sub-national and local level, as follows:
  - ***Component 1: Effective national framework for managing wildlife trade.*** This component aims to enhance the legal and policy environment by creating subsidiary regulations and removing loopholes and inconsistencies that prevent enforcement of measures to combat illegal wildlife trade, including putting appropriate institutional frameworks in place to ensure inter-agency coordination domestically and internationally. This component is expected to lead to the **key outcome** of "*Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade*".

<sup>1</sup> Nelleman, C., Henriksen, R., Raxter, P., Ash, N., Mrema, E. (Eds). 2014. The Environmental Crime Crisis – Threats to Sustainable Development from Illegal Exploitation and Trade in Wildlife and Forest Resources. A UNEP Rapid Response Assessment. United Nations Environment Programme and GRID-Arendal, Nairobi and Arendal, [www.grida.no](http://www.grida.no).

<sup>2</sup> UNODC. 2013. Transnational Organized Crime in East Asia and the Pacific. A threat assessment. United Nations Office on Drugs and Crime.

- **Component 2: Institutional capacity for implementation and enforcement at the national and international levels.** Under this component, the project will support key law enforcement institutions to ensure institutional capacity, including development of tools, can support, continued effective actions for combatting illegal wildlife trade. Increased capacity will be gauged using the ICCWC Indicator Framework related to wildlife trade control as well as increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases. Increased, and more effective, enforcement cooperation between Indonesia and other key states (e.g. Vietnam and China) will also be nurtured. This component is expected to lead to the **key outcome** of “*Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels*”.
- **Component 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems.** This component will focus on scaling-up on-the-ground implementation of improved enforcement capacity and strategies supported under components 1 and 2, including the Wildlife Crime Unit (WCU) approach for two critically important IWT subnational demonstration regions.<sup>3</sup> Coordinated intelligence analysis will also be supported to determine wildlife trade chains across these regions, including source areas, markets and ports, joint enforcement operations, raising community awareness, engagement in information networks, and livelihood support in source areas. It will support systematic assessment and capacity building for enforcement at five key wildlife trade ports<sup>4</sup>. This component is expected to lead to the **key outcome** of “*Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems*”.
- **Component 4: Knowledge Management, Monitoring and Evaluation, and Gender Mainstreaming.** This cross-cutting project component straddles and underpins the other three by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Indonesia, and globally through the GEF Global Wildlife Programme. It is expected to lead to the **key outcome** of “*Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming*”.

## Project Progress Summary

5. The Project Document was formalized, signed by the Ministry of Finance of Indonesia, on 17 November 2017 and is currently in its fourth year of implementation. The CIWT project currently has a scheduled end date of 17 November 2023.
6. The overall project strategy and design are in line with national priorities<sup>5</sup> and remain to this day highly - if not more - relevant to biodiversity and the conservation status of flagship species in

<sup>3</sup> Including northern Sumatra centered on the Leuser ecosystem and northern Sulawesi centered on the Bogani Nani Wartabone ecosystem and their respective seaport(s) and airport(s).

<sup>4</sup> Jakarta (Tanjung Priok) and Surabaya (Tanjung Perak) ports in Java, Bitung (Sulawesi), and Belawan port and Kualanamu airport in Medan, North Sumatra.

<sup>5</sup> The Project straddles two country programme documents (CPD) for Indonesia and was designed when the CPD (2016-2020) was under implementation, which has been since been updated with a new CPD (2021-2025). The CIWT project is consistent with Outcome 3 of both CPD iterations.

Indonesia. IWT issues enjoy strong government ownership and commitment, which is a precursor to but does not necessarily automatically translate into strong ownership for the GEF-financed project itself.

7. On the surface, and solely based on the narrative in the PIR, PAR and QMR reports, the CIWT project has claimed strategic progress and significant strides towards realizing the overall objective, having highlighted it has delivered on the end of project target for one objective-level indicator, and on another three outcome-level targets, as well as having exceeded the midterm target on one indicator at the outcome level.
8. On deeper analysis, progress toward results has not been uniformly achieved across the project objective and its four project outcomes. While some areas have progressed well, obstacles have been encountered in other areas hampering progress and replication efforts and potential. All these factors, including areas of success and areas where constraints continue to exist, are discussed in detail in [Section IIIB](#) of this report. In particular, Table 15 of the report presents a detailed analysis of project progress towards achieving results.
9. Progress to date has been uneven across outcomes, largely due to protracted delays at the outset resulting in an abnormally long inception period due to the time spent on getting the Implementing Partner to buy into and own the vision of the Project as it was designed, the dependencies built into the Project's intervention logic, as well as other factors largely outside the CIWT project's control stemming from parliamentary processes revisiting and changing legislation and government restrictions and shifting priorities (and financial resources) to tackle the global COVID-19 pandemic.
10. Apart from these delays, which have particularly impacted activities under both Outcomes 1 and 2 (and opportunities to upscale results at the landscape level under Outcome 3), there are also shortcomings relating to the Logical Framework (Results Framework) which has neither been updated nor revised to reflect changes in approach since the Project was approved. Several indicators, baselines and targets are still in flight, or are not clearly tied to the explicit efforts of the Project, making it problematic to measure true progress at both the outcome and objective levels. There is also an absence of "unique" indicators at the objective level and unnecessary repetition of outcome level indicators. Additionally, some outputs have been added during execution but not fully reflected in the Results Framework. Finally, the persistence of some barriers and risks to the CIWT project's objective may have been underestimated, notably political capital and will to change core pieces of legislation. These observations are addressed in [Section IIIA](#).
11. A Social and Environmental Safeguards Review for the CIWT project was undertaken alongside the MTR by a designated Safeguards Specialist. Potential overlooked risks and gaps were flagged pertaining to Standard 3 Community Health, Safety and Working Conditions; Standard 4 Cultural Heritage; and Standard 5 pertaining to Economic Displacement. It was recommended the Project Management Unit and UNDP Indonesia Country Office give further consideration, in consultation with the RTA, to assessing the potentially identified risks from the review, notably:
  - Per [Standard 3](#), activities under Component 3 could potentially lead to safety concerns for the community: i.e., the possible violation of human rights and gender-based violence if/when security personnel do not enforce the law appropriately. The MTR consultants also believe that due care should be taken to ensure the safety and anonymity of any informants;

- Per [Standard 4](#), since project areas include forests and habitats there is a high potential that these areas house cultural heritage sites that are important for the local communities/Indigenous Peoples and should be given due care and protection;
- Per [Standard 5](#), because project activities have the potential to restrict access to natural resources due to enhanced enforcement for local communities, including marginalized groups, careful consideration and planning to mitigate this risk should be taken;
- Further consideration to ensure that the Indigenous Peoples, particularly those involved in project activities i.e., the Forest Independent People, are provided with the relevant protections to comply with the [SES Standard 6](#).

12. Areas where the project has demonstrated progress are briefly presented below:

***Objective:***

- Ongoing consultations and efforts at both the ministerial and parliamentary level, to update key legislation and policies targeted by the project<sup>6</sup>, using both direct and indirect measures;
- The involvement of government personnel and the local community has seen an increase in capacity building activities, the formation of a task force and directing the alternative economy;
- A slight upward trend and positive signs emerging on the number of IWT cases being prosecuted;
- Progress being made on the removal of direct threats to targeted flagship species due to changes in regulation, closer international enforcement cooperation, and the success of sustained patrolling efforts.

***Outcome 1:***

- A “legacy-making” national roadmap drafted for tackling illegal wild animal trade in Indonesia and first strategy of its kind in the world to use system dynamics modeling for combating IWT;
- An economic valuation assessment of illegal trade of wildlife in Indonesia focusing on the 25 protected species most widely traded in Indonesia; the results of which will be an input to court cases and judicial decisions, and is expected to be leveraged by investigators (i.e., Indonesian National Police and MoEF), prosecutors and judges as a metric of the economic losses stemming from wildlife crimes;
- A deep-dive analysis on enhancing fines and sentences based on a “multi-door approach” using existing levers across sectors and legal regimes is imminent and in the final stages of production;
- An Inter-agency task force formalized (or still initiating to be formalized) prior to the Project is ripe for stronger multi-agency coordination with other entities, including the Wildlife Crime Law Enforcement Task Force for North Sumatra, East Java and North Sulawesi established by the CIWT project;
- Guidelines compiled by one of the microgrant recipients on how to use Indonesia’s money laundering regime to combat wildlife crime.

***Outcome 2:***

- Enhancement of command centre and Information & Communication Technology (ICT) capabilities at Gakkum-MoEF headquarters, and renovations undertaken at the Law enforcement of Environment and Forestry office at Pekanbaru, Sumatra;

<sup>6</sup> Including, but not limited to Law no. 5/1990, Law 41/1999, PP7 and PP8/1999 (its amandement on P, 106/2018) and including its derivative Permen 447/2003.

- Android and IOS mobile application to assist forest rangers, customs officials, law enforcement personnel and the Indonesian coast guard to identify protected wildlife species in development and scheduled for launch in Q2 2021;
- Myriad essential training and education activities critical to elevating institutional and professional IWT capacity, including:
  - Basic intelligence training on Law Enforcement (September 2018 & June - August 2019);
  - Training on DNA collection and sampling (October 2018);
  - Training on Animal Handling for Law Enforcement personnel (April 2019);
  - Oxygen software and SPARTAN<sup>7</sup> training (July – December 2019);
  - Law enforcement simulation training, including mountaineering, shooting, ambush patrol, and animal handling skills;
  - Forest Ranger Competency Training (23 October 2020);
  - Technical Training on Gender Mainstreaming related forest crimes in DG Law Enforcement on Environment and Forestry (14-15 October 2020);
  - Inspiring Women Training for forest rangers' partners at Bogani Nani Wartabone National Park (8-14 October 2020).
- Self-directed e-learning modules to support professional development in managerial, technical and attitude constructs necessary to carry out wildlife conservation tasks developed - with each module encompassing 50-70 hours of instruction. Modules to be rolled out asynchronously between Q1-Q2 2021 on the MoEF's [e-learning platform](#);
- A range of Standard Operating Procedure(s) (SOP), developed in part through microgrant initiatives with NGOs, with several adapted to pocketbook format (noted by an asterisk "\*" below):
  - SOP for collecting and handling biological material from wild animals and plants by morphological and DNA analysis\*;
  - SOP for handling of protected wildlife\*;
  - SOP for handling of the birds;
  - SOP for snare removal operations;
  - SOP for preventing illegal wildlife trafficking in ports;
  - SOP for translocation, habituation, and post-release monitoring for slow lorises;
  - Draft SOP for species repatriation;
- 2 repatriations / disrupting of Indonesian wildlife smuggling network, including:
  - Coordination between Malaysia government and Indonesia governments in following up on transactional smuggling and seizure of orangutan species from Aceh Tamiang to Malaysia (the end of December 2018 - February 2019);
  - 91 individuals of 15 Indonesian endemic species from Davao, the Philippines repatriated to Bitung, North Sulawesi (21 July 2020);
  - 9 orangutans destined to Malaysia (17 December 2020) and 2 orangutans from Thailand (17 December 2020) intercepted, repatriated and then rehabilitated to Sibolangit Rehabilitation Centre, Deli Serdang regency (North Sumatra). The Indonesian government plans to release them to their natural habitat in Jambi (Bukit Tigapuluh National Park) and Aceh (Jantho Recreation Park)<sup>8</sup>.

<sup>7</sup> SPARTAN (Forest Security Vulnerability Monitoring System) is a multi-channel decision-support and reporting tool launched in February 2018 by the DG Environment and Forestry Law Enforcement (MoEF) and currently in its pilot phase. It is used in a variety of locations, including remote areas, to facilitate further action to be taken related to the threat of disruption to forest ecosystems including forest encroachment, forest security and illegal activities. It has two main platforms, namely a web-based platform used for central monitoring (and integrated with the operation room command centre) and mobile platform used by forest rangers in the field.

<sup>8</sup> Aqil AMI. 2020. 11 orangutans brought home from Thailand, Malaysia long after being smuggled out.

<https://www.thejakartapost.com/news/2020/12/18/11-orangutans-brought-home-from-thailand-malaysia-long-after-being-smuggled-out.html>

- The Project supported a follow-up investigation, in collaboration with Dutch prosecutors and law enforcement, on a case involving Dutch citizens, relating to the illegal trade of souvenir items made from body parts of protected species;
- Based on the IWT case in the Netherlands, the Indonesian government and the Dutch governments developed MLA (Mutual Legal Assistance) in processing of, arresting and prosecuting the perpetrators in the Netherlands. Specific activities funded by the Project in this context, are the only MLA initiative between Indonesia and other countries in terms of IWT. A study was conducted of a knowledge, attitude and practice (KAP) to support the development of the communication strategy, social marketing campign and the knowledge management by the University of Indonesia;
- Awareness raising efforts targeting the demand for wildlife, including:
  - A national campaign "[Indonesia Says No! to Illegal Wildlife Trade](#)" launched in Jakarta, Surabaya, East Java and Medan, North Sumatra, fronted by public figures including several Paralympic Athletes;
  - 1000 copies of a children's comic book series developed as part of the Project's microgrants initiative, printed and distributed to targeted schools in Bali; Lampung; Karimun Java Island, Central Java; Jakarta; and East Nusa Tenggara;
  - Awareness targeting youth and students including a puppet show at 20 schools in Karimun Java islands (Central Java), Kepulauan Seribu islands (Jakarta), Luang Villages (Lesser Sundas) and Papua;
  - Nurturing of religious approaches to combatting IWT by leveraging both national and local Indonesian Ulama Council (MUI) through NGO microgrant initiative in Jakarta, Medan (North Sumatra) and Surabaya (East Java).

**Outcome 3:**

- PortMATE assessment undertaken by WCS in Bitung port and ToR's developed by the Project to update the PortMATE scores in Bitung, Surabaya, and Belawan;
- The combating IWT operations series in Aceh, North Sumatra, Riau, Jambi, Banten Province, West Java and Sulawesi. A total of 39 operations have been conducted between 2019 – 2020;
- Snare removal operations at seven areas in tandem with local community, including Gunung Leuser National Park and its surrounding areas (North Sumatra and Aceh Province), Way Kambas National Park (Lampung Province), Bukit Tiga Puluh Ecosystem (Jambi Province), Giam Siak Kecil-Bukit Batu Nature Reserve (Riau Province), Bogani Nani Wartabone National Park (North Sulawesi) and in Lore Lindu National Park (Central Sulawesi);
- Planning underway to leverage anonymous IWT informants based on experiences from the logging sector;
- Development of community-based patrols in West Java for protected animals such as slow lorises;
- Development of Human Wildlife Conflict in the Kreueng Saeen watershed, Alue Limeng Village, Krueng Sabe and Pintu Rime (Bener Meriah and Bireun Districts). Activities involved patrols by community members, some of which are hunters who received greater awareness of IWT issues;
- Updating of the capacity development scorecard for Directorate General of Law Enforcement in terms of IWT. The updating score is 76 (with a baseline of 60 points based on 2016 data).

**Outcome 4:**

- Training video developed in collaboration with the Biodiversity Research Centre of the Indonesian Institute of Sciences on SOPs for Collecting and Handling Material from Wild Animals and Plants for Morphological and DNA Analyses;

- Two video tutorials on the SPARTAN system;
- Focus Group Discussions on campaign plan for "Social Behaviour Change Communication" based on KAP study (21 February 2019);
- Sharing knowledge and experience of translocation, habituation and post release with a conservaton agency from Malaysia for establishing the slow loris rehabilitation centre in Sabah, Malaysia.
- Training and [formation of a women's volunteer patrol group](#) to support IWT sensitization efforts in Bogani Nani Wartabone National Park (October 2020).

13. Per GEN 2 marker criteria, gender equality is mainstreamed across all components. The Project has performed admirably on this front, bearing in mind that law enforcement is systemically skewed in terms of representation. Component 4 focuses exclusively on mainstreaming cross-cutting issues, including gender responsiveness throughout the other pillars of the Project.

14. In terms of environmental and social safeguards, the Project was initially rated medium risk. However, an assessment conducted in parallel to the MTR did raise some social issues which do warrant attention on Standards 3-6 specifically.

### **MTR Ratings & Achievement Summary Table**

15. The principal purpose of this Midterm review (MTR) is to evaluate project progress to-date, and to provide critical recommendations to help ensure project performance is optimized during the time remaining until project closure, and that ultimately, the intended project objective and outcomes are more likely to be realized.

16. The MTR is a key element of the mechanism by which adaptive management of the project can be achieved; it is part of the feedback loop by which information is gathered that can guide decision-making both to build upon, and expand, successful project initiatives, and to effect needed "mid-course corrections" in those areas where weaknesses are identified. Such measures will ensure the project is kept on a trajectory that will lead ultimately to more successful outcomes.

17. In terms of progress towards results, the Project is rated as **Moderately Satisfactory (MS)** at the objective level and for two of the four Project outcomes. Progress towards realizing Outcomes 1 and 3 has been rated as Moderately Satisfactory, while the remaining two outcomes - Outcomes 2 and 4 - are rated **Satisfactory (S)**. Progress towards the overall project objective has also been rated as **Moderately Satisfactory (MS)** due to the slow rate of legislative change required in the Project design and progress made towards midpoint targets. This is despite the comprehensive work to develop a National Strategy & Action Plan (2021-2025) for Combatting Illegal Wild Animal Trade in Indonesia (NASTRA) which, when also factoring in delays in producing this deliverable, has consumed the majority of the Project's focus to date.

18. It should be noted that a number of activities have been assessed as 'not on track' because there is insufficient project monitoring data available against which they can be assessed and because updates to the indicators are still in flight. This underscores the need to prioritize and improve the Logical Framework and ensure that the Project Results Framework is collectively revised immediately following the MTR results to ensure broad ownership by the IP and other key stakeholders clearly reflects project activities and aspirations as they are understood to be at the

midterm. This will require a combination of paring down and crafting “unique” indicators at the objective level, reformulating some indicators to make them SMART (i.e., **S**pecific, **M**easurable, **A**ttainable, **R**elevant, and **T**ime-bound), removing duplicate indicators where these pose a problem in understanding the roll-up to achieve the objective, and by accelerating indicators that are still under development.

19. In terms of project implementation and adaptive management the project is rated as **Satisfactory (S)**. Areas requiring improvement include financial management, specifically, in terms of consciously tracking co-funding as part of regular Annual Work Planning. Also, the formulation of and monitoring of appropriate indicators, and strengthening regular communications between project partners are other areas that can be improved on. The CIWT project has demonstrated very strong adaptive management throughout, for example by turning COVID-19 mobility restrictions into an opportunity by embracing asynchronous e-learning and by pursuing indirect measures to close gaps and loopholes in legislation and finally, by showing flexibility to address operational and financial bottlenecks through UNDP Country Office Support Services to the NIM; thereby providing more direct support to the Project intermittently - particularly at the outset when it was most required.
20. It is clear that both UNDP and the MoEF fully appreciate and are deeply committed to tackling IWT issues head on, are sympathetic to the damage these cause to key biodiversity (and economic opportunities) in Indonesia, and are dedicated to stamping out both the criminal elements and socio-economic factors that contribute to them. While commitment to IWT is a precursor to ownership of and commitment to the CIWT project, the evolution of the project and the prioritization of certain activities over others, suggest it is certainly not a given. Both the inception phase and early stages of implementation were fraught with delays largely stemming from getting the IP onboard and sharing the vision of the Project and activities articulated in the Project Document. This has been no easy feat, requiring both the UNDP Indonesia Country Office and Project Management Unit (PMU) to spend considerable time demystifying requirements of GEF projects, documenting National Implementation Modality (NIM) obligations and procedures<sup>9</sup>, and consistently underscoring the need to adhere to the commitments made by the government in the Project Document. Interviews have pointed to a marked improvement in understanding as the Project is beginning to hit its stride, but there is certainly room for improvement going forward.
21. Project management arrangements are broadly in line with the Project Document, although the vision and set-up of Project Implementation Units at the landscape level for North Sumatra, North Sulawesi and for Surabaya Port have not materialized in the manner envisioned in the Project Document, and a formal operational mechanism on how to proceed is still outstanding<sup>10</sup>. That said, the UNDP Country Office and DG of Law Enforcement has put in place a highly skilled, motivated and dedicated project team; perhaps the Project’s strongest attribute to date. The MTR’s Team Leader, who has managed a number of GEF-financed projects in the past, certainly appreciates the herculean effort it takes to gain momentum on complex multi-level initiatives such as this one, and the need for pause, reflection, intense discussions on getting stakeholders with different visions to buy into a shared path forward, and replanning when things don’t always go as planned! The path to success for these types of projects is not linear and can have multiple setbacks; but they are certainly worth the effort. From this perspective the PMU and initial “caretaker” team have done an

<sup>9</sup> See CIWT project [Standard Operating Procedure](#) (12 November 2018)

<sup>10</sup> At its third meeting in December 2020, the Project Board agreed to suspend the existence of the Project Implementation Units (PIU) in the 3 project locations (Medan, Bitung and Surabaya) as stated in the Project Document until there is further study on their utility. In the interim, activities in the regions can be carried out through Civil Society Organizations and / or Relevant Technical Implementing Unit.

admirable job creating momentum and enthusiasm to this point. There is also strong engagement at national and subnational levels through satellite offices of law enforcement agencies and Provincial units of the MoEF responsible for managing wildlife and conservation areas, which will be necessary for upscaling efforts under Component 3 when fully activated.

22. There has also been, for the most part, good engagement with a wide range of stakeholders active on IWT issues during the inception phase and as the Project has built momentum. The PMU has diligently engaged a range of stakeholders at the national, provincial, and local levels, including partners and NGOs. However, not all engagement has been multilateral and programmatic in nature. For instance, the engagement with the NGOs has been mostly time-bound and specific to the scope of each NGO's deliverables. Overall progress updates and cross-component communication have been geared towards the key agencies who are involved for the totality of the Project.

23. The Project has engaged four NGOs by awarding each a microgrant to deliver the following scope of work:

- I. JAAN - The Jakarta Animal Aid Network has: conducted trainings on handling rescued wildlife for BKSDA and local CSOs in Surabaya, East Java; developed a five-part comic book series on animal warriors and a puppet show, both geared towards raising awareness among early school age students; assisted the quarantine unit in tracing animal traders with its K-9 unit for wildlife; and relocated priority rescued species;
- II. WCS - As part of the agreed partnership WCS has: compiled an economic assessment of 2 species using a recovery valuation method and a capacity need assessment; has conducted a baseline for the PortMATE assessment in Bitung Port; established a stakeholders' forum in Bitung; and engaged a local community group on combatting illegal wildlife trade and HWC in northern Sumatra and northern Sulawesi;
- III. WWF - The World Wildlife Fund: facilitated the establishment of a Wildlife Crime Law Enforcement Task Force for North Sumatra; developed guidelines on how to use the national money laundering regime and supporting legislation to combat wildlife crime; activated an MoU with local MUI to apply localized religious-based Fatwa supporting efforts to deter the IWT; drafted an information kit on combatting wildlife crime for youth; prepared materials for public services announcements on combating wildlife crime with selected Indonesian public figures; and provided HWC mitigation training with local communities;
- IV. YIARI - International Animal Rescue, Indonesia: carried out myriad workshops and training in radio-telemetry for BKSDA and National Park officials; carried out translocations and releases of 86 Javan slow lorises; created a standardized guideline in translocation, habituation and post release monitoring; established [kukangku.id](http://kukangku.id); conducted workshops on identifying threats to habitat; provided a multitude of training sessions (theory and practical) in SMART Patrolling technique; provided training on reporting illegal activity witnessed/observed during patrols; and collaborated with other organizations for increasing the campaign's reach and efficacy.

24. YIARI also responded to an RFP ([Reference: RFP/UNDP/EU-NASTRA CIWT/56849/002/2019](#)) and was successful in their bid to lead the consultation and formulation process of the NASTRA. The NASTRA was initially slated for completion in 2019 but was finalized at the end of 2020, and its formal approval is pending, contingent on discussions with key stakeholders responsible for its implementation and monitoring.

25. Through these microgrants, the NGOs have contributed immensely to the products and services delivered thus far, that will need to be leveraged more actively and sustained further during the

remainder of the project and beyond. With all but one of the four contracts closed, engagement has waned considerably; all entities have expressed a significant detachment from the Project's activities beyond the scope of their work.

26. While Project-wide communication provides the CIWT team with a powerful sense of feedback and knowledge management, it also furthers the sustainability goals and objectives. Cross-stream collaboration allows for team work to achieve a shared understanding of an intervention; and to help to engage and develop ownership with partners and stakeholders (including those important for durability and scaling). As such, there ought to be a mechanism (in its communication strategy and planned efforts on Outcome 3) to re-engage these organizations to enhance cooperation during the remainder of the CIWT project's lifecycle.
27. From a governance perspective the Project Board (PB), whose first meeting was delayed for more than a year after the Project Document was formalized, has only met three times to date. However, feedback from the one PB member interviewed, along with the minutes of the meetings, show that it is operating effectively and providing the right level of guidance. The Technical Advisory Committee, that was to be established under the PMU, has not taken shape and is unlikely to fulfil its role as planned in the Project Document. The latter does not appear to be a gap as the PMU is not shying away from soliciting input through formal and informal mechanisms as needed. Notwithstanding, the project would benefit from more regular oversight and strategic guidance from the Project Board (at minimum twice per year) to overcome barriers and obstacles and to close the gaps to existing policies and legislation. A greater focus by all partners on higher-level results, as well as the impact at the objective level is needed, together with a more comprehensive collaborative approach to pool the tremendous assets that have been produced to date and which all stakeholders bring to the table.
28. Project compliance with UNDP, GEF and MoEF rules and procedures, including financial management and procurement requirements is generally good; in other words, delays encountered to date are largely associated with execution as opposed to contracting, procurement or financial disbursement. While major underspending of the planned budget occurred until recently due to the long delays at the start, expenditure stands at 55% of the total GEF Project budget as of December 2020. The project is underspending against the agreed budget by approximately 15% and expenditure against Outcome 3 is lagging considerably and should be expedited. The amount budgeted for 2020 was less than that for 2019 and 2018. The shortfall of expenditure for 2020 against budget is justified due to inactivity resulting from COVID-19. It is important to note that the expenditure to date for Outcome 2 is US\$260,000.00 over budget. With respect to co-financing commitments, 59% of the pledged contribution from Gakkum totalling US\$25,348,905.00 has materialized to date.
29. Given the NASTRA is seen as the biggest enabler of the CIWT project, the sustainability of the Project is rated as **Moderately Likely (ML)**. The main risk to sustainability is financial. The project is building momentum through the additional project funding and interviewees recognize the additionality that GEF brings to the table to realize global environmental benefits; however, this momentum could stall if a sustainable level of funding is not forthcoming post project. The project is exploring several channels to increase the sustainable funding for activities by way of attaching these to specific budget lines within the MoEF and by developing a short-term action plan for the next year, where activities will be fully mainstreamed into the day-to-day operations of Gakkum. Government commitment and ownership is seen as the lynch pin and rests on the Government's immediate action to secure this, prior to project completion, to ensure continuity and upscaling of

current efforts. The COVID-19 pandemic and the redirection of national budget to support local livelihoods is a sobering reminder that nothing is certain.

30. Sustainable sources of finance to continue and scale up successful project interventions at the landscape level at key ports, particularly those which are major trading hubs and exit points for wildlife trafficking, are paramount. Without additional financing and capacity, it will be difficult to address the range of threats faced at the landscape level, underscoring the need to accelerate work on Outcome 3. Sustained effort through a combination of direct investment and heightened awareness is also required to ensure local communities with few livelihood options are not overtly or inadvertently drawn into the illegal trade of wild animals via "push" and "pull" factors. Finally, the impetus of the project is to close gaps and loopholes in legislation and policy requiring close attention to the success of Outcome 1, so these gaps do not persist after the project has closed.

31. Table 2, below, presents a summary of the ratings which have been assigned by the MTR team for the project objective and the four project outcomes. The rating scale used follows UNDP-GEF guidelines and is explained in Annex D.

32. These ratings reflect the degree to which, in the judgement of the MTR consultants, progress has been made that can ultimately support the achievement of the project objective and outcomes. In addition, a rating is presented to reflect the degree to which the project has been successful in its implementation and adaptive management aspects. Finally, a rating is also provided to give an indication of the degree to which it is considered that the project results can be sustained, over a timeframe which extends beyond the life of the project itself. The narrative section of the table includes not only a presentation of the project achievements, but also of salient risks as they are perceived, as well.

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
Project Strategy <sup>11</sup>	N/A	N/A
Progress Towards Results	<p><b>Objective:</b> To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</p> <p><b>Achievement Rating:</b> <b>4: MODERATELY SATISFACTORY (MS)</b></p>	<ul style="list-style-type: none"> <li>Notwithstanding a recent breakthrough at the time of writing where MoEF was able to <a href="#">present its case on 5 April 2021 to amend UU 5/1990</a> to include provisions which consider, and explicitly recognize, IWT issues, progress towards the midterm targets are proceeding slower than expected with only 2 policies/laws having been revised, albeit not through the explicit contribution of the Project. The following is a summary from various CIWT project progress reports: <ul style="list-style-type: none"> <li>Due to various interests at different levels from stakeholders, it is difficult to move forward with completion of the law and therefore, the MoEF decided to delay the revision process. In lieu of the revision process of Law 5/1999, the CIWT project prioritized the preparation of the</li> </ul> </li> </ul>

<sup>11</sup> As per UNDP/GEF guidelines, the project strategy is not subject to a rating or evaluation of achievement.

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>National Strategy and Action Plan for IWT Indonesia;</p> <ul style="list-style-type: none"> <li>○ PP 7 and PP8 / 1999 have been revised through P.20 / 2018 and subsequently to P.106 / 2018. The IWT project did not contribute much to this initiation as it was intensively funded and implemented by the government.</li> <li>○ Permen 447/2003 is still in the process of being reviewed and for this reason several guidelines have been prepared in advance to inform the regulation such as DNA sampling techniques, Animal Handling and Animal Repatriation.</li> <li>● Engagement of direct project beneficiaries has reached 53% of the midterm target, although it is unclear how this indicator, as formulated, contributes to the overall objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia;</li> <li>● The impact of project interventions on the "IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database volume habitat" could not be assessed due to limitations in the baselines and methods chosen to measure this indicator. At midterm, the "number of cases prosecuted" is currently being used as a proxy for annual volumes and while there has been an increase between the cases in 2018 and 2019, it is unlikely this can be attributed to Project efforts during its ramping up period. Moreover, data for 2020 is missing altogether to complete a fulsome trend analysis to date;</li> <li>● Focus of efforts to reduce the number of casualties of flagship species to date has been on threat reduction through enhancing patrols and removal of snares<sup>12</sup>. A study on the magnitude of wildlife trade is planned, which would provide additional insight from a different perspective. Annual volumes should be included as part of the</li> </ul>

<sup>12</sup> While difficult to measure threat reduction in project sites using SMART patrolling, snare removal data and existing Results Framework indicators, reported evidence of threat reduction in the 4 targeted areas is supported by the incidence of target flagship species at these locations, although data points are limited given the short implementation period.

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>study to close gaps with indicator 0.3 on the annual volume of illegal trade.</p> <p><b>Continuing risks:</b> (i) continuing mandate and political will to actively seek out legislative/policy changes envisioned by the Project; (ii) commitment by the IP and repositioning focus to the scope and timeline of the CIWT project as opposed to those of the NASTRA; (iii) while the project goal and outcomes reflect appropriate aspirations, the analysis from the MTR suggests that legislative/policy changes are perhaps out of reach within the time horizon available and may have been placed too high in the project results framework (as an objective) and might be more realistically placed as an outcome; (iv) willingness of the IP to collaborate and share data with all CSOs involved who are instrumental and at the core of the Project's success; and (v) distraction of chasing monitoring data that is disconnected altogether from achievement of the project objective.</p> <p><b>Objective likely to be partly achieved</b></p>
	<p><b>Outcome 1:</b> Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade</p> <p><b>Achievement Rating:</b> <b>4: MODERATELY SATISFACTORY (MS)</b></p>	<ul style="list-style-type: none"> <li>Outcome 1 is measured in part by 6 indicators related to the closing gaps and loopholes, which are all contingent on passing new legislation and enacting new policies highlighted in the Project's objective. As the supporting legislation has not been methodically updated for the MTR, the indicators themselves cannot be reliably used to measure progress. However, based on the plan noted by the PMU, a deep dive analysis on fines and sentences is expected. A consultant is expected to review the state of existing regulations and its interconnection with other agencies' regulations to recommend levers that can be used to increase the severity of punishment for IWT crimes. While not a direct measure as envisaged by the Project's design, there are indications that indirect measures could potentially be effective;</li> <li>The indicator relating to an inter-agency task force has been partially achieved, although not through the direct efforts of the Project itself and further collaboration is needed for this to be attributable to the CIWT project's sphere of influence. A coordination and planning meeting was held in</li> </ul>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>2018 in an effort to support further law enforcement collaboration between customs, MoEF, port administrators and the police, but progress stalled in 2019 and was subsequently hampered as a result of the COVID-19 pandemic. A coordination workshop was scheduled for the second half of 2020 to strengthen coordination between the task force initiated by Bitung Municipality but did not materialize as planned due to the pandemic restrictions.</p> <p><b>Continuing risks:</b> (i) focusing exclusively on indirect measures to achieve the indicators (i.e. Plan B), as opposed to more direct measures (Plan A) of changing core legislation, could add complexity, open up continued risks and loopholes that were intended to be closed altogether by the Project; (ii) a new mandate might be needed for law enforcement to apply regulations from other government sectors to drive change to IWT cases; (iii) willingness of the IP to share information and intelligence, and to cooperate with efforts initiated by other law enforcement agencies and entities, including those noted in the Project Document.</p> <p><b>Outcome 1 likely to be partly achieved</b></p>
	<p><b>Outcome 2:</b> Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels</p> <p><b>Achievement Rating:</b> <b>5: SATISFACTORY (S)</b></p>	<p>Capacity for IWT at the both the national and subnational level has been improved through extensive investment in training which is reflected in the Capacity Development Scorecard scores. It is expected that capacity will continue to be built, and greater synergies realized through the scaling of efforts at the five ports and the landscape level; a variety of activities supported by the CIWT project have contributed to better coordination between law enforcement agencies and strengthening Gakkum's operations in western and eastern Indonesia.</p> <ul style="list-style-type: none"> <li>• Capacity Development Scores increased 26% from the baseline and is 5% of the end of project target. This is testament to the heavy investment in training made by the Project to date. In fact, the achievements for Outcome 2 are aligned with the expenditure which is currently US\$260,000.00 over budget;</li> <li>• Update to the ICCWC Framework is pending although ToRs have been drafted and the activity</li> </ul>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>is scheduled for the Q1 2021;</p> <ul style="list-style-type: none"> <li>Operations Room retrofit complete at Gakkum HQ and renovations undertaken at the Law enforcement of Environment and Forestry office at Pekanbaru, Sumatra, combined with advanced intelligence training on online wildlife trade, yielded 1,513 incidents during the monitoring period;</li> <li>27.5% increase in arrests from baseline with a 100% prosecution rate, which has surpassed end of project target;</li> <li>3 repatriations through joint transnational operations/seizures with (i) the Philippines on 30 July 2020 (ii) Malaysia on 17 December 2020; and (iii) Thailand on 17 December 2020. This has matched the end of project target. However, there is no indicator data or reporting on the annual number of "seizures" as a result of transnational counter-IWT operations;</li> <li>Knowledge, Attitude, and Practice (KAP) Survey conducted by Lembaga Demografi, University of Indonesia at 4 locations to support the communication strategy for a social marketing campaign on IWT and to understand the current situation on the IWT-related issues, challenges, and opportunities, in Indonesia, to combat IWT, as well as the knowledge, attitude, and practices of the campaign's target audience groups.</li> <li>There is an uncapitalized opportunity for knowledge transfer from WCS' WCU (cyber patrol unit) to Gakkum to strengthen its online presence and operations.</li> </ul> <p><b>Continuing risks:</b> (i) casting too wide a net and not honing efforts on the area to be targeted to realize the objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in <b>Indonesia and East and South-East Asia</b>; (ii) being realistic when compiling annual work plans (i.e.: Feasibility study on Kawasan Hutan dengan Tujuan Khusus (the Forest Area for the Specific Purposes) operation for confiscated wildlife evidence management and social media campaign specialists have not materialized); (iii) reinventing the</p>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
	<p><b>Outcome 3:</b> Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</p> <p><b>Achievement Rating:</b> <b>4: MODERATELY SATISFACTORY (MS)</b></p>	<p>wheel by not leveraging, strengthening and sustaining existing networks such as ASEAN-WEN<sup>13</sup>; and (iv) relying on local attitudes on IWT issues arising from the KAP survey to inform the Project's communication strategy, instead of tapping into national sentiment.</p> <p><b>Outcome 2 likely to be achieved. Modifications required to the Results Framework to pare the number of indicators</b></p> <ul style="list-style-type: none"> <li>• The indicator for Outcome 3.1 related to PortMATE<sup>14</sup> has not been completed, although ToR's to update PortMATE baseline scores have been drafted and are currently in the procurement process. In consultation with the Project's local stakeholders, execution is slated for the first semester of 2021 due to the COVID-19 pandemic. As such, progress on Outcome 3 is tracking behind schedule as the PortMATE scores are intended to determine priorities to support capacity-building programs covering both systems enhancement to improve customs surveillance, and training to build staff skills in wildlife law enforcement.</li> <li>• The data reported for indicator 3.2 is already repeated in the Results Framework for both indicator 0.3 and indicator 2.2. Here, the data should be disaggregated for the two subnational regions being targeted to sufficiently monitor progress, including (i) annual number of IWT seizures <b>at the project sites</b>; (ii) the annual number of IWT investigations leading to arrests <b>at the project sites</b>; and (iii) annual number of successful IWT prosecutions <b>at the project sites</b>.</li> <li>• While the indicators cannot be reliably used to measure progress, there have been a number of bright spots and efforts have focused on creating the necessary "readiness" for when scaling activities commence, including: <ul style="list-style-type: none"> <li>○ Agreements with the Heads of Gunung Leuser</li> </ul> </li> </ul>

<sup>13</sup> At the time of writing, the Project had recently facilitated an Indonesia Delegation at the 16<sup>th</sup> CITES AWG & WE (formally known as ASEAN WEN), including the facilitation of a draft ASEAN legal handbook to combat IWT.

<sup>14</sup> The PortMATE (Port Monitoring & Anti-Trafficking Evaluation) tool was developed by and with support from the UNDP/GEF Ports of Excellence project (under the GWP). Leveraging it entails adapting and developing it for use to the local context and in the CIWT project's case, during the assessment of the 5 demonstration ports at Jakarta (Tanjung Priok) and Surabaya (Tanjung Perak) ports in Java, Bitung (Sulawesi), and Belawan port and Kualanamu airport in Medan, North Sumatra. The PortMATE assessment focuses on six key areas, namely Management and Administration, Information and Intelligence, Detection, National Investigations, International Cooperation and Criminal Justice.

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>National Park in North Sumatra province and Bogani Nani Wartabone National Park in North Sulawesi on the areas that will be earmarked for scaling;</p> <ul style="list-style-type: none"> <li>○ A series of wildlife and plant crime operations in West Java, Sulawesi and other areas in the CIWT project target areas, including threat removal operations to clear wildlife snares at 7 areas involving local communities;</li> <li>○ Development of 2 videos on wildlife operations and wildlife repatriation as a communication tool to support field activities; material for field activities;</li> <li>○ Establishing, priming, and training a volunteer women's group at Bogani Nani Wartabone National Park, and supporting alternative livelihoods through handicrafts;</li> <li>○ Consultations with Gunung Leuser National Park Management, BBKSDA North Sumatera, BKSDA Aceh, BKSDA North Sulawesi, and Bogani Nani Wartabone National Park Management on forthcoming livelihood and HWC reductions activities to be implemented in the first semester of 2021;</li> <li>○ Boosting online presence and capabilities through cyber patrols and fostering greater information and intelligence sharing between key entities, including the DG of Law Enforcement, DG of Conservation and Biodiversity, National Police Bareskrim, State Intelligence Agency, Ministry of Communication and Information, and the Attorney General's Office.</li> <li>● There is discussion and development of good participatory community engagement tools and promising community participation models that are likely to pay dividends when Outcome 3 ramps up, such as local livelihood enhancement and anonymous IWT informants modeled after the illegal logging sector.</li> </ul> <p><b>Continuing risks:</b> (i) managing risks around the safety of informants; (ii) sufficient enforcement mandate, power to arrest and issue fines, and adequate capacity and support (including training and equipment) to enforce IWT issues; (iii) legislative and</p>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
	<p><b>Outcome 4:</b> Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming</p> <p><b>Achievement Rating:</b> <b>5: SATISFACTORY (S)</b></p>	<p>policy levers in place in time to support scaling efforts; and (iv) willingness to share intelligence and information between law disparate enforcement agencies.</p> <p><b>Indications point that Outcome 3 will be partially met</b></p> <ul style="list-style-type: none"> <li>While still premature to fully assess replication efforts, the Project is certainly generating buzz within Indonesia and in the context of the GWP for its many firsts. <ul style="list-style-type: none"> <li>The Project has been distilling information from longer SOPs into pocketbook format (Animal Handling, DNA Forensics and Morphological Analysis) for wider accessibility;</li> <li>Since inception, it has been attending and participating in yearly conferences organized by the GWP to gather and share lessons with other child projects;</li> <li>In cooperation with the Human Resources Agency of the Ministry of Environment and Forestry, the CIWT project supported a Forest Rangers Competency Mapping Assessment on gender issues;</li> <li>Establishment and training of a volunteer woman ranger partner group to enhance knowledge on IWT issues at Bogani Nani Wartabone National Park.</li> </ul> </li> </ul> <p><b>Continuing risks:</b> (i) ensuring adequate gender representation in training, in alignment with the 50% vision in the Project Document; (ii) complacency and taking a passive stance as opposed to an active approach to knowledge management; and (iii) not capitalizing on the multiplier effect that knowledge management can have on capacity by boosting synergies.</p> <p><b>Outcome 4 well on track to meet outcomes</b></p>
<b>Project Implementation &amp; Adaptive Management</b>	<b>Achievement Rating:</b> <b>5: SATISFACTORY (S)</b>	The 7 benchmarks of implementation (following immediately below) were evaluated. Overall, project implementation has been satisfactory. There are also some indications to suggest that the project has been adaptive (as opposed to reactive) and opportunistic in its management, especially in spite of the limitations and bottlenecks caused by the COVID-19 pandemic.

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>Among these are:</p> <ul style="list-style-type: none"> <li>• PMU demonstrating flexibility in accommodating national priorities and needs suggested by the IP by agreeing to the development of the NASTRA which goes well beyond the scope of what is noted in the Project Document for the end-of-target indicator at the objective level<sup>15</sup>;</li> <li>• Adopting an e-learning model in response to mobility restrictions;</li> <li>• Initiating strong cooperation with agencies and among key stakeholders at the landscape level to create the readiness and enabling environment for scaling activities under Outcome 3;</li> <li>• Collaborating with the Dutch Government via its Embassy in Indonesia and initiating the first Mutual Legal Assistance (MLA) and facilitating a follow-up investigation related to the illegal trade of souvenir items of protected species body parts involving Dutch citizens;</li> <li>• Testing different tools and services to combat IWT through microgrants with NGOs;</li> <li>• The project established linkages or aligned with other government initiatives such as the pilot phase of SPARTAN and prioritizing threat removal through SMART patrolling.</li> </ul> <p><b>BENCHMARKS OF IMPLEMENTATION:</b></p> <p><b>1. Management arrangements:</b> PB and PMU meetings have been consistent and well attended. Some turnover during the initial formation of the PMU have had adverse impacts on project effectiveness, especially during the inception phase which lasted over a year. The project has experienced significant delays due to the difficulties approving procedures and an appropriate support model related to NIM but is now operating more efficiently as it has gained traction.</p> <p><b>2. Work planning:</b> Evidence from interviews suggests that the Annual Work Plan process has been effective, in line with expected standard processes and broadly consultative with project stakeholders. Going forward, it would be good to also involve the RTA in the AWP</p>

<sup>15</sup> A "national strategy for combatting IWT" while noted in the Results Framework in the ProDoc, it is in the context of the end of project target for indicator 0.1. However, there is neither a description of what this entails and its relative importance in the narrative section as an Project Output, nor in the budget notes, therefore suggesting it was not to be the detailed roadmap and anchor that it has become for the Project.

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>process and afford them ample time to weigh in and provide guidance based on their knowledge of the portfolio prior to its submission for approval. Administrative requirements associated with both contracting and procurement have also been efficient. Given the complexity, fundamental nature of and inherent dependencies of some of the outstanding activities, more time will likely be required to build on early progress and gaps in a number of areas, so, an extension of project timeframe is suggested.</p> <p><b>3. Finance and co-finance:</b> Up to December 2020, the project expenditure was US\$3,252,917.02, reflecting a 55% expenditure of the total GEF allocation. The project is underspending against the agreed budget by approximately 15% and expenditure against Outcome 3 is lagging considerably and should be expedited.</p> <p><b>4. Project-level monitoring and evaluation:</b> Monitoring and evaluation needs to be tightened up; in particular a number of indicators and the PortMATE scores. Financial management of co-financing and its inclusion during AWP needs to be improved. Risk management is robust and there is systematic and proactive risk management in line with best practice and the risk register is updated periodically as new risks emerge.</p> <p><b>5. Stakeholder engagement:</b> Stakeholder engagement was initiated in the project planning and inception stages, and subsequently has been leveraged through various partnership arrangements through the Project's microgrants with JAAN, WCS, WWF and YIARI; National level consultations have been conducted via the development of the NASTRA, but is expected to continue to secure broad ownership for the roadmap prior to the document's finalization. Benefit sharing to local communities through alternative livelihood measures to address the "push" and "pull" factors of the IWT needs to be more thought out and demonstrated in order to promote greater community ownership which can lead to more effective partnerships with law enforcement and national park (NP) authorities. While both UNDP and Gakkum have won accolades for their gender work, the gender dimension of implementation strategies, although difficult in the context of law enforcement, need to be accelerated to meet Project targets.</p>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p><b>6. Reporting:</b> reporting requirements (e.g., PB meeting minutes, PIRs, PARs, QMRs) have been carried out fully. Technical reporting needs greater focus on higher-level results and impacts rather than completion of activities.</p> <p><b>7. Communications:</b> Internal communications among project personnel, as well as communications between project personnel and key stakeholders for project planning purposes, have generally been effective; however, has tapered off with the closure of the microgrant agreements. Re-engagement of the 4 main NGOs (and others) is necessary to realize the collaborative vision of the CIWT project and deeper cooperation on IWT issues by leveraging the assets of all entities to their full potential. There is no rigid hierarchy observed which is typical to other projects in the region. Project personnel feel comfortable and are free to escalate issues and there is a great rapport along the communication chain from the RTA to the UNDP Indonesia Country Office to the PMU, through both formal and informal channels. The project has engaged in a robust program for external communications, including the production of high-quality informational materials (e.g., pocketbooks, videos, comic books and campaigns) intended for dissemination to stakeholders and this should be encouraged to continue for the remainder of the Project to ensure sustainability of results. The points noted above should be reflected in the CIWT's forthcoming communication strategy, which should also consider elements of Knowledge Management. The KAP survey should be undertaken at the national level and ought to inform the messaging and target audience(s) of communications going forward.</p>
<b>Sustainability</b>	<b>Achievement Rating:</b> <b>3: MODERATELY LIKELY (ML)</b>	<p>There are a number of issues and risks that threaten the sustainability of the Project in the foreseeable future and after its closure, that ought to be mitigated:</p> <ul style="list-style-type: none"> <li>• Institutional sustainability is enabled through the NASTRA which is the government's long-term vision and roadmap for combatting the illegal wildlife trade. Commitment towards addressing IWT issues by the IP is very strong and is likely to endure post-Project since the NASTRA has a longer-term time horizon (2021-2025) and government personnel have noted that the</li> </ul>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>NASTRA is being refined during this initial phase to inform subsequent iterations. However, the MTR has noted that while there is exceptionally strong ownership for the NASTRA and core issues of the IWT, this does not necessarily translate to ownership of the GEF-financed CIWT project. In fact, on multiple occasions during the MTR, the NASTRA was confused for and was referred to interchangeably for the Project itself. Given the differences in time horizons there is a risk that key activities will not be adequately addressed during the Project's lifecycle. The Project must also not lose sight of the criticality of closing gaps and loopholes within key pieces of legislation and policy within its lifetime.</p> <ul style="list-style-type: none"> <li>• The Project is building momentum and there is recognition of the additionality that GEF brings to the table to realize global environmental benefits; however, this momentum could stall if a sustainable level of funding is not forthcoming post project. Sustainable sources of finance to continue and scale up successful project interventions at the landscape level at key ports, particularly those which are major trading hubs and exit points for wildlife trafficking, are paramount. Without additional financing and capacity, it will be difficult to address the range of threats faced at the landscape level, underscoring the need to accelerate work on Outcome 3.</li> <li>• From a socio-economic perspective, ensuring that local communities with few readily available livelihood options are not overtly or inadvertently drawn into the illegal trade of wild animals via "push" and "pull" factors will require sustained effort through a combination of direct investment and heightened awareness;</li> <li>• Most critical risks were accurately identified at the project design stage, but some risks have increased in severity since then, particularly socio-economic risks (i.e., risk no. 5 &amp; 6) and government commitment to enacting legislation (i.e., risk no. 1). The sustainability of project results and achievement of the project objective will depend on accurate identification of critical risks and putting in place adequate measures to manage and mitigate them. While nobody could</li> </ul>

**Table 2: MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
		<p>have predicted a pandemic of the magnitude which has unfolded, it underscores a key principle of risk management of leaving no stone unturned.</p> <p>Although the sustainability of some Project outputs are in doubt, the mainstreaming of livelihoods and building resilience across communities at the landscape level are expected to have significant long-term beneficial impacts on relationships with local government and law enforcement agencies, and should actively be pursued.</p> <p>The above-mentioned risk factors are significant and threaten the sustainability of the core project objective and outcomes, especially with respect to realizing the aggressive target of reducing the volume of unsustainable trade of key biodiversity species in Indonesia, East and South-East Asia within the next three years. However, the project has achieved success in other important areas, which will likely continue in the future. This is especially true in the area of building knowledge, skills and capacity, among Gakkum personnel, its operations at the subnational level, within other law enforcement entities and the broader public. Institutional capacity development is likely to continue post-project given the institutionalization of new training courses and e-learning modules on the MoEF's platform. Over time and with sustained effort, such benefits may create a multiplier effect to help create new synergies and "spill over" into the national consciousness to support achievement of the originally intended outcomes.</p>

### **Concise Summary of Conclusions**

33. By its nature, and according to the requirements defined in the ToR, this midterm review has followed a rigorous and exhaustive process, albeit entirely virtual, to gather and analyze sufficient data in order to obtain fact-based evidence that is credible, reliable and useful for the purposes of the review. Through this process, a detailed, objective, and accurate view of the project progress to-date has been ascertained.
34. The overall conclusion of the MTR is that the hallmarks of a foundational Project and the enabling conditions for success are largely in place. Despite a slow start bogged down in procedural and administrative matters, delays in securing a shared vision, a caretaker National Project Manager persisting until January 2019, and amidst a global pandemic - which together must have stolen

nearly a year and a half of uninterrupted implementation - considerable progress has been made on a number of fronts that can help to advance the cause of more effective efforts to address the unsustainable and illegal wildlife trade in Indonesia and within the region.

35. Strong successes have been registered, particularly in the areas of improved data management and intelligence capabilities within Gakkum's operations, development of a foundational long-term blueprint for IWT that will endure long after the Project, top rate communications efforts leveraging myriad tools, training and capacity-building using synchronous and asynchronous methods, and to a lesser extent, enhanced threat reduction efforts to flagship species through an aggressive regime of joint patrolling within a relatively short time period. A number of promising community participation models are also in their infancy that if nurtured carefully, will be a boon for scaling and replication efforts under Outcome 3 when it gets moving. These are all things the Project should be proud of thanks to an experienced, passionate and flexible PMU that showed remarkable tenacity, persistence and adaptive management in the face of unprecedented setbacks.
36. Examining the areas in which the project has been relatively successful and contrasting those with the aspects where the project has been weak, it soon becomes apparent that the project has had the most success in its efforts on Outcome 2, while progress at the higher legislative and policy level has been more muted, albeit in a better position going forward with the NASTRA now drafted. The intention of the original project design, working on four different levels, was undoubtedly to encourage synergies among all levels, that would strengthen and lead to a multiplier effect towards the realization of the overall objective.
37. The project strategy is still highly relevant and well-aligned with national policy and both the former and current CPD. The project thus is driven by strong national needs. While combatting IWT issues has strong country ownership, this has not necessarily always translated to ownership of the Project itself. At present the project is only partly on track to achieve its planned results and significantly shift the baseline situation in Indonesia. Implementation to date has shown that the project strategy needs to be further adapted to give greater attention to priority legislation and ensuring the levers to increase fines and sentences translate to law enforcement agencies, prosecutors and the judiciary being able to apply them successfully, in order to tip the scales back in the favour of biodiversity and flagship species. There is also a need to prioritize joint efforts and collaboration with target countries such as China, Vietnam, Malaysia, Thailand and Singapore, as well as accelerating efforts at key ports and at the landscape level to ensure the Project's geographic and ecological coverage are met. The Project would benefit from greater attention to addressing the socio-economic dimensions of IWT at the grassroots level by tackling both the "push" and "pull" factors that make engaging in these activities attractive and realign the calculus of those who might consider it an option through more stringent enforcement measures. There is also an uncapitalized opportunity for significant knowledge transfer from WCS' WCU (cyber patrol unit) to Gakkum to strengthen its online presence and operations.
38. Additionally, the project currently has 14 planned outputs under its 4 outcomes, each of which involves numerous activities at national and subnational levels, including significant interventions pending at demonstration ports and at the landscape level, at sites in remote areas. Given the unanticipated delays and challenges and a remaining implementation timeframe of approximately 3.5 years, even with a six-month extension, the project risks spreading itself too thin and not delivering sufficient impact at scale unless its scope is reduced by being laser focused at prioritizing the interventions and investments that are most likely to deliver significant and sustainable impacts by the end of the project. The MTR process facilitated a Theory of Change (ToC) workshop precisely

to shed light on the key impact pathways to enable the Project to focus on the investments that are likely to deliver results. The Project Results Framework also needs to be comprehensively reviewed and updated to ensure that indicators, baselines and targets are sufficiently 'SMART' and can capture project progress in a meaningful and objective manner.

39. The Project is already generating some useful lessons, communication products, disseminating information and participating in knowledge management activities organized by the GWP. These can provide invaluable guidance to other IWT initiatives and child projects. There is an opportunity here for the project to take more of an active leadership role and not be a passive bystander. This is an area where there is also good potential synergy with and mentorship to the forthcoming UNDP-GEF CONSERVE project.
40. Project management is generally good in that project planning, and technical and financial monitoring and reporting, is timely and follow due process. Annual Work Planning should consider co-financing commitments and inputs for each activity going forward so the Terminal Evaluation does not have to wait for a post-facto assessment by the IP. For more critical analysis of monitoring results, and for harmonizing and integrating reporting and risk monitoring across different reporting formats, Project implementation would benefit from further developing the capacity of PMU staff on monitoring and reporting on higher-level results and impacts against Results Framework indicators rather than at the activity level. There is also need for better understanding of how to accelerate gender considerations into project activities to meet the beneficiary target of 50% in the Project Document.
41. Stakeholder engagement, including communication through effective campaigns, has been generally good when microgrant initiatives were active but needs to be further strengthened both with CSOs through regimented updates, and with local communities and/or other stakeholders at the subnational level in the lead up to ramping up Outcome 3 activities. The Project should consider including stakeholders from other relevant government departments and sectors; in light of the pandemic and obvious linkages between IWT and zoonoses, the Ministry of Health would be appropriate here, perhaps as an observer at PB meetings. Communication strategies are also likely to be more effective if these are tailored to the interests and priorities of different audiences, and therefore, the KAP survey should be expanded nationally.
42. The CIWT Project has resulted in several positive initiatives related to community livelihoods to date, although the scale has been quite small as seen from the interventions carried out and the scope of participants and the number of activities implemented. Activities in the context of the livelihood systems and initiation of training in community patrols or related to animal handling are still scattered and not systematically focused.
43. Gender mainstreaming is constrained by the fact that law enforcement is male dominated and the strongly paternalistic cultures of the rural communities in the landscape level are slow to penetrate. Gender issues can and should become a highlight if the CIWT Project is packaged properly.
44. The sustainability of project outcomes will continue to depend on external funding in the medium-term as the Project transitions to other sources of financial and human resources when the GEF investment is fully utilized. A Project exit strategy - and perhaps even a change management strategy to improve transition of new operating practices - ought to be considered immediately following the MTR, with options for sustaining and building on successful project outcomes. This

strategy needs to be developed by the CIWT project and its partners as soon as possible and well before the end of the project.

## **Preliminary Lessons Learned**

45. The MTR finds the following lessons generated from the review of the documents and consultations with the project stakeholders:

**Lesson 1 - NGOs / CSOs can contribute immensely to law enforcement and ought to be considered strong partners in IWT efforts:** The MTR assessment surfaced the tremendous value and innovation demonstrated by NGOs / CSOs that one would not normally associate with the dismantling of illegal wildlife trade. The results from the microgrants have clearly demonstrated they have a strong role to play in the Project and should be leveraged to their full capacity. From SOPs on animal handling, DNA forensics, recommendations on how to leverage anti-money laundering legislation to the coordinating role on the NASTRA, to name just a few, NGOs bring a lot to the table and are an essential piece to the law enforcement puzzle.

**Lesson 2 - When it comes to tackling IWT, the sum is greater than its parts:** Criminal syndicates have an uncanny ability to evolve, exploit weaknesses, leverage technology effectively to operate under cover and stay ahead of the curve to avoid detection. For this reason, efforts to combat the unsustainable and illegal trade of wildlife are only as strong as the weakest link. Collaboration and cooperation is not just key, but indispensable and an "all hands on deck" strategy is required to pool together the assets, services and intelligence that different actors bring from their own unique lens.

**Lesson 3 - If you build it, will they come?:** The Project has proposed a number of ICT products that are forthcoming, including (i) an android and IOS based mobile protected species application to assist law enforcement agencies in the field such as forest rangers, customs, police, and coast guards in wildlife identification; and (ii) a knowledge management system for e-learning. To ensure uptake and business continuity any new system ought to be accompanied by a change management plan, as well as accompanying documentation of new proposed business processes to support transition.

**Lesson 4 - Campaigns have limited shelf life and need to be refreshed and sustained over time to be effective:** The MTR has highlighted the power of social marketing and the power of electronic and social media towards changing perceptions of the general public and policy makers who are consumers of goods. Use of public figures is also an effective way for people to connect with an issue. With limited attention spans these days, awareness raising should continue throughout projects and be accompanied by a mechanism to gauge changes in opinion on key issues. Also, is it enough to focus campaigns at the domestic level or should the net be cast wider across the region?

## **Recommendation Summary Table**

46. The recommendations which have evolved out of the MTR process, and which are presented in this report, are grouped into two categories: augmentative, and corrective. The **augmentative**

recommendations are those which are intended to expand upon, strengthen, or replicate project actions which have shown relative success thus far in achieving project results (or leading in that direction). The **corrective** recommendations are those which are meant to provide a means for strengthening or putting back on-track those aspects of the project which have shown deficiencies, or which have met persistent obstacles which have hampered successful implementation.

47. An effort has been made to assign priority rankings for the recommendations. The recommendations fall within either high- or medium-priority assigned groups. In addition, some consideration has been given to who the primary responsible parties or units will be for guiding their implementation.

48. A summary of the recommendations which have emerged as a result of this MTR is presented in Table 3. For each recommendation, the following information is given: the general topical category (Project Design and Strategy, Progress Towards Results by Objective and Outcome, Project Implementation & Adaptive Management or Sustainability); designation of the recommendation as either corrective or augmentative in nature; an indication of the priority level; and an indication of who the primary responsible parties or units will be for implementation. The recommendations are discussed in much greater detail in [Section IV](#) of this report. It is expected that, if these recommendations are put into practice during the remaining project timeframe, significant improvements in the implementation of the project can be achieved, leading to more positive project outcomes over the long-term.

49. To summarize, the MTR has recommended **14 corrective** (of which 12 are High and 2 Medium Priority), and **10 augmentative** (of which 4 are High and 6 Medium Priority) actions to be considered by the CIWT project.

**Table 3: Recommendation Summary**

Number <sup>16</sup>	Recommendation	Category	Corrective or Augmentative?	Priority (H=high; M=medium)	Primary Responsible Unit(s) or Party(ies)
1	<p>Undertake a comprehensive, participatory and strategic review of the project design and Results Framework. This includes:</p> <ul style="list-style-type: none"> <li>• reducing the overall scope of work</li> <li>• prioritizing interventions that are likely to have greatest sustainable impact by the end of the project as per outcomes of the Theory of Change workshop facilitated by the MTR consultant team;</li> <li>• paring down and ensuring objective indicators are unique;</li> <li>• ensuring all indicators are SMART;</li> <li>• revisiting dependencies between outcomes, outputs and activities;</li> <li>• ensuring that project progress and impacts can be measured</li> </ul>	Project Design and Strategy	Corrective	H	PMU, IP, PB and UNDP Indonesia Country Office (Quality Assurance and Reporting Unit)

<sup>16</sup> For further details on these recommendations, refer to these numbers as they appear in the text of the report in Section IV

	<ul style="list-style-type: none"> <li>• systematically and rolls up to the objective level;</li> <li>• taking a Theory of Change approach to the prioritization of investments, including the consideration of the <a href="#">Rare behavioural dynamics approach</a> raised during the ToC workshop;</li> <li>• systematically recording all major changes to the original project design described in the Project Document and seek approval from the Project Board.</li> </ul> <p>See <a href="#">Section IIIA</a> and Table 12 for more detail and specific recommendations on Results Framework objectives, outcomes, outputs, indicators, baselines &amp; targets.</p>				
2	Extend the timeframe of the Project by at least six months for operational contingency to account for time lost at the outset of the Project and disruption caused by the COVID-19 pandemic.	Project Design and Strategy	Augmentative	H	UNDP-CO, RTA and GEF
3	Consider how to improve engagement of women in remaining Project activities to improve the chances of reaching gender beneficiary targets of 50%.	Project Design and Strategy	Augmentative	H	PMU, IP
4	Develop a plan on how the individual products and services developed to date will be scaled and integrated into remaining activities (including SOPs, guidelines for using anti-money laundering regime, economic assessment, etc.) to achieve a multiplier effect.	Project Design and Strategy	Corrective	H	PMU, IP
5	Aggressively pursue both direct measures (Plan A) and indirect measures (Plan B) in parallel to change legislation and policies targeted in the Project Document.	Outcome 1	Corrective	H	PMU, IP and PB
6	<p>Take the following steps to ensure traceability between the CIWT project and the NASTRA:</p> <ul style="list-style-type: none"> <li>• <b>Step 1:</b> Develop and map the NASTRA's forthcoming action plan to the CIWT project's outputs and activities. The mapping may not be one to one;</li> <li>• <b>Step 2:</b> Highlight commonalities and associated progress by the Project;</li> <li>• <b>Step 3:</b> Identify items that are not in common (either unique to NASTRA or to the Project) and articulate /</li> </ul>	Outcome 1	Corrective	H	PMU, IP

	<ul style="list-style-type: none"> <li>document the status;</li> <li><b>Step 4:</b> If there are actions in the NASTRA that are not part of the Project scope but can be undertaken with minimal disruption to the Project, following existing governance processes, and assuming no additional funding required from the Project, schedule for delivery in concert with the Project's ongoing activities. Also, if there are items in the Project's scope not covered in the NASTRA, it should either be amended or the IP should acknowledge and commit to its delivery within the remaining timeframe;</li> <li><b>Step 5:</b> Monitor the project's critical path closely to proactively address issues (people, process, technology, governance).</li> </ul>				
7	Seek a Ministerial Decree for the NATSTRA once traceability mapping activity is complete.	Outcome 1	Augmentative	M	IP
8	Produce a pocketbook of the Economic Assessment that is digestible by the judiciary and prosecutors, articulating how it should be leveraged in combination with legislation.	Outcome 1	Corrective	H	PMU, IP
9	Consider a phased roll-out for the IOS / Android application as opposed to a big-bang deployment. Deployment of the mobile application should be accompanied by a change management strategy and amendments to existing SOPs / business processes.	Outcome 2	Augmentative	M	PMU, IP
10	Accelerate finalization of the Project's communication strategy, which should also include the Project's Knowledge Management strategy for Outcome 4.	Outcome 2	Corrective	M	PMU, IP
11	Re-engage microgrant NGOs for additional campaigns to improve sustainability and a focus on the IWT demand.	Outcome 2	Augmentative	M	PMU, IP
12	Adopt and integrate a multi-sectoral <u>One Health</u> approach into future communication and campaign efforts.	Outcome 2	Augmentative	M	PMU, IP
13	Accelerate work on forging MoUs with law enforcement in China, Thailand, Malaysia and Singapore, as well as formalize closer cooperation with the WCU per the Project's Design. It is also recommended for the Project to leverage, strengthen where possible,	Outcome 2	Corrective	H	IP

	and work through existing international IWT collaborations such as ASEAN-WEN.				
14	Accelerate a decision on the coordination mechanism(s) and operational modalities for the execution of activities in the field at the targeted ports and landscapes. <sup>17</sup>	Outcome 3	Corrective	H	PMU, IP
15	Accelerate Knowledge Management (KM) repository (i.e.: MS Teams, SharePoint) and take an active KM approach by requesting, through the RTA, twice annual regimented KM sessions to other GWP child projects on the Project's progress and tools available.	Outcome 4	Augmentative	H	PMU, UNDP-CO, RTA
16	Annual Work Planning should not be finalized or approved until the UNDP-GEF RTA has had an opportunity to comment and weigh in on proposed activities. The Project's spending limit should not be approved until the RTA has endorsed the Annual Work Plan (AWP).	Project Implementation & Adaptive Management	Corrective	H	PMU, IP and RTA
17	Ensure that Annual Work Planning also factors in the amount of co-financing required against existing commitments. For the Terminal Evaluation, these should be tabulated and sent to the IP for validation as opposed to requesting a post-facto calculation.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP, UNDP and WCS
18	Initiate PB meetings twice annually for the remainder of the Project. The first should gauge and take stock of progress on the previous year's AWP and help remove barriers / obstacles to implementation, while the latter should approve the following year's AWP. Additional extraordinary sittings of the PB may be necessary as key issues and risks emerge, but these can be handled virtually or electronically.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP
19	The project should expand partnerships to include other relevant government ministries and institutions such as the Ministry of Health, as well as re-engage the four NGOs (and others), to execute remaining activities, especially in the context of Outcome 3 and to address greater community participation.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP

<sup>17</sup> At the last PB meeting in December 2020, the Project Board Members agreed to suspend the existence of the Project Implementation Units (PIU) in 3 project locations (Medan, Bitung and Surabaya) as stated in the Project Document until there is further study. Furthermore, it was noted that the activities in the regions can be carried out through Civil Society Organizations and / or Relevant Technical Implementing Unit and through provincial offices of the IP. During the fact-finding stage it emerged that the logistics have yet to be formalized.

20	Adopt a workflow automation tool such as DocuSign, to obtain greater efficiency. The project must move away from paper-based signatures to approve activities and events to reduce delays going forward.	Project Implementation & Adaptive Management	Augmentative	M	PMU, IP
21	Revisit, update and consider the SESP risks identified during design, taking stock of the UNDP NCE-VF Desktop Safeguards Review for CIWT project conducted by the designated Safeguards Specialist. This is especially important in the context of re-activation of activities for Outcome 3.	Project Implementation & Adaptive Management	Corrective	M	PMU, IP and UNDP CO
22	Initiate work on a formal exit strategy / transition planning in consultation the broader Project stakeholdership. Consider procuring an experienced Organizational Change Management (OCM) consultant to ensure the exit strategy also includes an OCM plan to enhance the chances of sustainability.	Sustainability	Corrective	H	PMU, IP and UNDP-CO
23	PMU to provide monthly update to all stakeholders engaged to date, to instill collective ownership and responsibility towards sustainability and elevation of Project's impact beyond its conclusion. Promoting open dialogue and feedback will be instrumental for effectiveness and will enhance efficiency.	Sustainability	Augmentative	H	PMU
24	Given the importance of and heavy gender component in the Project and the need to mainstream both gender and community considerations across outcomes to achieve aggressive beneficiary targets and 2030 Agenda, the Terminal Evaluation team should also comprise a gender and community expert to ensure adequate coverage of this issue, currently not well-represented in the MTR consultants' core expertise.	Sustainability	Augmentative	M	UNDP-CO

## I. INTRODUCTION

### A. Purpose and Objectives of the Midterm Review

50. MTRs are a mandatory requirement for all GEF-financed full-sized projects (FSP). They are primarily a monitoring tool to identify challenges to a project's progress towards planned higher-level results, as detailed in the Project Document, and to outline corrective actions, where needed, to ensure that a project is on track to achieve maximum and sustainable results by its completion. MTRs are thus forward looking and solutions oriented. A thorough MTR can also lay the foundation and be instrumental for a strong Terminal Evaluation (TE).

**Table 4: Key features of Midterm Reviews of UNDP-GEF projects**

Mandatory for:	Full-sized projects
Priority focus:	<ul style="list-style-type: none"> <li>Assessment of progress towards results;</li> <li>Monitoring of implementation and adaptive management to improve outcomes;</li> <li>Early identification of risks to sustainability;</li> <li>Emphasis on supportive recommendations.</li> </ul>
Timeframe:	The MTR report must be submitted with the 3rd PIR
Values & Emphasis:	<ul style="list-style-type: none"> <li>Independent, i.e., MTR consultants must be non-UNDP and non-GEF personnel, and must not have had any part in the project design or implementation, including the writing of the Project Document;</li> <li>Emphasis on a participatory and collaborative approach;</li> <li>Opens opportunities for discussion and change in project, as needed.</li> </ul>
Ratings provided for the following:	<ul style="list-style-type: none"> <li>Progress Towards Results (by Outcomes);</li> <li>Project Implementation &amp; Adaptive Management;</li> <li>Sustainability.</li> </ul>
Budget:	Typically, US\$ 30,000-40,000 for Full-sized projects depending on project size and scope and usually budgeted in the Project Document within the M&E Plan.
Management response required by UNDP?	Yes

51. Following on the above, the MTR of the CIWT project is being carried out in line with the UNDP/GEF "Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects" (2014)<sup>18</sup>. In accordance with this guidance, the MTR assesses:

- the project's strategy;
- the effectiveness of project implementation and adaptive management;
- the risks to project sustainability; and
- early signs of project success or failure, as an indication of progress made towards achieving the intended results.

<sup>18</sup> [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf)

52. The assessment to be carried out in this review will be based upon factual evidence which is credible, reliable and useful. Most importantly, the MTR will identify and recommend changes that may need to be made during the final implementation phase, in order to set the project on-track to achieve its intended results.

53. In line with the core goals of the GEF's updated monitoring policy to help the GEF to become more effective in its pursuit of global environmental benefit, the evaluation has the following two overarching objectives:

- I. To promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes, and performance of the partners involved in GEF-financed activities; GEF results are evaluated for their contribution to global environmental benefits;
- II. To promote learning, feedback, and knowledge sharing on results and lessons learned among the GEF and its partners as a basis for decision making on projects, programs, program management, policies, and strategies; and to improve performance.<sup>19</sup>

54. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation (especially for any subsequent phases of the project or follow-up investments, if applicable).

55. Organizing this MTR proved surprisingly challenging, partly due to delays in finding a qualified international consultant that was immediately available. In fact, the national consultant was already in place and ready to commence since October 2020. The MTR finally began in late February 2021 and by the time it gained traction more than 3 years and 3 months had elapsed after the signing of the Project Document.

## **B. Methodology**

56. An MTR inception report was prepared in line with the MTR ToRs outlining the proposed MTR methodology. The methodology of the MTR has followed the step-wise approach set forth in the inception report and noted below (Ref. Annex A for MTR ToRs, Annex B for MTR kick-off meeting slides and Annex C for the Inception Report).

57. Information for the MTR was collected using a combination of secondary sources and direct consultations with stakeholders via unstructured interviews and a dedicated workshop. The general approach and methodology for the MTR was to identify key areas of particular concern identified through the initial review of documents including the Results Framework, PIRs, semi-annual and quarterly reports, Project Board minutes and preliminary tone-setting discussions with the UNDP Indonesia Country Office, members of the PMU and the UNDP-GEF RTA based in the UNDP regional centre in Bangkok.

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<sup>19</sup> <https://www.gefieo.org/evaluations/gef-me-policy-2019> (page 5)

58. The main methods of data collection used during the MTR are listed below with additional details provided in annexes.

### ***Development of Evaluative Matrix***

59. As per Annex 3 (ToR Annex C) of "UNDP/GEF Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects"<sup>20</sup>, an evaluative matrix has been prepared by the MTR team, and is presented in Table 5.

60. As shown in Table 5, the evaluative matrix presents the key questions that are to be answered during the course of the MTR. These questions relate to the following four subject areas:

- Project strategy (not rated in MTRs):
  - i. Is it proving effective in reaching the desired higher-level results?
  - ii. If not, what changes are needed to get the project back on track?
- Progress towards results:
  - i. As measured against project document & workplans, especially the results framework, indicators and targets, agreed GEF or GWP Tracking Tool(s);
- Project implementation and adaptive management:
  - i. Identify challenges & propose additional measures to strengthen;
  - ii. Areas to assess include: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communication.
- Project sustainability:
  - i. Assess key financial, socio-economic, institutional framework & governance and environmental risks to sustainability.

61. Rating scales for the above are available in Annex D. Additional topics and questions are included under each of these four broad areas (see Annex 1, Section D) and in Chapter 3 and Annex 3 of the UNDP-GEF guidance for MTRs.<sup>21</sup>

62. The matrix also identifies:

- the various indicators which will reflect whether or not specific conditions or targets are met;
- the sources of data and information to be utilized to support the analysis; and
- the methodology to be employed in gathering the data.

63. Taking all these features into account, the evaluative matrix provides a clear and logical guide for how the MTR is to be conducted.

<sup>20</sup> [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf) (page 46)

<sup>21</sup> [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf) (pages 14 & 29)

64. The following evaluative matrix was used as a logical guide of the core MTR line of questioning. Some of the questions identified herein changed as the consultants drilled deeper into specific issues and as additional documentation was digested during the fact-finding stage that was not made available at the time of the inception report.

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<b>Questions Related to the Review of Project Indicators</b>			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
What monitoring data has been / is being collected to support the project's results indicators?	Evidence of active and ongoing collection of monitoring data and not post-facto.	Document review, stakeholder interviews	Desk review and interviews
What links have been developed with Thailand GEF-6 project in the Global Wildlife Program (GWP)?	Evidence of distillation of lessons and communication with GWP on two-way information sharing.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
What progress has been made on the revision of UU5/1990 and PP7/1999 to reflect IWT issues?	Evidence of progress on revision of legislation.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Have the tracking tools and GEF-7 scorecards shown improvements from inception of the project through the midterm?	Improved scoring from respective tracking tools	Tracking tools, stakeholder interviews	Desk review and interviews
At least 1000 personnel have improved knowledge on IWT (500m/500f); At least 300 local people in project demo areas benefit directly from project intervention (150m/150f);	Collection of data on an ongoing basis.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b>			
How has the end of project already been achieved?	Coherence of calculation.	Document review, stakeholder interviews	Desk review and interviews

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b>			
To what extent is the project succeeding in being a show case for new initiatives and how are lessons being captured and disseminated?	Lessons learned being filtered to other projects / initiatives.	Document review, stakeholder interviews	Desk review and interviews
<b>Project Strategy:</b> To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
Do you believe the project is still relevant to the Indonesian context and what has been the impact realizing thus far, if any?	Consistency with national strategies and policies. Participation of national/state agencies in proposal development	Project document, meeting minutes, national policy documents	Desk review, questionnaire and interviews
Were lessons from other projects incorporated into the project strategy?	Reference of lessons learned, from other projects, captured	Project document and stakeholder interviews	Desk review, questionnaire and interviews
How was the project goals and objectives used to update the CPD (2021-2025)?	Consistency with updated CPD	Comparison between CPD (2016-2020) and CPD (2021-2025)	Desk review, questionnaire and interviews
Is the project aligned to the GWP (i.e.: programme elements and theory of change)?	Consistency with GWP	GWP TOC and best practices documents	Desk review and interview with UNDP-CO and RTA
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
Was the project strategy developed cognizant of national/state sector development priorities?	Consistency with national strategies and policies. Participation of national/state agencies in proposal development	Project document, meeting minutes, national policy documents	Desk review, questionnaire and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Did persons or groups who would potentially be affected by the project have an opportunity	Level of participation of persons or groups potentially affected by the project	Project document, inception report, stakeholder interviews SESP	Desk review and interviews

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
to provide input to its design and strategy?			
Were gender and social inclusiveness considered in developing the project strategy?	Active stakeholder involvement from both men and women, including positive changes of gender inclusivity	Project document, inception report, stakeholder interviews	Desk review, questionnaire and interviews
<b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b>			
Did persons or groups who would potentially be affected by the project have an opportunity to provide input to its design and strategy?	Level of participation of persons or groups potentially affected by the project	Project document, inception report, stakeholder interviews SESP	Desk review and interviews
<b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b>			
If you had the opportunity to redesign the project what changes would you make?	Documentation of any lessons learned to date	PIR, stakeholder interviews	Questionnaire and interviews
<b>Progress Towards Results:</b> To what extent have the expected outcomes and objectives of the project been achieved thus far?			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
What remaining barriers exist to achieving the project objective, within the time remaining until project completion?	Identification of barriers and strategies to address the barriers	Progress reports, meeting minutes, stakeholder interviews	Desk review, questionnaire and interviews
How is the workload divided among the PCU?	Equal division of labour relative to project components.	Org chart, meeting minutes and stakeholder interviews	Desk review, questionnaire and interviews
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
Based on identified successes, how can the project further expand these benefits?	Replication of successful outputs and evidence of enhanced PA management	Progress reports, meeting minutes, stakeholder interviews	Desk review, questionnaire and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Have the tracking tools and GEF-7 scorecards shown improvements from inception of	Improved scoring from respective tracking tools	Tracking tools, stakeholder interviews	Desk review and interviews

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
the project through the midterm?			
How have the scorecards been managed (via expert consultant or by the PCU)?	Evidence of who is overseeing the scorecard and data collection	Tracking tools, stakeholder interviews	Desk review and interviews
What capacity improvements - human and institutional - have been achieved? What additional improvements do you foresee before end of project?	Evidence of who is overseeing the scorecard and data collection	Tracking tools, stakeholder interviews	Desk review and interviews
<i><b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b></i>			
How has COVID-19 impacted the project's outcome and objectives?	Identification of obstacles to meeting objectives and outcomes as a result of COVID-19	Project Implementation Review (PIR), Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews
<i><b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b></i>			
How has COVID-19 impacted the project's outcome and objectives?	Identification of obstacles to meeting objectives and outcomes as a result of COVID-19	Project Implementation Review (PIR), Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews
<b>Project Implementation and Adaptive Management:</b> 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?			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
Have changes in management arrangements been needed due to changing conditions?	Results from M&E are used to adjust and improve management decisions	Project Implementation Review (PIR), Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff
Have changes been made in management arrangements, and were they effective?	Adaptation and reflection characterize the project's management	Project Implementation Review (PIR), progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
What support has been required by the UNDP-CO over and above its mandate in a NIM implementation?	Leadership of the UNDP-CO and RTA and active role of UNDP in project activities and to the project implementation	Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Were delays encountered in project start-up/implementation, disbursement of funds, or procurement?	Compliance with schedule as planned and deviation from it is duly addressed	Annual workplan, project audits, project outputs, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
How have constraints to implementation been addressed and what key challenges remain (e.g. in terms of disbursements, implementation, work-planning)?	Identification of barriers and strategies to address the barriers	Progress reports, meeting minutes, stakeholder interviews	Desk review, questionnaire and interviews
Is work planning for the project (i.e., funds disbursement, scheduling, etc.) effective and efficient?	Responsiveness to significant implementation problems	Annual workplan, project audits, project outputs, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
Have changes been made to the project results framework?	Variances between initial and existing project results framework	Project Implementation Review, progress reports, stakeholder interviews	Desk review, field visits and interviews
Are the project M&E tools adequate to guide ongoing project management and adaptive processes?	Sufficient budget and fund allocated to M&E and tools aid in its actual undertaking	Tracking tools, stakeholder interviews	Desk review and interviews
How is risk managed in the project?	Regular updates made to risk register	Risk log	Desk review and interviews
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
Has the IP been effective in guiding the implementation of the project?	Leadership of the National Project Director and ownership of other Directorate officials	Project Implementation Review (PIR), progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
Have executing partners fulfilled their obligations and been effective in the implementation of the project?	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project procurement, Tracking Tools and reporting	Desk review, questionnaire and interviews with project staff and other stakeholders
Have changes been made to the TOC?	Variances between initial TOC and any updated version	TOC	Desk review and interviews
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
How is risk managed in the project?	Regular updates made to risk register	Risk log	Desk review and interviews
What has been the most challenging and rewarding aspects of the project that you have encountered thus far?	Enthusiasm of project results linked to the project objective and constructive criticism	Stakeholder interviews and questionnaire results	Questionnaire and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Have executing partners fulfilled their obligations and been effective in the implementation of the project?	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project procurement, Tracking Tools and reporting	Desk review, questionnaire and interviews with project staff and other stakeholders
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
<b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b>			
Have executing partners fulfilled their obligations and been effective in the implementation of the project?	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project procurement, Tracking Tools and reporting	Desk review, questionnaire and interviews with project staff and other stakeholders
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
<b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b>			
Has UNDP been effective in providing support for the project?	Quality and timeliness of support	Stakeholder interviews, project procurement, disbursement and Tracking Tools	Desk review, questionnaire and interviews with project staff and other stakeholders
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
How has the project responded to COVID-19 challenges?	Change in project scope and/or delivery channels and special planning	Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review and interviews
<b>Sustainability:</b> To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
Following conclusion of the project, what is the likelihood that adequate financial resources will be in place to sustain the project's outcomes?	Opportunities for financial sustainability from multiple sources exist	Project Document, Annual Project Review/PIR	Project Document, Annual Project Review/PIR
What handover / exit strategies have been developed?	Opportunities for Institutional sustainability from multiple sources exist	Project Document, Annual Project Review/PIR	Project Document, Annual Project Review/PIR
<b>Outcome 1:</b> Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.			
Are legal frameworks, policies, and institutional arrangements favourable for sustaining the project's outcomes following conclusion of the project?	Exit strategies available with policies, legal frameworks, and institutional capacity put in place	Progress reports, meeting minutes, stakeholder interviews, review of legislative framework and questionnaire data	Desk review, questionnaire and interviews
How confident are you that the government partners will enact the necessary legislative changes recommended by the Project?	Exit strategies available with policies, legal frameworks, and institutional capacity put in place	Progress reports, meeting minutes, stakeholder interviews, review of legislative framework and questionnaire data	Desk review, questionnaire and interviews
<b>Outcome 2:</b> Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.			
Is it expected that, upon conclusion of the project, stakeholder ownership will be sufficient to sustain the project's outcomes?	Identification and involvement of champions at different levels of the project	Progress reports, meeting minutes, stakeholder interviews and questionnaire results	Desk review, questionnaire and interviews
<b>Outcome 3:</b> Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.			
How is repatriation of flagship species affecting the conservation status of those species?	Comparison of repatriated species with trend levels.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 4:</b> Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.			

<b>Table 5: Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Are there any environmental risks that could jeopardize the sustainability of the project's outcomes?	Environmental factors or negative impacts are foreseen and mitigation measures are planned	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews
What progress is being made on sustainable finance mechanisms and how will activities at the project site be financed after the project is ended?	Financial factors or negative impacts are foreseen and mitigation measures are planned	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews

## **Document Review**

65. The team has undertaken a thorough review of the rather substantial body of documentation that has been produced over the course of the Project. The complete file of project documents was made available to the team electronically through a [Google Drive system](#). Other information sources including documents external to the project itself, websites, scientific papers and reports from other UN entities such as UNODC have also been utilized as data sources. Annex E highlights a consolidation list of the primary information resources and reference materials that have been reviewed by the MTR team.

## **Stakeholder Consultations**

66. Key stakeholders interviewed during the MTR were identified based on one or more of the following criteria:

- Project partner with direct role in project implementation and/or management oversight (i.e., UNDP, Gakkum MoEF) at national level;
- National GEF focal point;
- UNDP-RTA
- Senior government personnel at national and subnational level within the Directorates of Law Enforcement on Environment and Forestry, as well as that of Conservation of Natural Resources and Ecosystems;
- Heads of national parks targeted by the Project;
- A cross-section of Heads of regional BKSDA offices;
- Project Board members;
- Academia and members of scientific institutes;
- Any subcontractors responsible for key deliverables under the Project;
- Entities involved in the creation of training modules and supporting materials;
- Project beneficiaries (including recipients of any training sessions delivered);
- Relevant police and customs agencies and port management authorities;
- Volunteer women investigators and rangers from local communities.

67. Throughout the process the MTR team sought to be as participatory and collaborative as possible continually refining the list of interviewees to ensure balance, representation and critical mass of stakeholders identified in the inception report.

68. A list of stakeholders consulted during the **28** virtual Zoom sessions conducted during the MTR is given in Annex F and an indicative list of interview questions can be found in [Annex J](#).

## **Online Questionnaire**

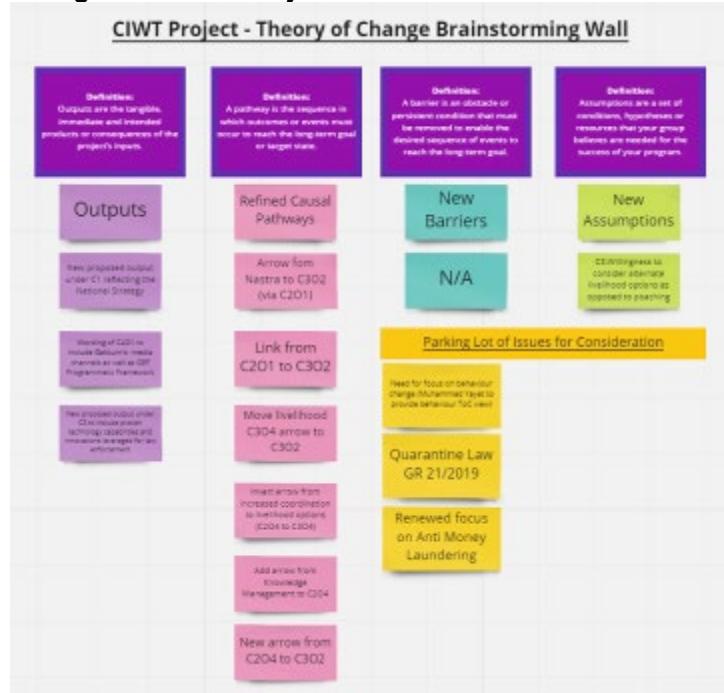
69. The MTR developed an online questionnaire circulated to 48 individuals representing the audience cross-section noted above. The online survey, using the SurveyMonkey platform, consisted of 35 questions and was designed to gauge overall perceptions and thoughts about the results and impact of the UNDP-GEF CIWT project across four categories including: (i) Section 1 – Project Strategy, Design and Value; (ii) Section 2 – Project Planning and Reporting; (iii) Section 3 – Project Inception; and (iv) Section 4 – Project Execution and Delivery. In spite of virtual consultations, it was felt that the anonymity of an online questionnaire might surface issues that stakeholders - many of whom are

government personnel - might not necessarily want to share during interviews. A copy of the online survey and results is available as an embedded file in Annex G.

### **Theory of Change Workshop**

70. A workshop was organized at the request of the MTR consultant team to collectively review the Project's conceptual model and Theory of Change (TOC) with a small number of key stakeholders, as a mechanism to revisit the Project's impact pathways, to revisit assumptions, re-assess barriers and to determine whether or not any new deliverables warrant being elevated as new Outputs in the Results Framework. As per Figure 1 below, a brainstorm session was facilitated by the MTR consultant team and the ensuing discussion was used to refine both the conceptual model and TOC. Please see [Section IIIA](#) for the suggested modifications to both.

**Figure 1. CIWT Project ToC Virtual Brainstorm Wall**



### **Consultation Follow-up**

71. Following the formal interviews with stakeholders, additional actions were undertaken to continue information gathering, triangulating data, cross-referencing and validating data functions, including a trend analysis of the online survey. In some cases, these actions included follow-up consultations with specific stakeholders and the PMU for verification purposes. A Concluding Workshop was held on 06 May 2021, during which the MTR findings and recommendations were presented (Ref. Annex H for MTR preliminary findings PowerPoint slides).

### **Preparation and Structure of the MTR Report**

72. The preparation of this MTR report has entailed a thorough processing and analysis of the detailed and voluminous data collected during the course of the review team's activities (i.e. documenting

each of the stakeholder interviews and sifting through the online survey results and re-reading key documents to formulate ratings). The report follows the structure prescribed in the UNDP/GEF Guidance for Conducting Midterm Reviews. In addition to the MTR Final Report, the MTR team has prepared two additional, separate but related files:

- An audit trail which records comments received from various stakeholders concerning the MTR and the actions and responses by the MTR team; and
- A template for the Recommendations and Management Response. It is the understanding of the MTR team that this template will be used by project management (i.e., UNDP and the PMU) to define the specific steps that should be taken in response to the MTR recommendations, in order to be able to effectively implement them.

## **C. Limitations Encountered During the MTR**

73. There were no major methodological limitations as both the Team Leader and Technical Expert were able to solicit input from and speak with all the main stakeholders of the Project, and obtain detailed data on the Project's progress on which to base evidence-based ratings and consume key documentation.

74. There were five procedural limitations faced by the MTR consultant team as follows:

**Language Barrier:** Many of the status reports and key deliverables of the Project are in Bahasa, presenting a challenge for the Team Leader to consume them. Furthermore, nearly half of the selected interviewees did not speak English and consultations were conducted in Bahasa. This bottleneck was overcome by relying on the expertise and capacity of the national consultant who produced both detailed minutes in English of each of the interviews for the consumption of the Team Leader, as well as synopses of key documentation, project deliverables such as e-learning modules and PB minutes. While this system was a successful mitigation, it did add an extra step and time to the evaluation and therefore, introduced a lag in the process.

**Selection of interviewees:** Selection of interviewees was coordinated arranged by the PMU based on the UNDP Indonesia Country Office's practice and partly guided by the availability, accessibility and willingness of stakeholders to participate in the MTR process. As a result, the interview process went well into April; three weeks beyond what was envisioned in the inception report. The long list of stakeholders provided at the outset of the MTR included 48+ individuals and while the MTR consultant team managed to speak with the bulk of these, there were key people that the team would have liked to speak to but did not make themselves available in spite of repeated requests such as the DG of Law Enforcement; the brainchild of the NASTRA and gatekeeper of the IP's vision of the project. While the PMU did show flexibility in amending the list of interviewees in line with requests made by the Team Leader, the MTR consultant team's lack of control of the consultation process does undermine to some degree the independence and impartiality of it.

**Virtual MTR:** Virtual evaluations are never ideal, especially for projects like this one operating at different scales, with designated field components warranting deeper investigation and with such a diverse set of partners and law enforcement agencies. In fact, virtual evaluations take considerably more time in order to get one's bearings to the subject matter and the need for more due diligence and cross referencing of data. Simply put, there is no substitute for verification missions and face-to-face interviews.

**COVID-19 Lockdown:** Just as the Team Leader was turning attention to report writing, a province-wide lockdown and suspension of schools was implemented in their home country, which negatively impacted the number of hours available during the critical writing phase.

**Time constraints:** With an original timeline of just over two months, the time allotted for the MTR was less than ideal and untenable given some of the limitations noted above.

**Community and gender expertise:** As would normally be the case for a Project with significant gender and community aspects, a designated gender and community expert should have been also been part of the MTR team (total of 3 consultants; 1 international and 2 national) to ensure adequate coverage and expertise in this domain. This should be remediated in the Terminal Evaluation.

#### **D. Structure of the MTR Report**

75. The rest of this report is structured as follows: Section II provides background information and impetus for the CIWT project itself and the problems and threats that the project is designed to address and outlines the project's objective, components and management arrangements; Section III presents the core findings of the MTR organized under sub-sections on – project strategy, progress towards results, project implementation and adaptive management and sustainability; Section IV concludes and presents recommendations.

## II. PROJECT DESCRIPTION AND BACKGROUND

### A. Country, Environment & Development Context

#### *Country Context*

76. The Republic of Indonesia - a diverse archipelago nation of more than 300 ethnic groups - is a large country in Southeast Asia that comprises more than 17,000 islands making it the largest archipelagic nation in the world with more than 95,000 km<sup>2</sup> of coastline. The islands of Indonesia include (parts of) the second (New Guinea), third (Borneo) and sixth (Sumatra) largest islands in the world; in addition to numerous smaller and larger islands. The total land area of Indonesia is 1,919,440 square kilometers with an average population density of 134 people per square kilometre making it the fourth most populous country in the world as per the most recent national census undertaken in 2020.<sup>22, 23</sup>

77. It is the largest economy in Southeast Asia, Indonesia has charted impressive economic growth since overcoming the Asian financial crisis of the late 1990s. The Republic of Indonesia is the world's 10th largest economy in terms of purchasing power parity, and a member of the G-20. Furthermore, it has made enormous strides forward in poverty reduction, cutting the poverty rate by more than half since 1999, to 9.78% in 2020. Prior to the COVID-19 crisis, Indonesia was able to maintain a consistent economic growth, recently qualifying the country to reach the upper middle-income status.<sup>24</sup>

#### *Environment & Development Context*

78. Due to its tropical setting and geological complexity, Indonesia is one of the most biologically diverse nations with very high levels of both terrestrial and marine diversity and a high level of endemism. Its insular character and complex geological history led to the evolution of a megadiverse fauna and flora on the global scale and Indonesia's biological diversity is among the richest in the world and is widely recognized as one of 17 mega-diverse countries on earth.

79. It is also home to 2 of the world's 25 "hotspots", has 18 World Wildlife Fund's "Global 200" ecoregions and 24 of Bird Life International's "Endemic Bird Areas". The country possesses 10% of the world's flowering species (estimated 25,000 flowering plants, 55% endemic) and ranks as one of the world's centres for agrobiodiversity of plant cultivars and domesticated livestock. For fauna diversity, about 12% of the world's mammals (773 species<sup>25</sup>) occur in Indonesia, ranking it second, after Brazil, at the global level. About 16% of the world's reptiles (781 species) and 62 species of

<sup>22</sup> "Hasil Sensus Penduduk 2020" Statistics Indonesia. 21 January 2021. p. 9. Archived from the original on 22 January 2021. Retrieved 21 January 2021.

<sup>23</sup> The population is not evenly distributed with the island of Java having a population of 940 people per square kilometre while other areas, such as Kalimantan (Indonesian Borneo) and parts of Sulawesi, have densities below 50 people per square kilometre. In Irian Jaya (Indonesian New Guinea), the population density was only 6 people per square kilometre in 2000.

<sup>24</sup> World Bank Country Overview: <https://www.worldbank.org/en/country/indonesia/overview>

<sup>25</sup> Maryanto I, Achmadi AS, Mahardatunkamsi D, Wiantoro S. et al. 2019. Checklist of the mammals of Indonesia - Scientific, English, Indonesia name and distribution area table in Indonesia including CITES, IUCN and Indonesia Category for Conservation.

primate<sup>26</sup> place Indonesia fourth in the world. Further, 17% of the total species of birds (1,748 species<sup>27</sup>) and 270 species of amphibians place Indonesia in the fifth and sixth ranks, respectively, in the world.<sup>28</sup> Indonesia has 556 protected areas covering 36,069,368.04 million ha which consist of 490 terrestrial protected areas (22,540,170.38 ha) and 76 marine protected areas (13,529,197.66 ha).

80. Unhappily, the country's transition to become middle-income - and rapid rate of industrialization associated with it - has exerted various pressures on its biodiversity and resource endowments, leaving many species vulnerable; some even facing threats of extinction. The high population density of Indonesia combined with a rapid rate of growth pose a serious threat to its natural environment. Furthermore, corruption and poverty combine to make it even more difficult to address this threat in an adequate fashion and have impeded attempts to protect and restore natural areas and species.
81. The most recognized factors affecting biodiversity loss and species extinction in Indonesia are habitat degradation and fragmentation, landscape changes, over-exploitation, pollution, climate change, alien species, forest and land fires, and the economic and political crises occurring in the country.
82. However, and perhaps the most insidious threat to the country's biodiversity, is the illegal wildlife trade as Southeast Asia plays an important source and gateway role. Illegal wildlife trafficking is a complex multi-dimensional phenomenon, often resulting from the interplay of a multitude of factors and can involve a wide variety of state and non-state actors.
83. At the heart of the illegal wildlife trade are criminal networks that operate throughout the region using highly developed trade infrastructure and strong integration into the global economy. Organized criminal groups leverage loosely affiliated networks of familial ties, corrupt officials and intimidation of publicly registered companies to buy, sell, poach and export illegal wildlife with lack of detection. They may use major airports and seaports as hubs for globally sourced illegal wildlife. The borders of countries with many islands such as Indonesia are difficult to monitor and control, which facilitates transit of both domestic and internationally sourced illegal wildlife and wildlife products.
84. To achieve an effective response and monitoring regime, monitoring needs to be addressed via a coordinated approach across the entire trade chain. The complexity inherent to illegal wildlife trafficking issues also makes it challenging for governments and international organizations, as well as the Multilateral Environmental Agreements to which they belong, to identify the gaps in existing monitoring, legislative, administrative, enforcement and preventive systems<sup>29</sup>.
85. Indonesia has long been recognized as one of the most significant origins of illegal wildlife trade, targeting tigers, sun bears, various primates, elephants, rhinos, helmeted hornbill, various birds in particular middle and eastern part of Indonesia, and pangolins. The value of the illegal trade in Indonesia alone is estimated at up to US\$1 billion per year but when one factors in the unsustainable legal trade of species, the value increases exponentially, representing an enormous economic, environmental, and social loss.

<sup>26</sup> <https://generasibiologi.com/2017/08/daftar-nama-primata-di-indonesia.html>

<sup>27</sup> [https://en.wikipedia.org/wiki/List\\_of\\_birds\\_of\\_Indonesia](https://en.wikipedia.org/wiki/List_of_birds_of_Indonesia)

<sup>28</sup> [Convention on Biological Diversity.](#)

<sup>29</sup> [Wildlife and Forest Crime Analytic Toolkit \(2012\). International Consortium on Combating Wildlife Crime. UNODC](#)

86. Over time this situation has led to a rapid decline in biological diversity which is characterized by the following persistent threats:

- The illegal trade in fauna and flora can fetch huge sums and the global market has been estimated to be *in excess* of US\$7-23 billion dollars annually, including US\$2.5 billion in East Asia and the Pacific alone;<sup>30, 31, 32</sup>
- Illegal trade has already caused the decline and local extinction of many species across East and South-East Asia, including those inside protected areas. Losses have been more pronounced in areas with populations of tigers, Asian elephants, and various turtle species. In the process, local economies are deprived of billions of dollars in lost revenues and shunted development opportunities;
- Combating the illegal wildlife trade in Indonesia is hindered by its low domestic political profile, which translates into a lack of interest and poor collaboration between law enforcement agencies<sup>33</sup>. There is also a widespread lack of understanding of laws, their application and enforcement procedures at all levels. There are also regulatory loopholes and jurisdictional inconsistencies that prevent efficiencies in arrests and successful prosecutions;
- Wildlife crime is driven by complex demand dynamics and fluid markets. Furthermore, underlying socio-economic factors including population growth and poverty in rural and protected area boundary zones also exacerbates the problem and productive job opportunities – which might provide local residents with an alternative source of livelihood – are limited, driving some to engage in illegal poaching activities;
- Dynamic demands and changing markets are also underpinned by a culture of hunting and captivity for cultural aesthetics and partly for competitive purposes. In some instances, it is also a customary to exchange souvenirs between colleagues, including in the tradition of marriage.

*"IN THE PAST AT THE PROVINCIAL LEVEL, MOEF INVESTIGATORS IN JAMBI PROVINCE (FOR EXAMPLE) WERE NOT ALLOWED TO MAKE ARRESTS IN RIAU, SO IF YOU WANTED TO ARREST PERPETRATORS, YOU WOULD HAVE TO FIRST CALL A RANGER (SPORC) OR RIAU INVESTIGATOR. THE NEW DIVISION OF GAKKUM OFFERS HOPE FOR MORE ACCELERATED COOPERATION ON IWT"*

<sup>30</sup> Nelleman, C., Henriksen, R., Raxter, P., Ash, N., Mrema, E. (Eds). 2014. The Environmental Crime Crisis – Threats to Sustainable Development from Illegal Exploitation and Trade in Wildlife and Forest Resources. A UNEP Rapid Response Assessment. United Nations Environment Programme and GRID-Arendal, Nairobi and Arendal,

<sup>31</sup> UNODC. 2013. Transnational Organized Crime in East Asia and the Pacific. A threat assessment. United Nations Office on Drugs and Crime.

<sup>32</sup> Some of the values associated with wildlife products are huge; ivory is being traded at over \$2000/kg whilst Rhino horn can fetch over \$66,000/kg, Helmeted Hornbill beaks trade for \$6400/kg in China, Sun Bear gall bladders up to \$2000 each, Tiger canine pairs at \$6200-7200/kg and Pangolin scales \$3000/kg.

<sup>33</sup> Poor collaboration is also exacerbated by bureaucratic and jurisdictional issues that persist between cross-regional law enforcement agencies. Between, for example, KORWAS (Supervision Coordinator) of the national police, together with civil investigators, including investigators from Gakkum - MoEF. Because the police are KORWAS who have mandated investigative supervision, they can immediately take action without coordinating with the MoEF, but Gakkum investigators must coordinate with the police. Such an integrated system was built with the intention to ensure the quality of the investigation process by civil investigators. At present, issues are still manifesting themselves, especially in cases of illegal logging or other taxa; for wildlife, the situation is marginally better. The MoEF also has a team at the Quarantine Centre, so coordination is relatively good with officials from the Ministry of Agriculture. However, this is not the case with ports, airports and maritime agencies, leading to obstacles towards better cooperation; IWT is actually the cross-dimensional problem that can stimulate progress on this issue.

## **B. Problems that the Project Seeks to Address**

87. The Project is designed to address and remove the key gaps to accomplishing the long-term solution to this challenge, namely to conserve key wildlife species in Indonesia and East and Southeast Asia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country. Specifically, the key barriers to be lifted are:

- i. **weak policy and regulatory framework**, including inadequate legislation, policy and frameworks, as well as overlapping mandates, insufficient information and tools to understand, regulate and combat illegal wildlife trade. Key issues that need to be resolved regarding the legal framework are:
  - a. outdated and weak Government Regulation No. 7/1999 on Wildlife Preservation, under Act No. 5/1990, which fails to protect some CITES listed species, and other species that are of critical conservation concern in Indonesia;
  - b. shortcomings with GR No. 8/1999, on Use of Wild Flora and Fauna Species, specifically articles that clearly align the regulation with existing CITES requirements, as well as lack of articles and guidance on appropriate monitoring and control of species utilization activities.
- ii. **suboptimal institutional capacity** for compliance monitoring and enforcement among police and customs agencies. Specific gaps and weaknesses under Barrier 2 include:
  - a. lack of technical knowledge within investigators and prosecutors;
  - b. insufficient knowledge/training for enforcement officers;
  - c. limited capacity of civil investigators, requiring some degree of specialist knowledge;
  - d. inadequate coordination among key institutions and insufficient data sharing in Indonesia and the need for stronger bilateral, regional and international cooperation.
- iii. **Ineffective enforcement at the site and landscape levels**, including the need for taking a multi-agency landscape-level approach within protected areas with populations of globally significant biodiversity and at key ports. Specific gaps and weaknesses under Barrier 3 include:
  - a. insufficient preventive enforcement actions in natural landscapes that stop wildlife entering the wildlife trade in the first place; and
  - b. inadequate focus on markets and transport hubs, which are key focal points in the illegal wildlife trade and where officers from other government agencies (airport and seaport security, customs, etc.) could be brought into the equation to increase the overall surveillance effort.
- iv. **Inadequate information sharing mechanisms** to support responses to IWT and impeding the conservation and sustainable management of Indonesia's rich and diverse wildlife resources. The key issue is:
  - a. insufficient number of case studies and lessons learned on key issues relating to IWT and gender considerations on the topic, published as technical briefs.

## **C. Project Description and Strategy**

88. The goal of the project is:

***To put in place a comprehensive system to control trade which will eliminate the risk of further loss and extinction of wildlife, and which requires no further donor input.***

89. The development challenge that the Project seeks to address concerns the devastating impact of unsustainable and illegal wildlife trade on wildlife populations in Indonesia and SE Asia. And therefore, the CIWT project is expected to contribute to a singular objective:

***To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.***

90. In order to achieve its objective, the project is working at four levels – national level, subnational / landscape level, site level and internationally via strengthened bilateral, regional and international cooperation envisioned by the Project, as well as through linkages with the GWP.

91. As shown in Table 6 below, the project interventions are structured into four outcome-oriented components and 14 corresponding outputs as the expected results.

**Table 6: Project Components, Outcomes and Outputs at Four Levels**

COMPONENT	OUTCOME	OUTPUT(S)
<b>Component 1:</b> Effective national framework for managing wildlife trade.	<b>Outcome 1:</b> Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.	<b>Output 1.1:</b> Amendments and drafts for policies, legislation, regulations and procedures to reduce illegal wildlife trade and improve implementation of CITES in Indonesia are developed and legal adoption processes supported  <b>Output 1.2:</b> Proposal for a National Wildlife Crime Taskforce for improved collaboration amongst responsible agencies is developed and operationalized during the project  <b>Output 1.3:</b> Economic assessments conducted to quantify the value of legal and illegal wildlife trade and its impacts on the national economy and to assess the feasibility of cost-recovery mechanisms
<b>Component 2:</b> Institutional capacity for implementation and enforcement at	<b>Outcome 2:</b> Strengthened institutional capacity for regulatory	<b>Output 2.1:</b> Strengthened capacity of Gakkum to tackle IWT

**Table 6: Project Components, Outcomes and Outputs at Four Levels**

COMPONENT	OUTCOME	OUTPUT(S)
the national and international levels.	coordination, implementation and enforcement at the national and international levels.	<p><b>Output 2.2:</b> Training modules and standard operating procedures (SOPs) are developed for integration into government training programmes</p> <p><b>Output 2.3:</b> DG Law Enforcement and other key agencies are trained in wildlife forensics techniques and provided with necessary equipment and expert support</p> <p><b>Output 2.4:</b> Drafts of International Agreements on IWT control are prepared; collaboration with international agencies is facilitated; participation of Indonesia representatives in ASEAN WEN and CITES is supported</p> <p><b>Output 2.5:</b> Communication Strategy and social marketing campaigns to increase awareness on IWT are implemented at national and regional scales</p>
<b>Component 3:</b> Scaling-up improved enforcement strategy at key trade ports and connected ecosystems.	<b>Outcome 3:</b> Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.	<p><b>Output 3.1:</b> Capacity development supported at demonstration ports including training of key agency staff on CITES and IWT control with focused attention on Surabaya port</p> <p><b>Output 3.2:</b> Inter-agency coordination mechanisms for addressing IWT are developed and introduced for the selected subnational regions and ports</p>

**Table 6: Project Components, Outcomes and Outputs at Four Levels**

COMPONENT	OUTCOME	OUTPUT(S)
		<b>Output 3.3:</b> Gakkum's operations strengthened and key stakeholders effectively engaged in the western and eastern Indonesia demonstration sites including capacity development for SMART patrolling
<b>Component 4:</b> Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming.	<b>Outcome 4:</b> Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.	<b>Output 4.1:</b> Knowledge management is coordinated with other GEF projects through the GEF Programmatic Framework to Prevent the Extinction of Known Threatened Species <b>Output 4.2:</b> M&E system incorporating gender mainstreaming developed and implemented for adaptive project management

92. To remove the barriers at the subnational / landscape level, the Project focuses demonstration activities / upscaling activities as part of Component 3, targeting two regions, four seaports and one airport.

93. There are two protected areas within the demonstration regions include the second largest in Sumatra (Gunung Leuser NP) and the largest in Sulawesi (Bogani Nani Wartabone NP), both of which are strongholds for many of the Project's targeted species that are heavily traded through the related targeted ports.

**Table 7: Key features of the project demonstration regions**

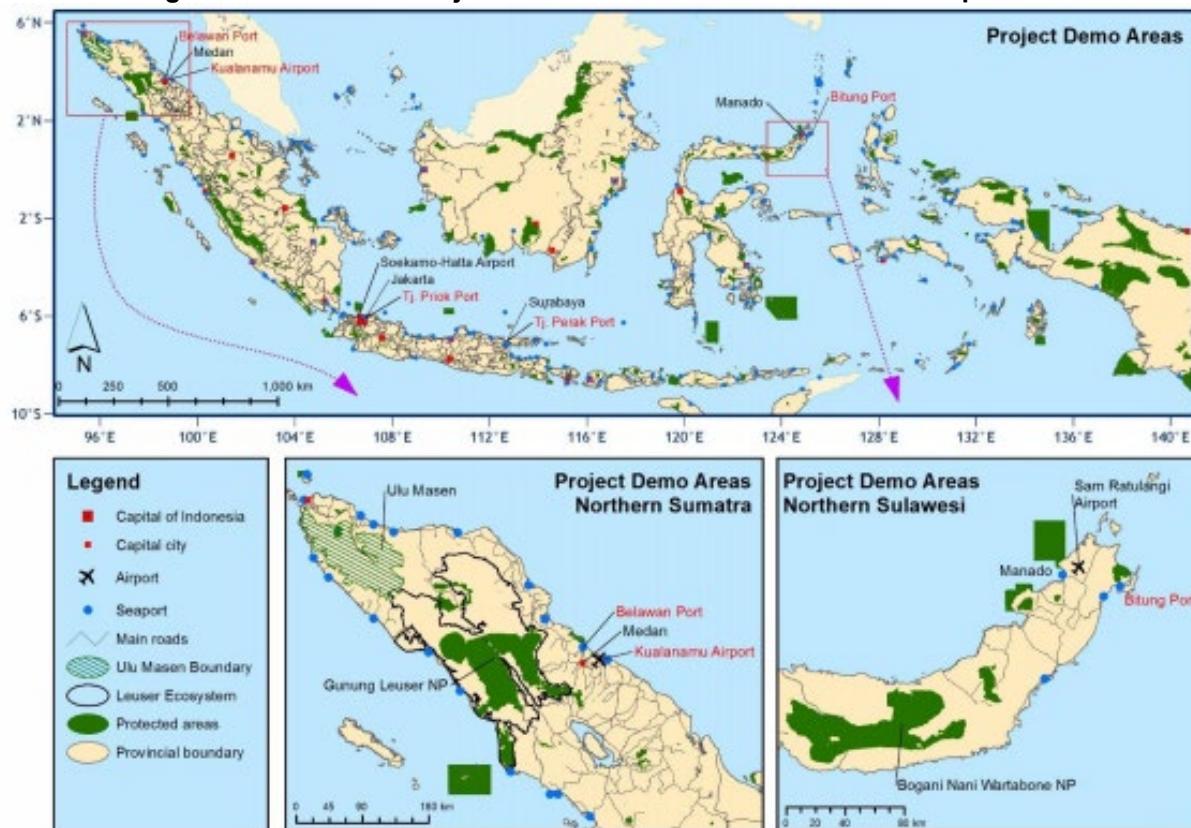
FEATURES	DEMONSTRATION REGIONS	
Name	Northern Sumatra	Northern Sulawesi
<b>Administrative Units</b>	Aceh province and Langkat Regency of North Sumatra province	Gorontalo and North Sulawesi provinces
<b>DG Law Enforcement Offices</b>	Medan (Sumatra regional office)	Manado (Section office) Sulawesi regional office is in

**Table 7: Key features of the project demonstration regions**

FEATURES	DEMONSTRATION REGIONS	
<b>Land area</b>		Makassar
	6,272 km <sup>2</sup> (Langkat Regency) 58,377 km <sup>2</sup> (Aceh Province) <b>Total: 64,649 km<sup>2</sup></b>	11,257 km <sup>2</sup> (Gorontalo) 13,851 km <sup>2</sup> (North Sulawesi) <b>Total: 25,108 km<sup>2</sup></b>
<b>Estimated Population per ProDoc</b>	967,535 (Langkat Regency) 4,731,705 (Aceh) <b>Total: 5,699,240</b>	1,134,498 (Gorontalo) 2,382,941 (North Sulawesi) <b>Total: 3,517,439</b>
<b>Key Protected Areas and size in ha</b>	Gunung Leuser NP 1,094,692 ha	Bogani Nani Wartabone NP 287,115 ha
<b>Globally significant species</b>	Sumatran Tiger, Sumatran Elephant, Sumatran Orangutan, Sumatran Rhinoceros, Sunda Pangolin	Anoa, Babirusa, Celebes Crested Macaque, Yellow-crested cockatoo, Maleo, Green and Hawksbill Turtles.
<b>Key species impacted by wildlife trade</b>	Sunda Pangolin, Sumatran Tiger, Sumatran Elephant, tortoises and freshwater turtles, birds, Greater Slow Loris, macaques, Sun Bear, Sumatran Rhinoceros	Birds sourced locally and in transit, including Yellow-crested cockatoo, parrots and lories, white-eyes, munias, and hornbills. Green and Hawksbill Turtles, sharks, Pangolins, Tarsier, Slow Loris, etc. Many species taken for local bushmeat trade including Anoa, Babirusa, Black Crested Macaque, Maleo eggs.
<b>Key ports and markets involved in wildlife trade</b>	Kuala Namu international airport and Belawan seaport, Medan market	Bitung seaport, Manado port, Tomohon market
<b>Key local stakeholders</b>	BKSDA, NP staff, local and int CSOs, port authorities, police, etc.	BKSDA, NP staff, local and int CSOs, port authorities, police, etc.

94. The two targeted demonstration regions at the subnational level exemplify all the complexities typically exploited by criminal syndicates, including (i) institutional complexities with multiple government entities and law enforcement agencies with overlapping jurisdictions and mandates and poor capacity to detect infractions; (ii) geographic complexities stemming from inadequate focus on markets and transport hubs, as well as vast tracts of PAs in remote areas with insufficient resources<sup>34</sup> resulting in limited government driven detection and efforts often led or assisted by CSOs; and (iii) socio-economic complexities fueled by few alternatives for local communities to generate income, marginalization and complex human-wildlife conflict issues.

<sup>34</sup> As per the ProDoc, only 2,999 forest rangers are based within protected area authorities. In addition, there are 1,841 civil investigators posted in national parks or BKSDA offices. This level of resourcing is far from sufficient compared with the >100 million hectares of forest area in Indonesia, the large number of islands and hundreds of conservation areas; not to mention their limited authority to detain suspects.

**Figure 2. Location of Project Demonstration Sites at the Landscape Level**

Source: WCS (Note: Demonstration ports are shown in red text)

95. The two target landscapes were identified through a study compiled by the Faculty of Forestry of Bogor Agricultural University, entitled "Identification of Specific Landscapes for Intervention and Profiling", included as Annex 11 in the ProDoc. The shortlisting of candidate landscapes was undertaken based on a sound process in the aforementioned document, leading to the selection of the Aceh Landscape and Gorontalo-North Sulawesi Landscape for the following reasons:

- **Aceh** was selected based on the availability of remaining large forest tract in Sumatra (Leuser Ecosystem Zone and Ulu-Masen Ecosystem Zone), one of the last viable habitats for the habitat of four species threatened by illegal wildlife trade: Sumatran orangutan, Sumatran tiger, Sumatran elephant and Sumatran rhino. Aceh also has easy access to seaports and airports of two capital cities (i.e. Medan and Banda Aceh).
- **Gorontalo-North Sulawesi** was selected based on the intensive route for domestic and international trade. It is geographically located near the Philippines, easily accessible, via international waters to the nearest seaport in the Philippines, and relatively close to Maluku and Papua where many endemic species (especially birds) live. Sulawesi is also a hotspot of endemic species in Indonesia and the forests in Gorontalo and North Sulawesi offer a good habitat for anoa and babirusa as well as other endemic Wallacean species. Consumption of bush meat is still widely practiced by local people; consumption of bush meat has become a tradition and linked to local culture, especially in North Sulawesi.

96. Taken together, the landscape of Aceh in western part of Indonesia and the Gorontalo-North Sulawesi landscape have different types of habitats and key species but have the same issues concerning IWT.
97. By strengthening detection and enforcement processes at five key ports and the analysis and interception of trade chains across related demonstration regions, the CIWT project aims to significantly increase the interception of IWT in these regions and deter poachers and traders from using these areas.
98. Tackling IWT issues holistically and using a multi-level approach at the landscape level to disrupt the trade chain can also serve to benefit local communities in IWT source areas and along trade chains through awareness raising, voluntary and contracted assistance to government agencies, alternative livelihoods including the surfacing of gender considerations and the proactive mitigation of human-wildlife conflicts to persuade communities not to view key species as a threat but an ecosystem benefit.
99. The following two sub-sections provide further discussion regarding several key aspects that bear some influence on the review and evaluation of the project.

### ***Problem Analysis in the Baseline Scenario***

100. The background and situational analysis in the Project Document (ProDoc) provides a detailed description of the context and the partners of the CIWT project. This forms a good statement for the Project's country-driven formulation and provides a clear introduction to and articulation of the problem analysis.
101. Prior to the formulation of the CIWT Project, Indonesia has benefitted from a number of pre-existing initiatives, collaborative efforts and external technical assistance on tackling IWT. The government's efforts have been complemented by investments from bilateral and multilateral agencies, and international NGOs over the past years; all to set the Project on the right footing.
102. Since 2003, the Wildlife Conservation Society (WCS) has pioneered an innovative approach to working with law enforcement agencies across local, regional and national scales to combat illegal wildlife trade in Indonesia, called the "Wildlife Crimes Unit" (WCU). To date, the WCU consists of 6 units to protect both terrestrial and marine protected species and boasts a successful prosecution rate of >90%, with thousands of protected animals and tonnes of animal parts having been seized from sting operations. This is unparalleled in the Asian context and the WCU is the most successful example of an approach to combat illegal wildlife crime in the region. WCS currently invests circa US\$250,000/year in work on illegal wildlife trade in Indonesia, including projects on combating trade of sharks and rays, and strengthening institutional frameworks to combat wildlife trafficking.
103. Progress in 2015 on strengthening the legal and institutional frameworks for combating the illegal wildlife trade supported by WCS has included a rapid assessment of current knowledge, trends and priority actions for wildlife crime, and a detailed analysis of the policy and legal context with support from USAID, with subsequent support to MoEF to implement report recommendations for legal revisions to improve species protection. This has included significant achievements, including government agreement to revise the Conservation Law 5/1990 in 2016, such that it would always

reflect the current and existing CITES list, and progress towards updating the Protected Species List immediately thereafter.

104. At the landscape level, WCS supported Wildlife Response Units (WRUs) in two critical tiger landscapes in Sumatra–Leuser and Bukit Barisan Selatan. In responding to such conflicts, the WRUs secure and stabilize the situation, and assist communities to remain safe and to protect their livestock, benefiting both the communities and the tigers.

105. Under a 2014 MoU between the Government of Indonesia and the United States Government (USG), US Government agencies are providing capacity-building assistance<sup>35</sup> to law enforcement agencies on environmental crimes (including wildlife trafficking) and are facilitating regional dialogues of action to reduce illegal wildlife trade.

106. Regional initiatives include USAID-ARREST (Asia's Regional Response to Endangered Species Trafficking, 2010-2016). Indonesia leads the implementation of the ASEAN- Wildlife Enforcement Network (ASEAN-WEN), which could be used to share intelligence information and for cooperation on CITES matters with ASEAN member countries; Solidifying efforts by the International Consortium for Combating Wildlife Crimes (ICCWC) partners, including the CITES secretariat, Interpol, World Customs Organisation, United Nations Office on Drugs and Crime and the World Bank. In December 2012 Indonesia and Vietnam also signed a MoU on Wildlife Law Enforcement, which is driving bilateral cooperation within the region. Finally, Indonesia was a signatory to the London Declaration on Illegal Wildlife Trade in February 2014.

107. The above activities, although significant, fall short of the proposed long-term solution: to conserve key wildlife species in Indonesia by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country.

108. In spite of the progress and commitments made, there remain regulatory loopholes, lack of coordination between enforcement agencies, a lack of capacity and resources, and a limited ability to upscale successful models (e.g. the Wildlife Crimes Unit) with the consequence that wildlife trade, both illegal and legal, will substantially increase or, at best, will continue unabated, resulting in local declines and the increased likelihood of extinctions of key Indonesian wildlife species. Even biodiversity within the PA system is not shielded from poaching to supply the domestic and international illegal wildlife trade. Illegal wildlife trade will continue to operate as organized crime, while legal wildlife trade will remain poorly regulated, raising few revenues for the state, and acting as a cover behind which illegal trade can flourish.

### **Key Changes Since Project Initiation**

109. A number of significant policy and economic changes have occurred since the beginning of formal implementation in November 2017, which may have had some influence on the project, be they direct or indirect, positive or negative:

- (i) **Changes to the Baseline and Advances on Key Legislation:** The MoEF has revised PP7/1999 twice since the Project's inception, including through P.20/2018 which was

<sup>35</sup> These are implemented by US Department of Justice (US-DoJ) International Criminal Investigative Training Program (ICITAP), US-DoJ Office of Overseas Prosecutorial development, Assistance and Training (OPDAT), and the US Agency for International Development (USAID).

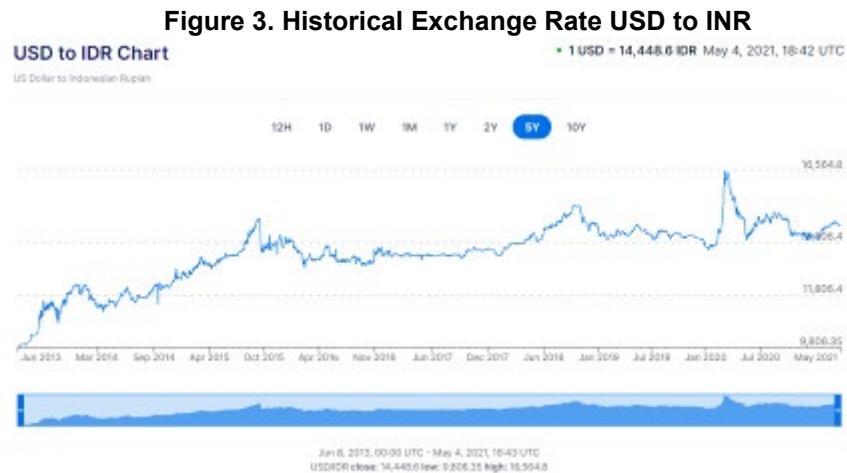
subsequently revised to P.92/2018 and revised again becoming P.106/2018, but the Project was not involved in advancing the revision process. While there has been a legal review of studies and academic papers pertaining to P. 447/2003, especially in relation to the revision of the non-commercial and commercial trade of flora and fauna and incorporating elements of genetics in this context, there is still much debate and discourse but no amendments to the legislation itself.

The Quarantine Act (UU No.21/2019), promulgated on October 18, 2019 under the Ministry of Agriculture, focuses on the health sector and sets much higher sentences and penalties, with a maximum jail term of 10 years and a fine of up to 10 billion rupiah (about US\$682,000). It was created to prevent the spread of pests, diseases and invasive agents, including the control of genetically modified products. Moreover, the proposed inter-agency task force also became operational with little effort by the Project itself;

- (ii) **COVID-19 Pandemic:** Indonesia's gross domestic product (GDP) fell slightly more than expected in the fourth quarter of 2020, tipping Southeast Asia's largest economy into its first full-year contraction in more than 20 years as it grappled with the hit from the COVID-19 pandemic. Indonesia has struggled to find a clear path out of recession, as looser curbs on movement have hastened the virus's spread yet failed to spur private consumption. Government funding was also re-deployed to support and prop up hard hit local communities by buying up local products - among other strategies including planting of mangroves - thereby forcing the Project to scale back planned patrolling due to a decrease in the available budget;
- (iii) **2020 Regional Head Elections:** Elections for governors, mayors and regents, also known as regional head elections, took place on 9 December 2020 with voting at 298,938 polling stations across 309 regencies in 32 provinces in Indonesia;
- (iv) **Development Plan:** The initial phase of the CIWT project's implementation fell under the Country Programme Document for Indonesia (2016-2020) but will be superseded by a new Country Programme Document for Indonesia (2021-2025) with refreshed priorities, during its remaining lifecycle;
- (v) **Currency Stability:** The first three years of implementation have been characterized by low currency fluctuations, with the USD and INR trading 15% at most for short intervals, but usually within a narrow 5-7% range since 2017.

*"LOCAL COMMUNITIES HAVE BEEN HIT HARD BY COVID AND WE HAVE A COLLECTIVE RESPONSIBILITY TO ENSURE NO ONE IS LEFT BEHIND, WHICH IS WHY THE GOVERNMENT PURCHASED LOCAL PRODUCTS LIKE HONEY AND CRAFTS"*

**- INTERVIEWEE ON THE GOVERNMENT'S COVID RESPONSE**



(vi) **Ministerial Merger forming the MoEF:** Prior to January 2015, the Directorate General of Nature Conservation and Forest Protection (Direktorat Jenderal Perlindungan Hutan dan Konservasi Alam, or PHKA) within the Ministry of Forestry was the responsible institution for biodiversity conservation and protected areas. Following the merger of the Forestry and Environment Ministries, the Nature Conservation Agency (Balai Konservasi Sumber Daya Alam, or BKSDA, usually at province level) and National Park (NP) Office were designated as the representatives (implementing units) of central government with responsibility to manage biodiversity and protected and conservation areas under the direction of the Directorate of Conservation of Natural Resources and Ecosystem (KSDAE). The Directorate of Forest Law Enforcement within PHKA also became a new Directorate General for Environment and Forestry Law Enforcement (Gakkum). The combination of law enforcement capacities between ministries is a particularly promising step in further reducing wildlife crime and forest crime, although interviews have surfaced that differences in corporate cultures, management styles and visions have persisted until recently within the merged Ministries.

*"THE AMALGAMATION BETWEEN CONSERVATION AND LAW ENFORCEMENT HAS NOT BEEN EASY OR SMOOTH. THERE ARE MANY TOUGH PERSONALITIES AND IT CAN TAKE TIME FOR DECISIONS TO BE TAKEN. AFTER FIVE YEARS THINGS HAVE IMPROVED SIGNIFICANTLY"*

- INTERVIEWEE ON THE MERGER LEADING TO THE MOEF

110. The above-noted developments suggest that the Project context has changed in several respects, principally related to the legislative landscape and policy setting.

#### **D. Consistency with Government and UNDP/GEF Plans and Policies**

111. Indonesia is a member of multilateral agreements on biodiversity conservation including CBD, CITES, the Ramsar Convention on Wetlands and CMS agreements on sharks, dugong, marine turtles and Albatrosses and Petrels (ACAP).

112. Accession to the Convention on Biological Diversity was enacted through Law 5/1999, and is expanded in the [Indonesian Biodiversity Strategy and Action Plan \(IBSAP\) 2003-2020](#) (BAPPENAS 2003). Furthermore, the CIWT is fully consistent with:

- Presidential Regulation (7/2005);
- The 6th National Development Target of Environment Conservation and sustainable use of biodiversity according to the IBSAP 2003-2020; and
- The Program on Protection and Conservation of Natural Resources, through the main activity: Management and Protection of biodiversity to avoid loss of biodiversity (terrestrial, marine and coastal ecosystems).

113. While not in the ProDoc, the CIWT project is also consistent with the Indonesian government's long-term vision and helps advance priorities articulated in the National Strategy & Action Plan 2021-2025: Combatting Illegal Wild Animal Trade in Indonesia. In fact, with a longer-term horizon than the Project itself, it has been noted during the MTR interviews that the CIWT project will help refine subsequent iterations of the NASTRA going forward through its learnings.

114. At the national level, the Project was designed to contribute to the earlier UNDP Indonesia [Country Programme \(CP 2016-2020\)](#) Outcome 3.3: "*National/local governments have improved policies, systems, and partnerships with nonstate actors to protect biodiversity and endangered species*".

115. Under UNDP's new [Country Programme for the period 2021-2025](#), which is more closely integrated with delivering national priorities and goals, the Project will contribute to Outcome 3.2: "*Strengthened and expanded protection, governance and management of terrestrial and aquatic ecosystems, habitats and species*", and corresponding to Strategic Plan Output 1.4.1.

116. The Project is also aligned to Output 3.6 of the [United Nations Sustainable Development Cooperation Framework \(2021-2025\)](#), calling for "*Strengthened and expanded protection, governance and management of terrestrial and aquatic ecosystems, habitat and species*".

117. Finally, the CIWT project is part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (GWP). Specifically, the CIWT project's components map to the following GWP Outcomes as follows:

**Table 8: Traceability Matrix Between the GWP and CIWT Projects**

CIWT Child Project Components	Relevant GWP Components	Relevant GWP Outcomes
<b>Component 1:</b> Effective national framework for managing wildlife trade	<b>Component 2:</b> Reduce Wildlife Trafficking	<b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products
<b>Component 2:</b> Institutional capacity for implementation and enforcement at the national and international levels	<b>Component 2:</b> Reduce Wildlife Trafficking	<b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire

**Table 8: Traceability Matrix Between the GWP and CIWT Projects**

CIWT Child Project Components	Relevant GWP Components	Relevant GWP Outcomes
		illegal supply chain of threatened wildlife and products
<b>Component 3:</b> Scaling-up improved enforcement strategy at key trade ports and ecosystems	<b>Component 1:</b> Reduce Poaching and Improve Community Benefits and management  <b>Component 2:</b> Reduce Wildlife Trafficking	<b>Outcome 1:</b> Reduction in elephants, rhinos, and big cat poaching rates. Increase in detection/interception of poaching incidents and arrests  <b>Outcome 2:</b> Increased community engagement to live with, manage, and benefit from wildlife  <b>Outcome 4:</b> Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products  <b>Outcome 5:</b> Reduction of demand from key consumer countries
<b>Component 4:</b> Knowledge management, M&E and Gender Mainstreaming	<b>Component 4:</b> Knowledge, Policy Dialogue and Coordination	<b>Outcome 6:</b> Improved coordination among program stakeholders and other partners, including donors

## **E. Project Implementation Arrangements**

### **118. The Directorate General of Law Enforcement of the Ministry of Environment and Forestry (Gakkum) is the Implementing Partner for the CIWT project and is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.**

119. Gakkum, is contractually responsible for the day-to-day implementation and the delivery of results, including the management of project technical, financial and human resources as detailed in the Project Cooperation Agreement (PCA) signed with UNDP at the start of the Project in 2018 and following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Indonesia, and the Country Programme.

120. Gakkum has appointed the Director of Forest Protection as the National Project Director (NPD). In consultation with the NPD, Gakkum selected a former member of the Forest Protection and Surveillance Division to be the National Project Manager (NPM) to lead day-to-day operations within the Project Management Unit.

121. As per Table 9, the Project Management Unit (PMU) consists of: a National Project Manager and the National Project Director (both based at the Project's office in the MoEF and occasionally at the UNDP Indonesia Country Office); a Finance Associate, a Project Assistant and a recent Knowledge Management Officer who joined the Project from the UNDP-GEF GEF "Enhancing Protected Area in Sulawesi (E-PASS)" project as of October 2020.

**Table 9: Composition of the Project Management Unit**

No.	Role	Inception Phase	Current
1.	National Project Manager	Muhammad Yayat Afianto	Achmad Pribadi
2.	Project Finance Associate	Muhammad Faisal Lathief	Hidayat Abdillah
3.	Project Assistant	Rissa Budiarti	Rissa Budiarti
4.	Administrative Assistant	Mohammad Farkhani	<b>N/A</b>
5.	Knowledge Management Officer	<b>N/A</b>	Faiz Yajri

122. UNDP, as the GEF Implementing Agency, holds overall accountability and responsibility for the delivery of results to the GEF. Project assurance is provided through its Country Office (CO) in Indonesia, specifically the Environment Unit Programme Manager. This includes 1) providing financial and audit services to the Project including budget release and budget revision, 2) overseeing financial expenditures against project budgets, 3) ensuring that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures, 4) ensuring that the reporting to GEF is undertaken in line with the GEF requirements and procedures, 5) ensuring the achievement of project objectives and timeliness in implementation 6) facilitating Project learning, exchange and outreach within the GEF family, 7) contracting the Project mid-term and final evaluations and 8) triggering additional reviews and/or evaluations as necessary and in consultation with the project counterparts.

123. The day-to-day administration of the Project is carried out by the National Project Manager, in consultation with the National Project Director. The Project Manager is responsible for overall project activities (UNDP Country Office Supported Services to National implementation (NIM)) and works closely with the National Project Director to ensure timely deliverables of NIM activities. The PM's prime responsibility is to ensure that the Project produces the results specified in the Project document, to the required standard and within the specified constraints of time and cost. The PM is accountable for preparing Annual Work Plans (AWPs) in advance of each successive year and submits them to the Project Board for approval. The PM is technically supported by the dedicated support team (Project Finance Associate, Project Assistant and Knowledge Management Officer) and works closely with all partner institutions to link the project with complementary national programs and initiatives. The PM is accountable to the PB.

124. The **Project Board (PB)**, (also known as the Project Steering Committee), is the Project's overarching decision-making body. The PB is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The Project Board **shall meet at least**

**twice each year** to provide strategic guidance and oversight and ensure that the Project is on track to delivery its planned outcomes.

125. The PB's functions as stated in the Project Document (in Annex 5 that was formally revisited and finalized during the Inception Workshop) also include:

- approving annual project work plans and budgets presented by the NPM;
- ensuring coordination with various government agencies and their participation in project activities;
- ensuring that the UNDP Environmental and Social Screening Procedure safeguards are applied to project implementation;
- approving any major changes in project plans or programmes;
- overseeing reporting in line with GEF requirements;
- ensuring commitment of human resources to support project implementation;
- arbitrating any issues within the project;
- negotiating solutions between the project and any parties beyond the scope of the project;
- assuring coordination between various donor funded and government funded projects and programmes; and
- overall project evaluation.

126. Its membership includes national and subnational members of Gakkum, Ministry of Environment and Forestry (MOEF); Directorate of Forestry and Water Conservation, Ministry of National Development Planning (BAPPENAS); Directorate of Loan and Grant, Ministry of Finance (MoF); Directorate General of Customs and Excise, Ministry of Finance (MoF); Indonesian Institute of Science (LIPI); Criminal Investigation Department, Indonesian National Police (INP); and UNDP Country Office Indonesia. Other organizations were to be added as necessary and agreed by the Project Board. The PMU serves as Secretariat to the Project Board.

127. The demonstration activities in Component 3 of the Project (for two subnational regions, four seaports and one airport) were to be coordinated by **Project Implementation Units (PIUs)**, each of which will be led by a manager of the relevant regional or local office of the Gakkum and supported by one Project Liaison Officer per region. Technical assistance was also to be provided for project implementation in each demonstration region through subcontracted inputs from WCS and other CSO partners.

## **F. Project Timing and Milestones**

128. The Project was approved by the GEF in May 2017, but officially began on 17th November 2017 once the Project Document had been signed by UNDP and the Government of Indonesia. A project inception workshop was held in March 2018, with the inception phase lasting until October of the same year. Implementation began to accelerate from November 2018 onwards, 12 months after the project started.

129. A Project Board was finally constituted in October and met for the first time in December 2018, and each December since then.

130. The project is scheduled to be completed within 72 months from its start. The Project Document does not provide an implementation plan with milestones. Thus, the main project milestones are the

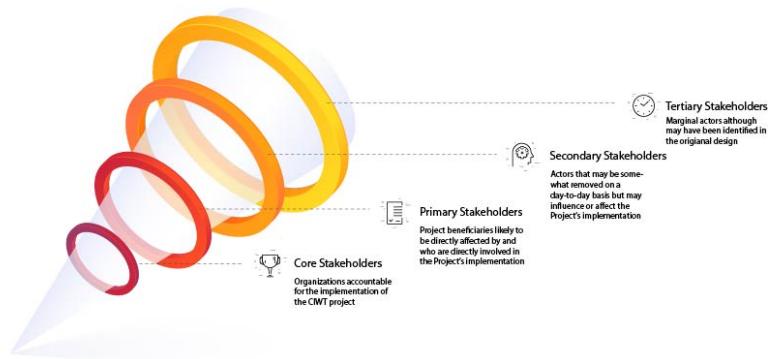
mid-term review (MTR), and the terminal evaluation, which is currently scheduled for mid-September 2023; not taking into account any project extension that may or may not be granted.

**Figure 4. Key CIWT Project Milestones**

16 Mar 2015	04 Jun 2015	16 May 2017	17 Nov 2017	6-7 Mar 2018	Feb-May 2021	17 Sept 2023	17 Nov 2023	TBD (six months)
→								
Submission of PIF (project concept)	PIF approved	Full project approved: "CEO Endorsement"	ProDoc signed; official project start	Inception Workshop	Mid-Term Review (MTR)	Terminal Evaluation (TE) commences Three months prior to operational closure of the project	Official Project Operational Closure Date	No cost Project extension

## **G. Key Partners and Stakeholders Involved in the Project**

131. Participation of the Project beneficiaries and key stakeholders noted in Table 2 of the ProDoc (page 40 of 197) in all stages of the CIWT project cycle, is a prerequisite in the Project design and implementation. As illustrated in Figure 5 below, essentially, there are four groups (or tiers) of stakeholders – core, primary, secondary and tertiary.
132. **Core stakeholders** are the GEF IA and EA, including the IP who are accountable to its successful implementation.
133. **Primary stakeholders** are project beneficiaries who are likely to be directly affected by the CIWT project, and those who are directly involved in its implementation (not including the IP who is already considered a core stakeholder due to its accountability). Included in this group are stakeholders with direct oversight and management authority, which will be integral to determining the success of the Project such as the PMU and PB.
134. **Secondary stakeholders** are actors and institutions that may be somewhat removed from the project, but who may nonetheless be influenced by it, or affect its implementation. They may for example function in roles such as legislative regulators, policy-makers, law enforcement agencies and local communities (including women), as well as international entities on which the Project requires key partnerships forged. Sub-contractors and consultants (including the 4 microgrant NGOs) are also included in this category.
135. **Tertiary stakeholders** are those actors that, although identified in the original stakeholder analysis, have and will continue to play a marginal role in the Project.

**Figure 5. Stakeholder Groups in the CIWT Project**

### III. FINDINGS

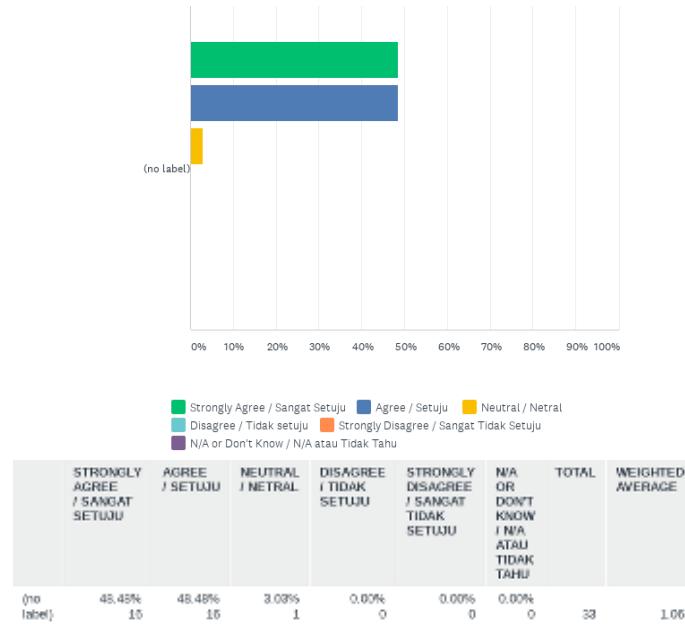
#### A. Project Strategy & Design

##### **Project Strategy**

136. Overall, the Project strategy is well-aligned to national policy objectives and country programming on biodiversity conservation as articulated in the two CPDs covering the periods 2016-2020 and 2021-2025 respectively, and clearly builds on the IP's considerable in-country and regional experience, as well as commitment to tackling IWT issues and addressing some of the notable gaps therein. The project is of high strategic relevance. It is considered to be a flagship project for the Government of Indonesia on IWT issues by virtue of its focus on flagship species with extremely high conservation value, as well being a vehicle for the IP to test and refine the objectives and future trajectory of the NASTRA.

137. Both the interviews during the fact-finding stage of the MTR and the results of the online questionnaire, confirm that the Project's strategy to tackle the scale of illegal wildlife trade in Indonesia and the region is still relevant and consistent with national priorities, as noted in the figure below.

**Figure 6. Summary Results of Question 1 from the Online Survey**



138. However, an overarching finding - and one that is not uncommon to GEF projects - is that the Project scope is extremely ambitious given the baseline, project duration, capacity and resources. Although the Project is neatly parcelled across four planned outcomes, these together have 14 outputs that involve numerous significant activities requiring a significant overhaul of the status quo at national and subnational levels, including a suite of interventions at two landscapes and across five ports of entries; an endeavour that has not been undertaken before. Furthermore, almost every output under Outcomes 1 and 2 is a major undertaking, requiring sustained investment of time and

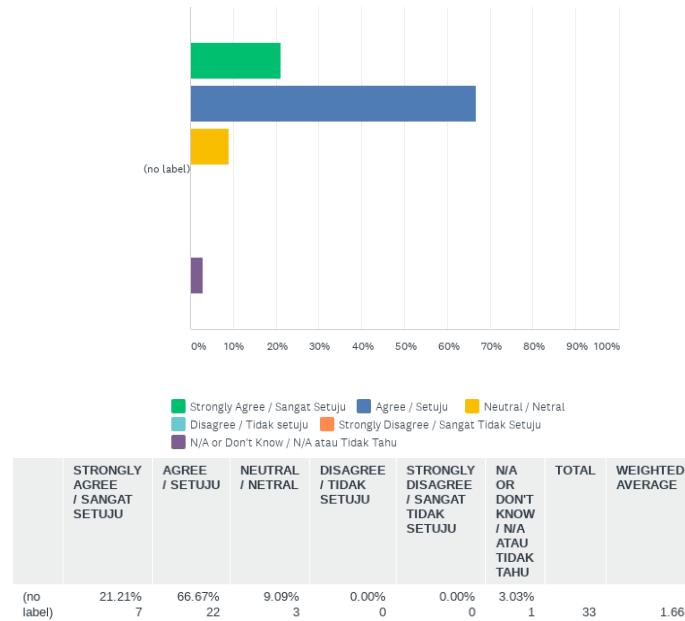
resources to deliver them effectively and within a reasonable timeframe to ensure pre-requisites for Outcome 3 are in place in time to enable successful upscaling and replication by Project end. While an implementation period of 72 months may seem deceptively long, the dependencies built into the Project intervention logic and the structural changes required (ranging from new legislation, policy changes and results of the PortMATE as a precursor to support bespoke capacity-building programs, covering both system enhancements to improve customs surveillance and training to build staff skills in wildlife law enforcement), make for a tightly-coupled critical path to deliver the Project's objective in its entirety.

139. Thus, while the planned Project scope may well have appeared reasonable and realistic at the time of project preparation, especially in light of recommendations made to the IP in 2017 via the USAID "[Legal Framework Study of Wild Flora and Fauna Utilization](#)", implementation experience to date has underscored the many difficulties and interests in overcoming the deeply entrenched, multifaceted barriers and political risks to the Project's objective, especially within a timeframe of six years.

### Project Design

140. Other than being overambitious in scope and several shortcomings related to the Project Results Framework, the Project is well-designed having been developed by a seasoned formulation consultant (Mr. Crawford Prentice), together with WCS at the landscape level and hence, based on deep experience of their ongoing work and knowledge of IWT issues, understanding of the project area at the subnational level and its needs. Respondents to the online survey, deployed during the MTR fact-finding stage, are in general agreement that the CIWT project is designed with a focus on the right interventions across the four Components to effectively tackle the core problem.

**Figure 7. Summary Results of Question 2 from the Online Survey**



141. The MTR is expected to review whether the perspectives of all relevant stakeholders were taken into account during project design processes, i.e. 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.

142. In Annex 12a, the Project Document indicates that there were extensive stakeholder consultations during the Project preparation at national, subnational and local levels<sup>36</sup>. NGOs and representatives of local villages were involved in the following stakeholder consultation meetings:

- 16 February 2016 in Jakarta;
- 18-19 February 2016 in Bogor;
- 14-16 March 2016 (combined with the Focus Group Discussion Meeting on Databases) in Bogor;
- 2 June 2016 in Bogor;
- 22-23 August 2016 in Bogor;
- 26 September in Surabaya;
- 13 October in Medan;
- 20-21 October 2016 in Bogor; and
- 7 December in Bogor.

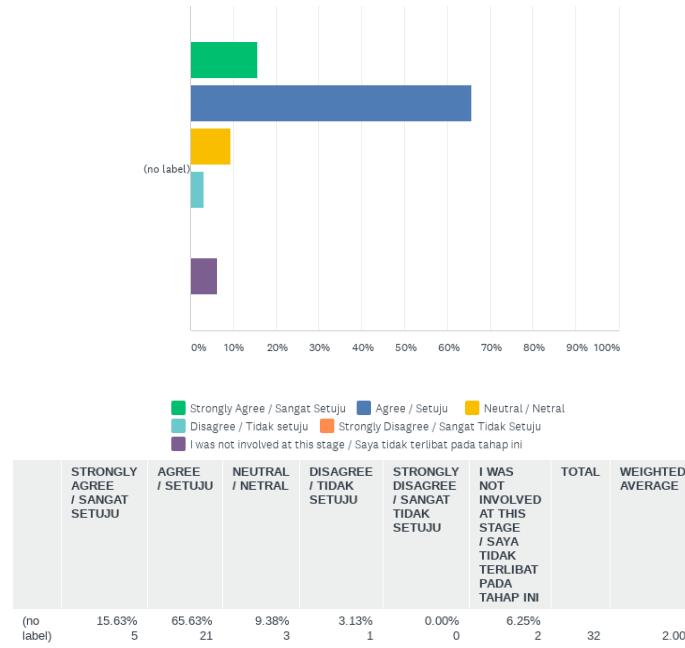
143. In addition, the PPG phase interviewed a total of 20 resource persons representing a cross section of stakeholders to be involved in the Project. Moreover, the Faculty of Forestry at the Agricultural Institute of Bogor (Institut Pertanian Bogor, IPB) convened a series of Focus Group Discussion (FGD) meetings to consult with key stakeholders on the key themes being reviewed, supported by extensive interviews and field visits.

144. The national socio-economic consultant conducted a series of interviews with local people who live around Gunung Leuser National Park in Bahorok District, covering at least 10 respondents per village<sup>37</sup> as follows: (i) head of village; (ii) head of customary (adat)/ community leader; (iii) youth (karang taruna); (iv) woman's group/PKK; (v) members of a farmer group (both men and women); (vi) religious leader; and (vii) teachers (both men and women).

145. There is also evidence from both consultation with Project stakeholders and the results of the online questionnaire to support the finding that the Project design phase adopted a participatory process engaging experts from government, NGOs and local communities where applicable.

<sup>36</sup> The UNDP Country Office has maintained records of all participants of these meetings, available upon request.

<sup>37</sup> The following villages were targeted: Timbang Lawang, Timbang Jaya, Samperaya, Bukit Lawang and Batu Jong-jong.

**Figure 8. Summary Results of Question 10 from the Online Survey**

### Project Document

146. The Project ideation / conceptual design initially started in 2013, with the submission of an initial Project Identification Form (PIF), but it did not get the necessary traction and approvals, and was subsequently parked for re-assessment. The PIF was re-adapted in 2015, when the UNDP Regional Technical Advisor at the time - Ms. Midori Paxton - compiled a revamped PIF, finally securing the necessary buy-in and approval. In 2016, with the necessary approvals secured, the PIF was expanded into a Project Document, led by a seasoned formulation consultant. The MTR finds that the Project Document is supported by detailed background documents, baseline information, research findings as well as experiences from other projects in the domain of illegal wildlife trade (to the extent possible given that the Project is breaking new ground in many respects) and biodiversity conservation in the country, the region and globally.

147. The ProDoc also articulates a well-formulated project objective, set of outcomes, outputs with proposed budgets against each to be sought from multiple sources. There is a strong logic to the Project objectives and their outcomes, as they are based on generating sound consultation-based planning that lead to priority issues and solutions, that then directs law enforcement, legislative and institutional capacity building priorities both in-country and within the region. The MTR also finds that the Project strategy was based on a thorough and detailed analysis of the threats to the unsustainable and illegal trade wildlife, and specifically to flagship species in Indonesia, as well as the barriers to improving law enforcement within the country and the broader region.

148. The original problem analysis identifies a confluence of threats including: (i) low domestic political profile, often translating into a lack of interest and poor collaboration between law enforcement agencies; (ii) complex demands by complex and fluid markets; (iii) poor enforcement in an already sub-optimal legislative and fragmented law enforcement regime; and (iv) underlying socioeconomic factors such as population growth and poverty. The above are highlighted nicely in a conceptual

model diagram in Figure 1 of the ProDoc (page 14), which was subsequently revisited as part of the MTR's Theory of Change workshop.

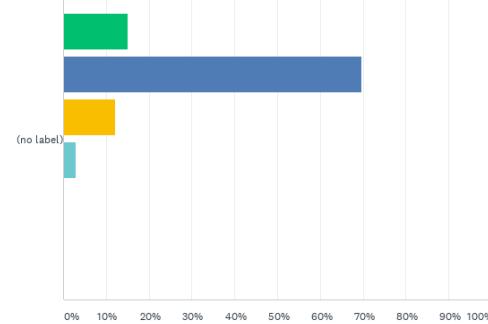
149. However, the links between these factors are neither analysed or explicitly acknowledged, nor is there any effort to tease out the complex socioeconomic factors of poverty and population growth on the propensity of local communities to get drawn into the illegal wildlife trade, as well as the "push" and "pull" factors that might be responsible. Thus, the reasons given are:

***"Whilst links between poverty and the wildlife trade evidently exist, particularly with regards to leaving the trade, the relationships appear to be so complex that initiatives to counter wildlife crime through alternative livelihoods or increased incomes do not seem to be very successful. As with the impacts of livelihoods, the relationship between awareness and wildlife crime also appear to be highly complex and relatively poorly understood."***

150. Given that local community issues factor highly in the Project's intervention logic of the desired intermediate state of reducing the direct threat of poaching on the conservation target, both in terms of capacity development objectives and as part of Outcome 3, the lack of assessment at the grassroots effort and the strategies to overcome this, are rather simplistic and a source of consternation. By focusing on general awareness raising, improved community outreach and more participatory approaches towards conservation that accommodate local needs and livelihoods, the Project misses an opportunity to tailor the approach to more explicit causal pathways.

151. In the narrative of the ProDoc itself, the analysis of key barriers to achieving the project objective is relegated to only one paragraph (Project Document, Section II, page 12). A much more substantive and comprehensive analysis is present, however, it is buried in Annex 13 (Situational Analysis, pages 168-174). With a comprehensive stakeholder assessment, the MTR notes the results of the online questionnaire highlighting that stakeholders believe the CIWT project has the right involvement to achieve its core objectives.

**Figure 9. Summary Results of Question 6 from the Online Survey**



Strongly Agree / Sangat Setuju   Agree / Setuju   Neutral / Netral  
Disagree / Tidak setuju   Strongly Disagree / Sangat Tidak Setuju  
N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.15% 5	69.70% 23	12.12% 4	3.03% 1	0.00% 0	0.00% 0	33	1.88

152. Nonetheless, the MTR consultants believe that there appear to have been a number of oversights at this early stage of the Project design that have in turn led to issues with implementation progress, quality of outcomes and achievement of the Project objectives:

**The Project design was extremely ambitious in its scope** to seek out the requisite systemic legislative and policy changes in Indonesia to address IWT, with the expectation that these would be applied at the landscape level and at the five targeted ports by the end of the Project, thus leading to a reduction of volume of unsustainable trade, as well as an improvement in the conservation status of flagship species in Indonesia and East and Southeast Asia. Furthermore, the identification and elevation of key legislative and policy changes as a primary key performance indicator at the objective level may have been overly ambitious given these decisions (and the process to get there) are largely out of the immediate control of the PMU and the IP itself, and may turn out to be the Project's "Achilles heel". In addition, an analysis of the "readiness" to adopt such structural changes - especially as the overarching Project objective - would have likely revealed the fact that in Indonesia, it is too early for the Project to have raised the bar of success so high (in spite of it being badly needed and a key dependency of many of the other outcomes). Major efforts are first needed to create an enabling environment by laying down a strong foundation of government commitment, appropriate institutional frameworks, and secure the necessary political capital, for such changes to occur within the first few years of the Project's operations.

**The Project Document only provides a list of indicative activities** and not the full package of explicit interventions that are intended to deliver the specified outcomes and roll up to deliver the Project objective. By giving flexibility to the Project and the consultative Annual Work Planning process on deciding and prioritizing activities, it inadvertently dilutes the intervention logic of the Project's design and how activities are combined to deliver outputs that must then combine to deliver the outcomes and Project objective.

**No guidance on the sequencing and dependencies between activities and Project outcomes** is provided, notwithstanding the ProDoc acknowledging in passing that Outcomes 1 and 2 are prerequisites for activities at the landscape level and at the targeted ports of entry. It also sets up challenges to integrate the relatively disparate collection of individual outputs into a synergistic set of outcomes.

**No benchmarking of what similar countries in the region** that may have already begun addressing IWT issues have done, or are doing to increase closer cooperation and law enforcement information sharing and capacity, in order to understand what lessons could be learnt in the scope and focus of this Project's design to enhance its chances of success. From this perspective, the CIWT project is truly breaking new ground.

#### Consideration of and Linkages to Relevant National Projects / Initiatives

153. The Project Design did involve considering lessons from and contributions to some other relevant projects and initiatives, incorporating them into the Project design. Three examples of this from the ProDoc include:

- The Project addresses objectives and activities under the National Strategy and Action Plan for Sumatran Tiger, Rhino, Orangutan and Asian Elephant (MoEF: P42/Menhet-II/2007, P44/Menhet-II/2007, P43/Menhet-II/2007, P53/Menhet-II/2007) and human-wildlife conflict (P48/Menhet-II/2008), as well as Indonesian commitments under the Convention on

International Trade in Endangered Species (CITES; enacted through Presidential Decision 43/1978) through strengthening controls on the illegal wildlife trade;

- In terms of the overall national development context, Indonesia's National Long-Term Development Plan (2005-2025) aims to achieve a "green and ever-lasting Indonesia". The vision and mission of the plan is to establish a country that is developed and self-reliant, just and democratic, and peaceful and united, to achieve the development goals as mandated in the Preamble to the Constitution of 1945;
- The Project will also contribute directly towards the achievement of the IP's own key performance indicators, as follows:
  - Increased effectiveness on handling and settlement of criminal case on environment and forestry, as measured by:
    - Percentage settlement of criminal case with P 21 (75% from all cases on one year);
    - Number of verified criminal case on environment and forestry (200 cases per year);
    - Percentage of handled evidence is in accordance to the number of handled cases (100%);
    - Number of government staff who are trained and increased their capacity (500 staff per year).
  - Forest protection and surveillance on violence and threat in forestry related matters in 34 provinces are undertaken (77 locations particularly at 15 priority watershed areas), as measured by:
    - Number of locations where forest protection and surveillance on violence and threat in forestry related matters are undertaken through socialization, patrols and operations (77 locations per year);
    - Number of empowered and trained forest rangers (increased capacities) (2500 personnel/ year);
    - Number of empowered community-based forest rangers (Masyarakat Mitra Polhut/MMP) and forest security officers (Tenaga Pengamanan Hutan Lainnya/TPHL) and other environmental activists (34 Unit MMP/TPHL/CSO/ Partner per year);
    - Number of available infrastructure for forest monitoring, surveillance, and law enforcement to meet minimum requirement standard (11 Brigade per year);
    - Extent of forest area protected from illegal activities annually (2015: 3 mil Ha / 2016: 5 mil Ha / 2017: 8 mil Ha / 2018: 11 mil Ha / 2019: 13 mil Ha).

154. As a child project under the GWP, the CIWT project forms part of a foundational GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development, and will operate via tight coordination through the programme steering committee, facilitating coordinated knowledge management and cross-pollination of participating individual regional and national projects. Out of the 19 original GEF-6 GWP initiatives, the CIWT project has the seventh highest funding envelope from the GEF Trust Fund.

Figure 10. Global Wildlife Program Project Snapshots



155. Clear linkages have been made to the CIWT project's contribution as a child project under the GWP's outcomes as follows:

- By strengthening the legal and regulatory framework pertaining to illegal wildlife trade under **Component 1**, this will be a major contribution towards controlling international trafficking of wildlife products from Africa to other Asian destinations (corresponding to GWP Outcome 4);
- By strengthening institutional capacity, inter-agency coordination, inter-agency information sharing, joint operations, and transnational cooperation under **Component 2**, the project will not only support the strengthened legal and regulatory framework in Component 1 with much stronger and more effective intelligence-based enforcement, it will act as an increased deterrent to criminals involved in the IWT (GWP Outcome 4);
- By strengthening detection and enforcement processes at five key ports and the analysis and interception of trade chains across related demonstration regions, **Component 3** will significantly increase the interception of IWT in these regions and deter poachers and traders from using these areas (GWP Outcomes 1 and 4). It will also support the engagement of communities in IWT source areas and along trade chains through awareness raising, voluntary and contracted assistance to government agencies, alternative livelihoods and mitigation of human-wildlife conflicts (GWP Outcomes 2 and 5). Furthermore:
  - The CIWT project contributes towards the GWP target to *maintain globally significant biodiversity and the ecosystem goods and services that it provides to society (25,096,730 ha)* through its **Component 3** interventions in the two demonstration subnational regions (northern Sumatra and northern Sulawesi), which will strengthen wildlife conservation and law enforcement to suppress illegal wildlife trade chains including source areas, markets and ports over regions totaling 8,978,875 ha;
  - The CIWT project will also pilot the PortMATE (Port Monitoring & Anti-Trafficking Evaluation) tool developed by and with support from the UNDP/GEF Ports of

Excellence project (under the GEF Global Wildlife Programme), and use the results to inform bespoke training.

- By supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Indonesia, and also globally through the GWP, as envisaged under **Component 4**, as well as by mainstreaming gender considerations across the Project's outputs and outcomes, a programmatic framework for the cross-fertilisation of the individual regional and national projects will be supported.(contributing to GWP Outcome 6).

**"WOMEN ARE THE SILENT PARTNERS OF LAW ENFORCEMENT IN THIS PROJECT AND CAN CAUSE MORE HEADACHES FOR THEIR HUSBANDS THAN WE CAN WHEN THEY FULLY REALIZE AND APPRECIATE THE IMPACTS OF IWT"**

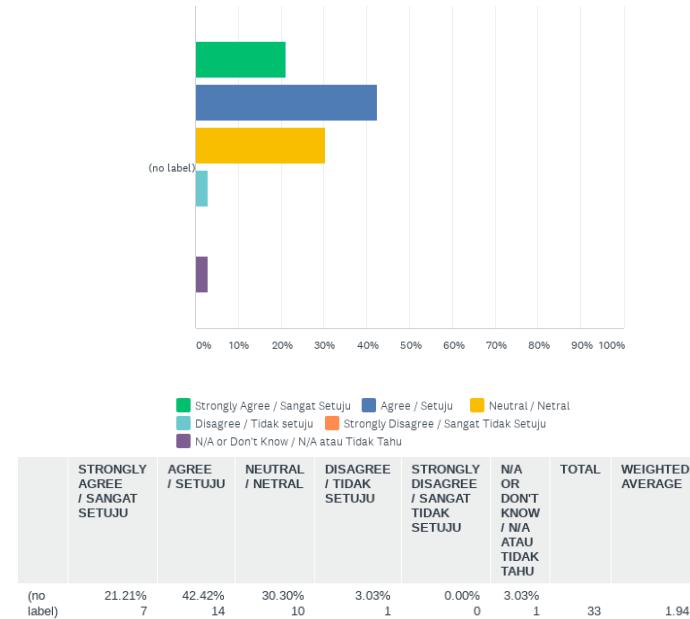
**- INTERVIEWEE ON THE IMPORTANCE OF GENDER IN IWT**

### Gender and Community Aspects

156. An inherent strength in the Project's design concerns the gender dimension; so much so that it is a major thrust of Outcome 4 (specifically Output 4.2), along with knowledge management. Gender aspects and their benefits to IWT are mentioned extensively throughout the ProDoc and specific gender approaches are also included in the gender disaggregated indicators and beneficiary targets.

157. Similarly, the engagement of local communities is a major pillar of the Project in Outcome 3 and a key imperative for the realization of the Project objective. The results from the online questionnaire support the recognition of both gender and community and the prioritization of their needs in the Project design and strategy.

**Figure 11. Summary Results of Question 8 from the Online Survey**



158. The MoEF, with the many accolades and awards it has received on gender inclusivity within the Indonesia Government, is a leader in this domain and encourages gender issues to be part of the Ministry's policies and programs. The MoEF also initiated the formation of women groups in a national context resulting in this Project becoming very strategic to support women's programs in the context of combatting IWT. The Project also promotes gender mainstreaming which aims to ensure an inclusive approach in which men and women can actively participate in obtaining equitable benefits and access. Gender involvement features most prominently in Bogani Nani Wartabone National Park through the involvement of women rangers, although other considerations promoting gender in activities have been undertaken (see section on [gender considerations](#) and table 17 for details).

159. The Project's community-related interventions are focused on communities in key wildlife source areas, markets and trading ports along trade chains within the two demonstration subnational regions, namely Northern Sumatra and North Sulawesi – Gorontalo. Given the Project's conservation objectives, the anticipated environmental impacts of the project are overwhelmingly positive. The project also aims to have a positive social impact, by strengthening the sustainability of natural resource use which will benefit dependent communities in natural landscapes in the long term through sustained ecosystem service provision. Communities in such areas will also benefit from increased PA management capacity for community outreach and participatory management, as well as establishing mechanisms for securing alternative livelihoods where needed. And, while effective law enforcement is required to control such impacts on biodiversity, these will need to be coupled with programs that provide alternative income sources or other social benefits in order to be sustainable, and also to mitigate impacts on households that may already be close to the poverty line. Prioritizing the apprehension and prosecution of middlemen, higher-level traders and exporters rather than village hunters, fishermen and collectors will help to limit such impacts.

160. Strategies promoting community empowerment and livelihood opportunities, as well as encouraging HWC reduction are included in Output 3.4. The Project rises to the occasion in anticipating the impact of efforts to combat IWT and the future impact on local economies and well-being, especially among women. For this reason, a concerted effort is made to encourage the community to increase its role in avoiding economic losses resulting from IWT eradication actions. In some places, communities are also exposed to the problem of conflict with wildlife where they develop conflict reduction strategies. Support can be so negligible that conflicts between wildlife and humans often persist and lead to substantial economic losses.

161. This Project aims to support community efforts, especially in locations designated as hunting areas, to anticipate the impact of this IWT reduction. The locations that are being targeted by the Project are Aceh Province (Krueng Saee Watershed area, Alue Limeng village, Krueng Sabe, and Pintu Rime (Bireun and Bener Meriah district), West Java (Masigit Kareumbi Hunting park and Gunung Sawal Wildlife Reserve) and North Sulawesi (Bogani Nani Wartabone National Park).

162. Some of the community groups that have been engaged are hunters, such as the Team of Eight (8 members with supporters of about 25 people who were trained including women) which were community groups that carried out activities to reduce human-elephant conflict, where some of them had hunting backgrounds. Other areas with a prevalence of Slow Loris were also targeted, which involved 14 people trained in Masigit Kareumbi and 15 people trained in Mount Sawal. Women ranger groups for Bogani Nani Wartabone involved 15 females. The project has involved social mapping and was developed for an alternative livelihood system in Tanjung Sari village, Ciamis Regency and Mekar Sari Village, Bandung Regency.

163. In light of the United Nations Sustainable Development Goals, especially with its emphasis on the principle of 'leaving no one behind', it is important that the Project continues to push for the broader development effects of project intervention—specifically, in the areas of gender equality, local community empowerment, and inclusiveness—so that the aggressive beneficiary targets can be realized.

#### Identification of Risks and Appropriate Mitigation and Management Measures

164. There is a direct, inverse relationship between project risks and sustainability: fewer risks translate to a higher probability of project success and sustainability. The risks, and how these affect the prospects for sustainability, were adequately taken into account during the design of the Project, and intermittently during implementation through periodic re-assessments.

165. Project risks are identified in the Project Document narrative, in a designated description of risks (Table 4, page 53). They are also included as assumptions in the Results Framework and in the accompanying monitoring plan of the Results Framework in Annex 2. These however do not capture some of the important risks identified through UNDP's Social and Environment Screening Procedure (SESP) undertaken during project preparation or the proposed mitigation and management measures (Project Document/Annex 6).

166. Neither the ProDoc's risk assessment (reproduced for this report in Table 10 below), nor subsequent updates to the risk log during implementation appear to have seriously contemplated the risk to the project of attempting such a diverse range of tasks within the one project and the relatively short six-year program, as well as mitigation measures given a relatively lean PMU.

167. Among the risks in the original design, there is also none included about environmental change – for instance the continuing loss of wildlife especially flagship species like the Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa and Babirusa – which may shrink the motivation for conserving biodiversity at the landscape level in the long run.

**Table 10: Risks and risk mitigation measures identified at the design stage**

Risk	Mitigation Measures
Delays and uncertainties in achieving government approval for proposed legislative changes and international agreements related to combatting IWT. Such delays may be attributable to lengthy bureaucratic procedures, opposition from certain quarters, or lack of interest / lack of priority afforded to their completion.	There is a strong baseline on strengthening the legal and institutional frameworks for combating the illegal wildlife trade, including a rapid assessment of current knowledge, trends and priority actions for wildlife crime <sup>38</sup> and a detailed analysis of the policy and legal context <sup>39</sup> with support from USAID, with subsequent support to MoEF to implement report recommendations for legal revisions to improve species protection. This has included significant achievements – government agreement to revise the

<sup>38</sup> USAID Report Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society.

[http://pdf.usaid.gov/pdf\\_docs/PA00KH52.pdf](http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf)

<sup>39</sup> Changes for Justice Project Wildlife Trade, Wildlife Crimes And Species Protection In Indonesia: Policy And Legal Context. March 2015. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. USAID.

[http://pdf.usaid.gov/pdf\\_docs/PA00KH4Z.pdf](http://pdf.usaid.gov/pdf_docs/PA00KH4Z.pdf)

**Table 10: Risks and risk mitigation measures identified at the design stage**

Risk	Mitigation Measures
<p>Probability = 3 Impact = 3 <b>Moderate</b></p>	<p>Conservation Law 5/1990 during 2016, MoEF agreement that the revised Law should always reflect the current status on wildlife conservation governance including strengthening law enforcement through increased court rulings and fines for IWT crimes. This process has received significant support from CSOs such as WCS. MoEF playing a leading role with the parliament (Commission IV), which the project will provide additional resources to follow through on key legislation.</p> <p>Engagement with neighbouring countries occurs through ASEAN WEN but remains weak, and by developing a national IWT strategy associated with a national task force, increasing the capacity of MoEF's Gakkum to play a leading role in IWT enforcement, and strengthening its international exposure and engagement through the GEF GWP, increased momentum will be provided for such agreements to be developed and put into action.</p>
<p>Mal-governance and Corruption: this is a major factor in wildlife trade, and accordingly one that has not been underestimated. Even when laws and mandates are clear, the mandated response is not always forthcoming. This is related to low motivation, poor resource allocation, and to the insidious effects of corruption, that thrives in the poorly regulated environment.</p> <p>Probability = 3 Impact = 3 <b>Moderate</b></p>	<p>Addressing corruption requires considerable high-level political support. Reducing its impact requires action against corruptors but can also be addressed through tighter regulatory structures and improved monitoring that highlight when appropriate action is not being taken. Many of the described project components are designed to specifically address corruption and other forms of mal-practice and mal-governance. For example, strengthening the regulatory framework and government capacity will enhance oversight and limit opportunities for malpractice. Key agencies responsible for anti-corruption measures, namely the Corruption Eradication Commission (KPK) and Financial Transactions Analysis and Reporting Centre (PPATK) will participate in the project Technical Advisory Committee and will be key project partners in strengthening the multi-door approach to IWT prosecutions in Components 1 and 2. The presence of an internationally funded high-profile project will further support the government's efforts to fight corruption.</p>
<p>Lack of industry support due to links with IWT: the wildlife trade industry is secretive, fragmented as well as multi-national. There is often a link to criminal syndicates. This presents challenges for project implementation, industry engagement and enforcement.</p> <p>Probability = 3 Impact = 3</p>	<p>The Project implementers have considerable experience with such trade participants and will seek to engage industry at all levels, as well as devise a strategy with international organizations to counter criminal syndicates. The Project activities have been developed based on a thorough situation analysis using the latest global information, data and knowledge on the structure of the international and national trade compiled by international organizations and individuals, and supported by a series of consultation workshops and other stakeholder consultations involving all relevant agencies. The Project will support the strengthening</p>

**Table 10: Risks and risk mitigation measures identified at the design stage**

Risk	Mitigation Measures
<b>MODERATE</b>	of intelligence analysis based on WCU capacity and agreements for information exchange between agencies and collaboration with CSOs such as TRAFFIC to enable understanding and adaptation to the changing IWT and legal trade trends. The development of relationships with recognized reputable traders and documentation of their practices as models has potential as a way forward in encouraging responsible trade.
Suboptimal collaboration between IWT enforcement agencies: coordination between various agencies may be constrained due to sectionalism, bureaucracy, the demands of coordination, and/or unclear mandates, impacting the effectiveness of IWT responses.  Probability = 3 Impact = 3	This Project has been developed in full collaboration with the Indonesian government and its agencies. There have already been considerable discussions and joint efforts between key government law enforcement agencies. The momentum created by the Project will further strengthen and institutionalize the coordination and joint action mechanisms. Joint work will be demonstrated at both national and local levels and necessary systemic and institutional capacities will be installed to ensure sustainability. The WCS-WCU has demonstrated that inter-agency cooperation to conduct collaborative counter-IWT operations can be successful through a number of investigations leading to prosecution of high profile IWT traders and will continue to support this approach throughout the Project. In addition, the involvement of BAPPENAS as a high-level coordinating ministry in the Project Board should help to facilitate inter-agency cooperation.
Major natural disasters: natural disasters such as earthquakes, floods, volcanic eruptions, etc. inhibit or divert the increase in national and provincial government's attention towards and investment in combatting illegal wildlife trade.  Probability = 2 Impact = 2	This risk is very prevalent in Indonesia. The Project will elevate the illegal wildlife trade issues to the national political and economic agenda, as well as developing the <i>National Strategy to Combat Illegal Wildlife Trade</i> . Increased awareness that illegal wildlife trade is a national and global crisis and security issues should minimize shifting of resources away from the work to natural disaster emergency work. The project is also designed to institutionalize every output and install the necessary systemic and institutional capacity for tackling illegal wildlife trade, operationalising essential inter-agency coordination at both national and local level, and this will ensure continuation of core work even in the event of natural disasters.
Climate change impacts on endangered wildlife species populations: climate change may undermine the conservation objectives of the Project by impacting populations of endangered species <i>in situ</i> .  Probability = 2 Impact = 2	Responses to the impacts of climate change on animal populations lie outside the scope of this Project and are being addressed through other initiatives. The exact nature of this risk will vary substantially between different taxonomic groups and species but are generally considered to be slow-acting – beyond the Project timescale. By removing a major anthropogenic pressure on wildlife populations, this Project would contribute towards reducing their overall vulnerability as small population size is a sensitivity factor for climate

**Table 10: Risks and risk mitigation measures identified at the design stage**

Risk	Mitigation Measures
<b>LOW</b>	change impacts.

168. Moreover, and in spite of the Project being reasonably proactive in the reassessment of risks during implementation, the risks identified for the SESP in particular have been somewhat overlooked in project monitoring, including in UNDP's risk monitoring processes.

169. In order to ensure that these are not forgotten as the project goes forward, they are reproduced in full in Table 11. In general, project risks and proposed mitigation and management measures need to be updated to reflect their current situation, documented in a coherent manner, and monitored systematically. It would also be advisable, in light of the activation of and forthcoming investments in Outcome 3 activities, to update the screening process using UNDP's current Social and Environment Screening Procedure (SESP), which is more comprehensive and better integrated with UNDP's risk monitoring systems.

**Table 11: Issues raised in the Environment and Social Screening and proposed mitigations**

Risk	Mitigation Measures
<b>Risk 1:</b> Adverse impacts on human rights of local communities, including marginalized groups.  Enhanced enforcement by Indonesian government agencies could lead to negative impacts for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.  Probability = 4 Impact = 3  <b>MODERATE</b>	During the project design, measures have been included to ensure that recognition of human rights are fully incorporated into the project plans. An oversight mechanism will be put in place to ensure that all project activities are carried out in accordance with Indonesian Law and international legal obligations, and that any prosecutions supported by the Project are carried out correctly and fairly. This will consist of an SESP ombudsman, appointed by the UNDP CO and DG Law Enforcement (MoEF) during the Project inception period who will review project progress reports and news from stakeholders, as well as providing a telephone hotline and email contact address for complaints from affected parties.  As the Project demonstration area in Sulawesi covers a large area, it includes areas occupied by different ethnic groups, and some of these are engaged in bushmeat trade and pet trade involving nationally protected species. In these cases, the law would be applied equally irrespective of ethnicity while respecting legally established cultural traditions.
<b>Risk 2:</b> Restricted access to natural resources due to enhanced enforcement for local communities, including marginalized groups.  Enhanced enforcement by Indonesian government agencies could restrict access to natural resources for some local people, if they are engaged in illegal activities such as poaching, illegal fishing and wildlife trade.	During the Project design, specific measures have been incorporated to ensure that Project activities do not restrict <b>legal access</b> of local people to natural resources. This will include sensitization of Project staff to human rights and other social and environmental issues before the outset of field activities. Mitigation measures will be considered by Project management if it is judged that Project activities will curtail illegal activities which form a significant portion of local peoples' livelihoods, such as a consultation process with affected stakeholders to determine alternative approaches.

**Table 11: Issues raised in the Environment and Social Screening and proposed mitigations**

Risk	Mitigation Measures
<p>Probability = 4 Impact = 3</p> <p><b>MODERATE</b></p>	<p>The Project demonstration area in Sulawesi covers a large area including areas occupied by different ethnic groups, in which case specific attention will be given to ensuring that legal access to natural resources is not hindered by Project activities and that legally established cultural traditions are taken into account.</p>
<p><b>Risk 3:</b> Exclusion of potentially affected stakeholders, in particular marginalized groups, from participating in decisions that might affect them.</p> <p>Reform of Indonesian law enforcement regulations and the protected species list could further restrict the opportunities for local people to legally exploit wildlife.</p> <p>Probability = 4 Impact = 1</p> <p><b>LOW</b></p>	<p>During the Project design, PMU staff will ensure that project groups involved in regulatory reform activities consult appropriately with key stakeholders, including umbrella groups that represent the interests of local forest dependent peoples. At the Project demonstration area scale, appropriate consultation mechanisms have been established for use during the Project implementation.</p>
<p><b>Risk 4:</b> Indonesian law enforcement agencies do not apply the law correctly.</p> <p>Increasing the capacity of Indonesian law enforcement agencies carries the risk of improper application of the law,</p> <p>Probability = 4 Impact = 3</p> <p><b>MODERATE</b></p>	<p>The Project capacity-building component (Component 2) should be specifically designed to enhance the capacity and understanding of Indonesian law enforcement agencies to ensure that the law is applied correctly.</p>
<p><b>Risk 5:</b> Project activities are within or adjacent to environmentally sensitive areas including PAs.</p> <p>Some project activities will occur in protected areas, but these are expected to benefit biodiversity.</p> <p>Probability = 5 Impact = 1</p> <p><b>LOW</b></p>	<p>None required</p>

Sustainability and Viability

170. The Project Document proposed the Project to be sustainable on four grounds:

***Strengthened institutional structures and deep partnerships to be supported through the policy and related capacity building processes*** including working to support and strengthen Indonesian and regional institutions and authorities to reduce poaching and illegal wildlife trafficking. The underlying premise is that there is already solid interest within the Government of Indonesia, especially its enforcement agencies, in controlling poaching and wildlife trafficking, and there is also goodwill to collaborate closely with CSOs and other law enforcement entities. The South-South transfer and knowledge management activities will serve as a vehicle to replicate project experience within and beyond Indonesia to benefit the region, hopefully translating to global environment benefits.

***A strong emphasis on institutional and individual capacity development.*** The key factor affecting financial sustainability of the Project beyond the GEF grant is working through existing government agencies and mechanisms as far as possible such that the outcomes are mainstreamed into the regular operations and budgets of these agencies (e.g. MoEF, MMAF, Indonesian National Police, Customs and Excise, and provincial government). Following the completion of the Project, the expectation is that these institutions and authorities will be empowered and better equipped (also through upgrading of key technical skills such as the SMART patrols and on usage of data management systems, techniques for evidence collection and species identification at ports and markets, etc.) to exercise their mandates, without requiring further external resources.

***By nurturing sustainable stakeholder participation mechanisms for the target demonstration landscapes and sites,*** including landscape level partnerships for biodiversity conservation and wildlife crime enforcement, and local level community-based natural resource management committees. Local communities will be empowered through their integration in PA management, wildlife trade informant networks and demonstration activities in the wider landscape activities, as well as sustainable livelihood development and awareness raising to address existing local resource use conflicts and empower women. Long-term investments in sustaining improvements in relations with local communities (through regular communication, joint field operations and targeted awareness raising) will lead to increased levels of local participation and improved PA governance, contributing to the overall sustainability of Project outcomes.

***Project resources will be used to systematically capture, analyse and disseminate experience and best practices.*** A range of knowledge products will be developed by the Project team involving knowledge management and media specialists, including case studies, experience notes, technical notes, pocketbooks, posters, campaign videos (including contributions to the GWP knowledge platform) in both Bahasa and English language, tailored to national stakeholder groups based on KAP survey results. The systematic dissemination of these will be facilitated through developing a project communication and knowledge management strategy, harnessing appropriate people, processes and technologies.

171. Reflecting on the Project Document's arguments above that the project design is sustainable, generates several critiques:

- Thorough consultation at the design phase has helped provide a strong direction into priority focus areas;

- Hopes that the South-South transfer and knowledge management activities will lead to replication are overly simplistic and will require a conscious effort to actively engage with law enforcement agencies in other countries in the region (specifically those mentioned in the Project Document such as China, Vietnam, Thailand, Malaysia and Singapore) and to hasten MoUs, as well as take full advantage of the regional mechanisms already in place such as ASEAN-WEN;
- The assumption that the outcomes of the Project will be mainstreamed into the regular operations and budgets of key stakeholder agencies will require early transition planning and an exit strategy which factors in the timing of annual departmental budgets;
- The logic of sharing experiences and lessons throughout the Project is also sound. However, the project design does not adequately scope or budget for this to occur throughout the Project. Rather the project designs focus appears to be capturing and sharing experiences and lessons at the final stages of the Project (aside from participation in GWP annual symposia). Consequently, the MTR provides the only significant, yet premature, reflection point and opportunity to evaluate, share experiences and learn from lessons to date.

## **Project Results Framework**

172. The Project goal captures the underlying essence of the Project (perhaps more so than the overarching Project objective itself as it integrates elements of sustainability post-project), that is, ***to put in place a comprehensive system to control trade which will eliminate the risk of further loss and extinction of wildlife, and which requires no further donor input.*** However, the MTR team has found that Project goal has not sufficiently emphasized, nor consistently communicated throughout the documentation of project design and implementation. In fact, it is only referred to **once** in the Project Document. A review of other project implementation and monitoring documents such as the Project Implementation Review (PIR), Annual Work Plan (AWP), Quarterly Monitoring Report (QMR) and Project Assurance Reports (PAR) indicates that the Project goal was not referred to in any of them.

173. Weaknesses in the Results Framework immediately became apparent while reviewing the two annual Project Implementation Reviews compiled thus far (for 2019 and 2020) during the MTR inception and planning period. In particular, it was noted that many of the indicators, baselines and end of project targets were not sufficiently 'SMART', i.e. **Specific, Measurable, Achievable, Relevant and Time-bound**, thereby making it difficult to measure progress towards results in an objective and repeatable manner. Furthermore, in a number of instances the monitoring data that is being collected and used to report back on progress is disconnected entirely from what the indicator is asking.

174. As part of the MTR process, the consultants undertook a review of the Project's Results Framework, which currently consists of 24 indicators. While the MTR team found the overall design and intent of the Project as presented in the Results Framework to be quite well thought-out and comprehensive, some weaknesses in the Framework were identified. The MTR consultants believe the Results Framework is overly cumbersome and liable to become a Monitoring and Evaluation (M&E) burden, and hence could benefit from some rationalization. A review of the indicators and the proposed revisions / amendments are summarized in Table 12. Several observations include:

- Surprisingly, no changes were made to any of the indicators in the Results Framework during the Project's inception phase while in consultation with the broader stakeholders during the two-day inception workshop. Furthermore, stakeholders recognized there was progress on

several activities made during the project formulation phase and still, no amendments were made. The following is noted in the Inception Report proceedings:

***"In general, the floor agreed not to alter the indicator for most items, but only put additional notes for recent progress of each indicator at this moment. Within the project cycle, this information will be considered during the Mid Term Review (MTR). Based on this data, expected target for the end of project will be decided after MTR"***

- In the 2019 PIR (covering the period July 2018 to June 2019), the Project credits itself for establishing the requisite inter-agency taskforce, also claiming to have achieved both the mid-term and end-of-project targets. Given the delays in ramping up operations and a lengthy inception phase, this achievement is not only suspect, but misses a key dimension of the indicator calling for inter-agency agreements targeting IWT;
- In the 2020 PIR (covering the period July 2019 to June 2020), the Project also claims to have met the mid-term and end-of-project targets for indicator 0.3 at the Objective level. While on the surface the monitoring data used to report progress matches the mid-term and end-of-project targets (number of cases prosecuted and settled), it is disconnected and not in alignment with what the indicator itself is asking (i.e.: expert evaluation on annual IWT volumes);
- The number of prosecuted cases is repeated three times in the Results Framework (for indicator 0.3, 2.2 and 3.2), but is most appropriate for the indicator of Outcome 2.2;
- In several instances, baseline data were lacking. For example, in the case of Outcome 2.1, the baseline for the ICCWC Indicator Framework was to be determined in year 1, but progress has slipped and execution is currently in the procurement process and scheduled for the second semester of 2021;
- In some instances, the choice of indicator did not always seem the most suitable for capturing project progress and impacts, especially at the Objective level (e.g. Indicator 0.2); in others the wording of the indicator and target were identical;
- There is no indicator that explicitly captures the essence of the objective of the Project to reduce the *"volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and Southeast Asia"*;
- Some indicators were essentially composites of several 'sub-indicators' (e.g. Indicator 1.1 comprised of six sub-indicators), adding to the complexity of assessing progress against the overall indicator, especially in light of stalled progress on closing legislative gaps and the current "multi-door" approach. Furthermore, baselines are missing altogether or have not been updated for the six sub-indicators;
- The project includes gender disaggregated targets, namely that 50% of all beneficiaries are to be women.

**Table 12: Review of project indicators**

Indicator	Baseline Level	End-of-project Target	Issues / proposed amendment
<b>Objective: To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</b>			
<b>Objective Indicator 0.1:</b> Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural	UU5/1990 needs to be revised (the current law has not specifically addressed IWT	At least 2 additional laws/policies completed; Articles on IWT are accommodated in the revised UU 5/90;	Remove "National Strategy for Combating IWT developed" as an end-of-project target since the MTR recommends elevating the NASTRA (given its criticality as a long-term blueprint) as an output under Outcome 1, with its own designated

resources, biodiversity and ecosystems. (IRRF Output 2.5 indicator 2.5.1).	issue); PP7/1999 has not been revised	National strategy for combating IWT developed.	indicator (see below).
<b>Objective Indicator 0.2:</b> Number of direct project beneficiaries: - Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local people in Project demonstration areas benefiting from engagement in conservation activities, reduced HWC impacts and improved livelihoods (m/f).	0	<b>At least 2100 personnel have improved knowledge on IWT (1050m/1050f);</b>  <b>At least 600 local people in project demo areas benefit directly from project intervention (300m/300f).</b>	This is a poor indicator in general, especially at the objective level. The MTR consultants recommend removing this indicator altogether as it is not relevant to the objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.  While it would be more appropriate as an indicator under Outcome 2, measurement and reporting of progress against the indicator should be underpinned by a pre- and post-training survey to measure improved knowledge instead of simply tabulating attendance lists of training sessions, focus group discussions and workshops. It is likely too late to do this post-facto and therefore, it should be removed.  Please see new proposed indicator for 0.2 in red. There is already an MoU between Indonesia and Vietnam since 2014 and therefore, a realistic end-of-project target, including this, might be a total of 3 since there has already been cooperation and repatriation activities with Thailand and Malaysia.
<b>New proposed Indicator 0.2:</b> Number of MoUs on IWT cooperation drafted and approved between Gakkum and other law enforcement agencies in China, Vietnam, Thailand, Malaysia and Singapore by the end of the Project. (baseline =1)			
<b>Objective Indicator 0.3:</b> Expert evaluation of IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database.  <b>Reworded Indicator 0.3:</b> A 20% increase in wildlife seizures in Indonesia and East and South-East Asia by the end of the Project - including both body parts or live animals - as measured by the data from Directorate of Forest Protection, Directorate General of Law Enforcement on Environment and Forestry, MoEF.	4666 wild animals are seized from 34 protected species.  <b>Source:</b> Lakip, Gakkum 2016	<b>Mid-term:</b> Increasing number of cases prosecuted  <b>End-of-Project:</b> Increasing number of settled cases on IWT  <b>New end-of-project Target:</b> 5600 animals / parts seized from X number of protected species	Respectively, the mid-term and end-of-project targets on the increasing number of cases prosecuted and settled cases, are not consistent with either the indicator or baseline measurement. Also, the number of prosecuted cases is already being used for Indicators 2.2 and 3.2. Moreover, there is no difference between the data reported for prosecuted and settled cases.  For Indicator 1.1, the 2020 PIR notes that <i>"Based on the data from Directorate of Forest Protection, Directorate General of Law Enforcement on Environment and Forestry, MoEF, 12 operations of illegal wildlife trade have been conducted for the year 2019. The number of wildlife and its body parts seized from those trafficking operations are 167 and 1,270, respectively (Ev7-LAKIP DG of Law Enforcement 2019)". <u>This data should be recorded as contributing to Indicator 0.3 targets and not Indicator 1.1.</u></i>  Please see suggested rewording to the indicator and end-of-project target in red.

<p><b>Objective Indicator 0.4:</b> Number of individuals of IWT flagship species (Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa and Babirusa) killed by poachers annually in the 2 project demonstration areas.</p>	<p>2015: Tiger (5 poached); Elephant (7 poached); Rhino (1 poached); Anoa (10 poached), Babirusa (12), Black-crested macaque (~200)</p>	<p>&gt;20% reduction from baseline &gt;40% reduction from baseline</p> <p><b>End-of-project targets:</b> Tiger (3 poached: X in demo site 1 and X in demo site 2); Elephant (4 poached: X in demo site 1 and X in demo site 2); Rhino (0 poached); Anoa (6 poached: X in demo site 1 and X in demo site 2), Babirusa (7 poached: X in demo site 1 and X in demo site 2), Black-crested macaque (~120 poached: X in demo site 1 and X in demo site 2)</p>	<p>The current data being used to report on the indicator puts emphasis on threat reduction through patrols and removal of snares which does not completely align with the scope of the indicator and targets, although the MTR consultants can certainly appreciate the logic here.</p> <p>While it is challenging to measure against the end-of-project target (&gt; 40% reduction from the baseline), the 2020 PIR notes that a ToR has been prepared by the PMU to conduct a study on the magnitude of wildlife trade in the second quarter of 2020, which should include clear and current measurements of the number of flagship species poached. Also, the PMU in consultation with the IP should ensure the data is disaggregated for each of the 2 demonstration sites.</p> <p>The MTR consultants recommend reporting on the number patrols and snare removal operations for this indicator as it is more relevant for outcome 3 (see new indicator 3.3 below).</p>
<p><b>Component 1 - Outcome 1: Effective national framework for managing wildlife trade. Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade</b></p>			
<p><b>Indicator 1.1:</b> The following key legislation gaps are addressed by improved IWT legislation documents approved and implemented by Government: -Minimum fines and sentences increased to provide deterrent effect; -Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection; -Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species; - Authority of forestry civil investigators improved; - Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals; - Online trade regulation to address online wildlife trafficking.</p>	<p>0</p>	<p>All key gaps incorporated in the issued legislation and implemented.</p> <p><b>Reworded end-of-project target:</b> All existing gaps targeted by the project related to (i) minimum fines and sentences; (ii) non-native endangered species; (iii) protected species list; (iv) authority of forestry civil investigators; (v) detention / prison terms; and (vi) online trade regulation, are covered in the 2 completed laws/policies.</p>	<p>Targets are neither defined specifically nor succinctly. The PMU in consultation with the IP need to revisit the end-of-project targets for each of the six sub-indicators and articulate a realistic target. Reporting on the targets should be explicit on which completed laws and/or policies address the noted gaps.</p> <p>See rewording to the end-of-project target.</p>
<p><b>Indicator 1.2:</b> Inter-agency taskforce in place and operational as indicated/measured by the signing of an inter-agency agreements targeting IWT.</p>	<p>0</p>	<p>Inter-agency taskforce operational; 1 formal inter agency collaboration agreement</p> <p><b>Reworded end-of-project target:</b> Inter-agency taskforce is operational, is earmarked</p>	<p>These are understood to be new / additional inter-agency agreements linked to be explicitly supported through the Project.</p> <p><b>Note:</b> In the ProDoc, innovative aspects of the Project design include scaling-up the Wildlife Crime Unit (WCU) approach. The WCU is already one of the most</p>

		<p>a budget and is conducting joint operations with entities such as the Wildlife Crime Unit and Wildlife Crime Law Enforcement Task Force for North Sumatra, as well as with other Indonesian law enforcement agencies such as MoEF, INP, MMAF, AGO and PPATK, through formalized interagency collaboration agreements.</p>	<p>successful approaches to combat illegal wildlife trafficking in Southeast Asia, albeit on a modest scale currently, and key to the success is the partnership of Indonesian law enforcement agencies (MoEF, INP, MMAF, AGO, PPATK, etc.) working together to combat wildlife crimes. Scaling-up this innovative approach has huge potential to serve as a model for other countries in the region.</p> <p>Therefore, there is an implicit expectation built into the Project design that the inter-agency task force operates in collaboration with the WCU as well as other entities such as the Wildlife Crime Law Enforcement Task Force for North Sumatra.</p>
<p><b>New Indicator 1.3</b> National Strategy for Combating Illegal Wildlife Trade is developed, endorsed by at least 3 national Indonesian law enforcement agencies, is provided a budget, and is under implementation by the end of the Project.</p>	<p>No national strategy for IWT</p>	<p>National Strategy for Combating Illegal Wildlife Trade receives Ministerial and/or Presidential Decree and a short-term action plan developed and under implementation.</p>	<p>Proposed new indicator.</p>
<p><b>Component 2 - Outcome 2: Institutional capacity for implementation and enforcement at the national and international levels. Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels</b></p>			
<p><b>Indicator 2.1:</b> Strengthened institutional capacity to combat IWT as indicated by:</p> <ul style="list-style-type: none"> <li>i) the ICCWC Indicator Framework (note – baselines to be determined in year 1)</li> <li>ii) UNDP Capacity Development Scorecard for Gakkum</li> <li>iii) Operational status of Gakkum's Information System</li> </ul>	<p>i) ICCWC Indicator Framework – Baseline scores TBD</p> <p>ii) UNDP CD Scorecard Baseline Score: 60%</p> <p>iii) Operational database within Gakkum</p>	<p>i) ICCWC Indicator Framework – Project Completion targets TBD</p> <p>ii) UNDP CD Scorecard EOP Target: 80%</p> <p>iii) Information System is fully operational and operated by trained staff</p>	<p>These are quality indicators, although the ICCWC Indicator Framework is behind schedule. The project has compiled ToR's to update ICCWC Indicator Framework, but the activity has been postponed due to the COVID-19 pandemic.</p>
<p><b>Indicator 2.2:</b> - Annual number seizures/arrests - Annual number of successful prosecutions</p>	<p>Official national statistics on seizures/arrests and Prosecutions.</p> <p>From mid-2015 to mid-2016: The WCU facilitated law enforcement operations for 31 cases with 55 people arrested and taken to court. Of those</p>	<p>Official national statistics on seizures/arrests and prosecutions</p> <p>&gt;25% increase in seizures/arrests from baseline</p> <p>&gt;75% cases prosecuted.</p>	<p>Indicator 2.2 is appropriate and the data up until 2019 shows a 27.5% increase in arrests from baseline, surpassing the end-of-project target. The prosecution rate is 100% of all cases. The project is on track to exceed the Project targets.</p>

	with a known outcome, 41 were prosecuted (100% prosecution). This is for terrestrial species in Sumatra and Java.		
<b>Indicator 2.3:</b> - Annual number of joined up transnational counter-IWT operations - Annual number of seizures as a result of transnational counter-IWT operations.	No transnational operations.	3 transnational operations/seizures.	The indicator refers to <b>annual</b> transnational counter-IWT operations and seizures but reporting against the mid- and end-of-project targets imply it is cumulative. The PMU, in consultation with the IP should discuss and reach an understanding. If it is cumulative, then the indicator should read "total number of joined up..." and "total number of seizures..."  No targets have been set for the number of seizures.
<b>Component 3 - Outcome 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems. Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</b>			
<b>Indicator 3.1:</b> Enforcement effectiveness at 5 key trade ports (Jakarta, Surabaya, Bitung, Belawan and Kualanamu airport), indicated by: - Annual PortMATE assessment tool scores (average score for KSDA, Customs, Port Management Authority at each port).	PortMATE Baseline scores:  Surabaya (Tg Perak):17.00  Belawan: 18.67  (Jakarta, Bitung and Kualanamu to be done in Year 1).	50% increase over baseline score.	No changes proposed.
<b>Indicator 3.2:</b> Effective enforcement of two subnational regions known to include significant wildlife trade routes, measured by: - annual number of IWT seizures at the project sites - annual number of IWT investigations leading to arrests at the project sites; - annual number of successful IWT prosecutions at the project sites.	4666 wild animals seized from 34 protected species.  <b>Source:</b> Lakip, Gakkum 2016	Increasing number of settled cases on IWT by ...%	Targets are not defined. When defined, each of the sub-indicators should be disaggregated for each of the Project sites.
<b>New Indicator 3.3:</b> Removal of threats to flagship species, as indicated by: - total number of ha patrolled at 2 demonstration sites - % of patrols operating as scheduled - days spent patrolling per	Baseline to be defined based on available data.	End-of-project to be defined by the PCU in consultation with the IP based on the following progress noted in the 2020 PIR:  Directorate of Forest	Suggested new indicator in <b>red</b> based on threat reduction approach noted in 0.4.

<p>month</p> <ul style="list-style-type: none"> <li>- total number of mesh snares removed.</li> </ul>		<p>Protection, Ministry of Environment and Forestry, supported by CIWT, conducted 4 (four) snare removal patrols:</p> <ul style="list-style-type: none"> <li>- In August 2019, 8 teams from GLNP conducted 10 days patrol and found 108 mesh snares;</li> <li>- BKSDA Aceh conducted 10-day patrols in September 2019, covered a total area of 276.075 ha(s). Five teams found and destroyed 63 mesh snares;</li> <li>- Between November-December 2019, eight teams from BBKSDA Riau conducted a 10-day patrol covering a total area of 226,319.09 ha. They found and destroyed 170 mesh snares;</li> <li>- In December 2019, 12 teams from BNWNP conducted a 10-day patrol covering distance of 70 km and 600 ha total area. The teams found a massive 945 meshes.</li> </ul>	
<p><b>Component 4 - Outcome 4: Knowledge Management, M&amp;E and Gender Mainstreaming. Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming</b></p>			
<p><b>Indicator 4.1:</b> Number of project lessons documented and used by other national and international projects.</p>	0	At least 5 project lessons used by other national and international projects.	No changes proposed.
<p><b>New Indicator 4.2:</b></p> <ul style="list-style-type: none"> <li>- Number of women targeted by alternative livelihood activities in the community that have reduced unsustainable practices</li> <li>- Number of registered women's community-based organizations, cooperatives or volunteer groups.</li> </ul>	To be defined	To be defined	New indicator to capture gender mainstreaming.

175. As noted above, another area of weakness in the Results Framework applies to the indicators. According to UNDP/GEF guidelines, indicators should be 'SMART', and the MTR team is tasked to evaluate how well the project indicators adhere to this guideline. A table has been prepared to facilitate the analysis of the project indicators according to the 'SMART' criteria. The results captured

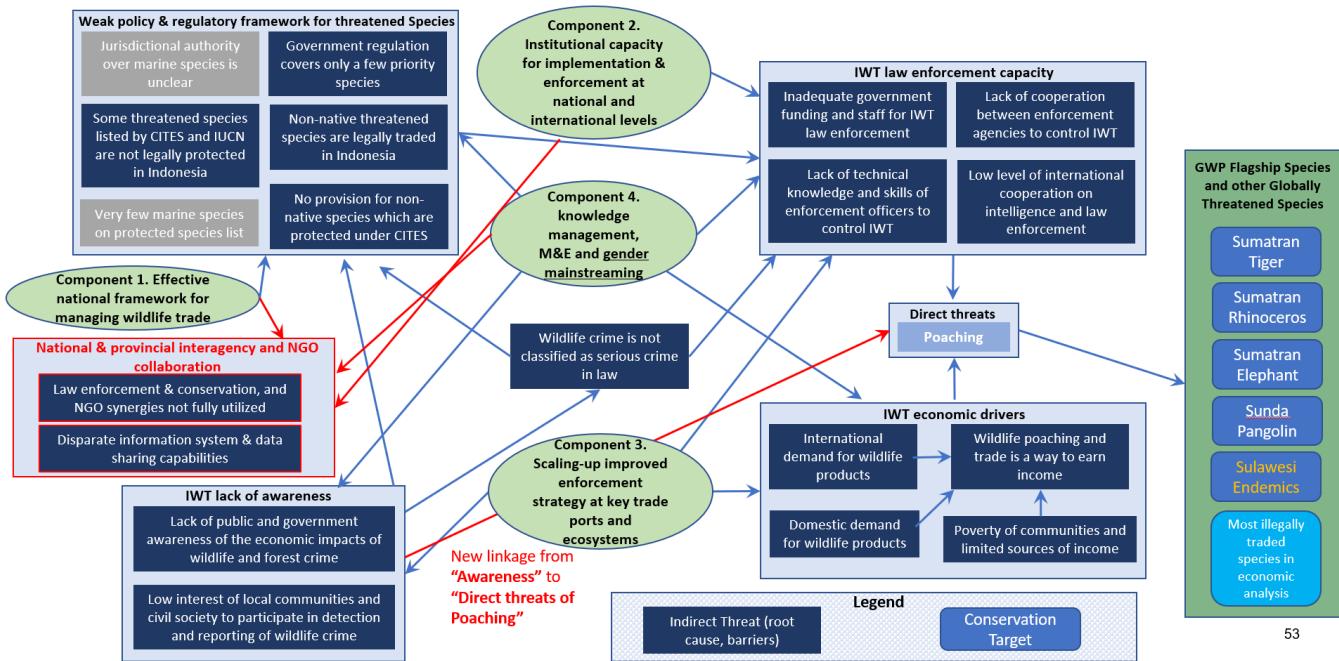
in Table 13 below suggest that considerable strengthening of many of the indicators of the Results Framework is needed.

Indicator	Is the Indicator: (Y=yes; N=no; ?=uncertain)				
	Specific?	Measurable?	Attainable?	Relevant?	Time-bound?
<b>Objective: To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</b>					
<b>Objective Indicator 0.1:</b> Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems. (IRRF Output 2.5 indicator 2.5.1)	Y	Y	N	N	Y
<b>Objective Indicator 0.2:</b> Number of direct project beneficiaries: - Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local people in project demonstration areas benefiting from engagement in conservation activities, reduced HWC impacts and improved livelihoods (m/f)	Y	Y	Y	N	Y
<b>Objective Indicator 0.3:</b> Expert evaluation of IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database	N	Y	?	N	Y
<b>Objective Indicator 0.4:</b> Number of individuals of IWT flagship species (Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa and Babirusa) killed by poachers annually in the 2 project demonstration areas	Y	?	?	Y	Y
<b>Component 1 - Outcome 1: Effective national framework for managing wildlife trade. Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade</b>					
<b>Indicator 1.1:</b> The following key legislation gaps are addressed by improved IWT legislation documents approved by Government: -Minimum fines and sentences increased to provide deterrent effect; -Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection -Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species - Authority of forestry civil investigators improved - Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals. - Online trade regulation to address	Y	?	N	Y	Y

online wildlife trafficking.					
<b>Indicator 1.2:</b> Inter-agency taskforce in place and operational as indicated/measured by the signing of an inter-agency agreements targeting IWT	Y	Y	Y	Y	Y
<b>Component 2 - Outcome 2: Institutional capacity for implementation and enforcement at the national and international levels. Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels</b>					
<b>Indicator 2.1:</b> Strengthened institutional capacity to combat IWT as indicated by i) the ICCWC Indicator Framework (note – baselines to be determined in year 1) ii) UNDP Capacity Development Scorecard for Gakkum (see Annex 18) iii) Operational status of Gakkum's Information System	Y	Y	Y	Y	Y
<b>Indicator 2.2:</b> - Annual number seizures/arrests - Annual number of successful prosecutions	Y	Y	Y	Y	Y
<b>Indicator 2.3:</b> - Annual number of joined up transnational counter-IWT operations- - Annual number of seizures as a result of transnational counter-IWT operations	Y	Y	Y	Y	Y
<b>Component 3 - Outcome 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems. Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</b>					
<b>Indicator 3.1:</b> Enforcement effectiveness at 5 key trade ports (Jakarta, Surabaya, Bitung, Belawan and Kualanamu airport), indicated by: - Annual PortMATE assessment tool scores (average score for KSDA, Customs, Port Management Authority at each port)	Y	Y	Y	Y	Y
<b>Indicator 3.2:</b> Effective enforcement of two subnational regions known to include significant wildlife trade routes, measured by: - annual number of IWT seizures at the project sites - annual number of IWT investigations leading to arrests at the project sites; - annual number of successful IWT prosecutions at the project sites	Y	?	Y	Y	Y
<b>Component 4 - Outcome 4: Knowledge Management, M&amp;E and Gender Mainstreaming. Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming</b>					
<b>Indicator 4.1:</b> Number of project lessons documented and used by other national and international projects.	Y	Y	Y	Y	Y

176. As part of the workshop held on 6 April 2021, the consultants took the opportunity to collectively first revisit and refine the Project's conceptual model of the factors influencing the Project's targets and subsequently, to reassess the Project's core Theory of Change in consultation with a core group of stakeholders, depicted in Figure 12 (which has been updated based on Figure 1 on page 14 of the Project Document) and in Figure 13 below.

**Figure 12. CIWT Project Refined Conceptual Model**



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177. Based on the discussion arising from the workshop, the following key points were made as part of the MTR and revision to the conceptual model:

- With respect to weak policy and regulatory frameworks for threatened species, the Project's original focus on jurisdictional authority over marine species and accompanying marine species lists should be descoped and is less of a priority as there are pre-existing discussions and decisions with the Ministry of Maritime Affairs and Fisheries;
- There was consensus that national and provincial interagency and NGO collaboration should be explicitly surfaced as a barrier (not adequately captured in the Project's original conceptual model), that warrants addressing through the Project as closer synergies and information sharing are paramount to the success of the objectives and have yet to materialize in the first half of implementation. Based on the discussions with stakeholders, the MTR concurs with this

*"ONE OF THE MAJOR CHALLENGES HAS BEEN THAT THE LAW ENFORCEMENT AGENCIES TEND TO WORK IN SILOS"*

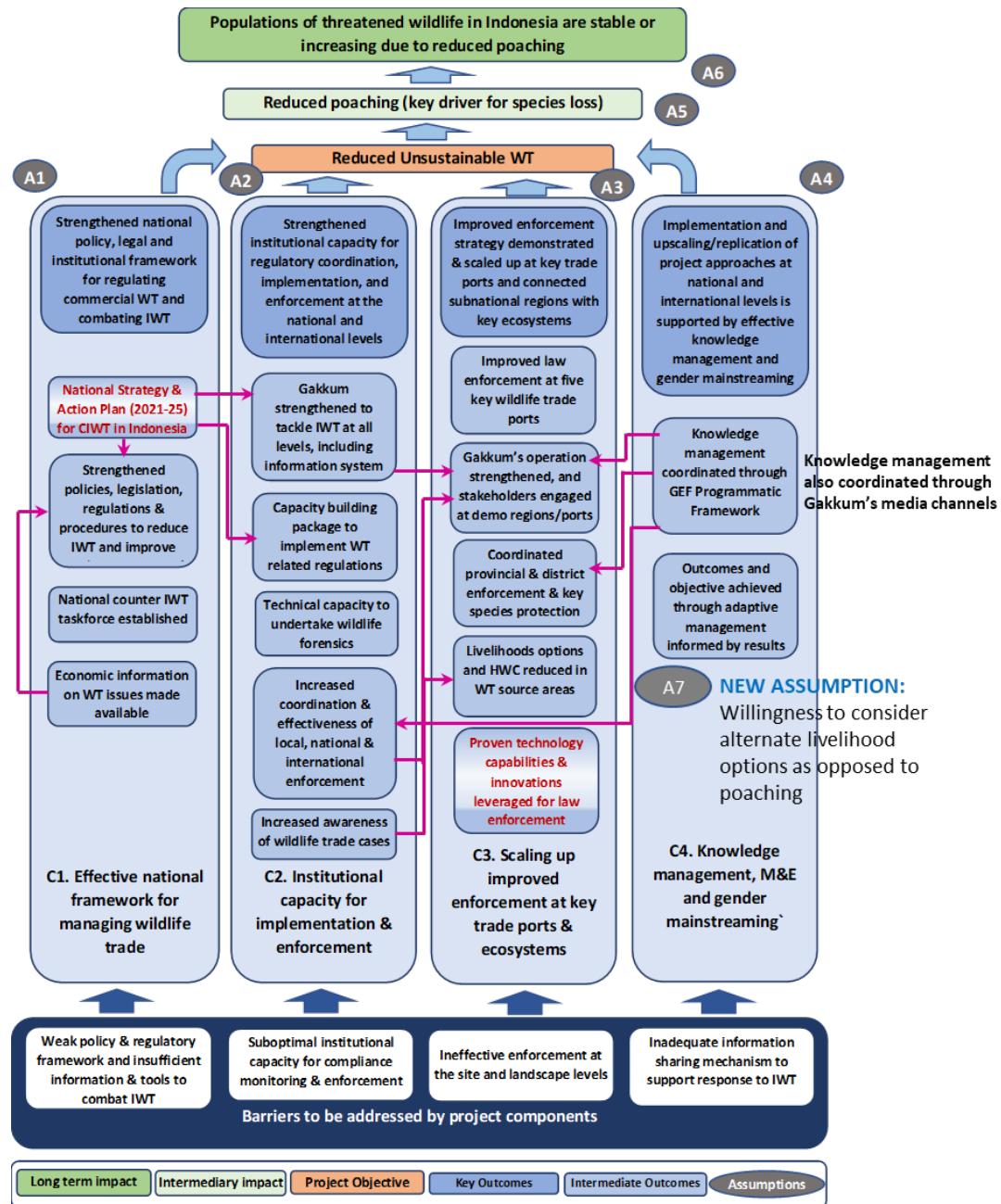
*"COLLABORATION WITH OTHER LE AGENCIES INTERNATIONALLY HAS BEEN LACKING TO DATE"*

**- INTERVIEWEE RESPONSES ON THE IMPORTANCE OF INTERAGENCY COLLABORATION**

sentiment and the prioritization of future collaboration, information sharing and synergies where possible;

- There are clear linkages between inadequate awareness of IWT and the conservation target to reduce poaching which the Project should be mindful of going forward as part of future communications work and campaign efforts. These should be linked to social marketing and behavioural change theory.

**Figure 13. CIWT Project Amended Theory of Change**



178. One of the main shortcomings of the Project's Theory of Change, as presented in the Project Document on page 21, is its oversimplification of the causal pathways (and weightings therein) and static depiction of the transition towards the realization of the Project's intermediate and long-term impact through the delivery of outputs and outcomes. In fact, considerably more thought has gone into documenting the accompanying assumptions in the Project Document at the expense of articulating the causal pathways and investments that will increase the likelihood of success.

**Table 14: Assumptions Accompanying Theory of Change Diagram (Above)**

Code in Figure 13	Assumption	Notes and References (from ProDoc)
A1	There is sufficient political will to support revision of key policies, laws and regulations	Progress is already being made towards revising the Conservation Act UU5/1990 and the Protected Species List GR7/1999 through a collaborative review process, which this project will support and inform.
A2	There exists willingness to cooperate between the relevant law enforcement agencies	There are examples of existing collaboration, including the highly successful Wildlife Crime Unit (WCU) established in 2003 and operated by WCS in collaboration with a range of Indonesian government agencies, which this project will upscale.
A3	Provincial and district government agencies and port authorities are motivated to improve monitoring and enforcement of unsustainable and illegal wildlife trade	There are examples of collaborative efforts in Sumatra, including joint patrolling and human-wildlife conflict response teams. The WCU has conducted successful sting operations at certain ports in recent years, resulting in successful convictions of illegal wildlife traders.
A4	Stakeholders responsible for hosting the information system, providing data and information and making use of the information are willing to collaborate and share information and resources openly.	Focus Group Discussion held during the PPG in March 2016 with all relevant stakeholders indicated high interest in collaboration on wildlife enforcement and in sharing data and information. The WCU has also made use of information from different agencies to inform its operations. However, such data sharing is currently patchy and unstructured.
A5	Demand from the unsustainable legal and illegal wildlife trade is a key driver for poaching activities	Challender et al. 2016 <sup>40</sup> ; Bennett 2015 <sup>41</sup> ; WCS 2015a <sup>42</sup> , Nijman et al. 2012 <sup>43</sup> ; Lyons et al. 2013 <sup>44</sup> .
A6	Poaching is in reality a major negative factor impacting populations of globally	See WCS 2015a for profiles of key species in wildlife trade in Indonesia; see IUCN Red List <sup>45</sup> for

<sup>40</sup> Challender et al. 2016. On scaling up pangolin conservation. TRAFFIC Bull. 28(1):19-21.

<sup>41</sup> Bennett E.L. 2015. Legal ivory trade in a corrupt world and its impact on African elephant populations. Conservation Biology 29.1 (2015): 54-60.

<sup>42</sup> WCS 2015a. Changes for Justice Project Wildlife Crime In Indonesia: A Rapid Assessment Of The Current Knowledge, Trends And Priority Actions. Prepared for Chemonics International Inc. by the Indonesia Program of the Wildlife Conservation Society. Report to USAID. [http://pdf.usaid.gov/pdf\\_docs/PA00KH52.pdf](http://pdf.usaid.gov/pdf_docs/PA00KH52.pdf)

<sup>43</sup> Nijman, V., C. R. Shepherd, Mumpuni, and K. L. Sanders. 2012. Over-exploitation and illegal trade of reptiles in Indonesia. Herpetological Journal 22:83-89.

<sup>44</sup> Lyons, J. A., D. J. D. Natusch, and C. R. Shepherd. 2013. The harvest of freshwater turtles (Chelidae) from Papua, Indonesia, for the international pet trade. Oryx 47:298-302.

<sup>45</sup> IUCN Red List. <http://www.iucnredlist.org/>

**Table 14: Assumptions Accompanying Theory of Change Diagram (Above)**

Code in Figure 13	Assumption	Notes and References (from ProDoc)
	threatened species in Indonesia	key endangered species impacted by poaching and illegal trade.
A7 (New)	Willingness to consider alternate livelihood options as opposed to poaching	Complex dynamics of socio-economic aspects of IWT make it difficult to fully exert control over the push and pull factors which make poaching an attractive option.

179. While the Project outcomes are indeed ambitious, as they aim to address changes at four levels simultaneously. Nonetheless, the targeted changes at multiple levels are undergirded by a logical flow and inter-connection between the end-of-project targets. Thus, if implemented effectively, the outputs can be mutually reinforcing, which can in turn contribute to a "multiplier effect" for improved potential of the Project's overall success and allowing global environmental benefits to accrue. As part of the group discussion, the workshop surfaced the following priorities going forward:

- The NASTRA should be elevated to a Project output as it is a key enabler of success, representing the Government's blueprint on IWT both during implementation and post-project. At the moment it is not afforded importance it is given and is currently represented only as an end-of-project target in the Results Framework. Once approved and broad ownership is secured, multiple impact pathways are enabled through the NASTRA at both the national and subnational levels;
- Enhanced technology capabilities and innovations to support efforts at both the landscape level and key ports of entry also ought to be designated as an output under Outcome 3;
- Greater emphasis on the useability of economic information on IWT and how this connects with enhancing legislation and policy;

180. As a supporting diagram to the Theory of Change, the interconnections between project activities are described in Figure 14 below. Added to the figure here is a guide to more clearly identify the impact pathways of the project. The figure shows that there are four impact pathways that are supposed to transform the interlinked activities to generate outputs that contribute to the four project outcomes, and eventually, to achievement of the project objective:

**Impact Pathway 1: Strengthening National Policy and Institutional Framework**, enabled by a broadly-owned and endorsed NASTRA (at Ministerial or better still, at the Presidential level);

**Impact Pathway 2: Capacity Building**, both at the institutional level to strengthen Gakkum's operations and capabilities at the national, as well as its presence in the field; together with improved capacity of supporting law enforcement agencies;

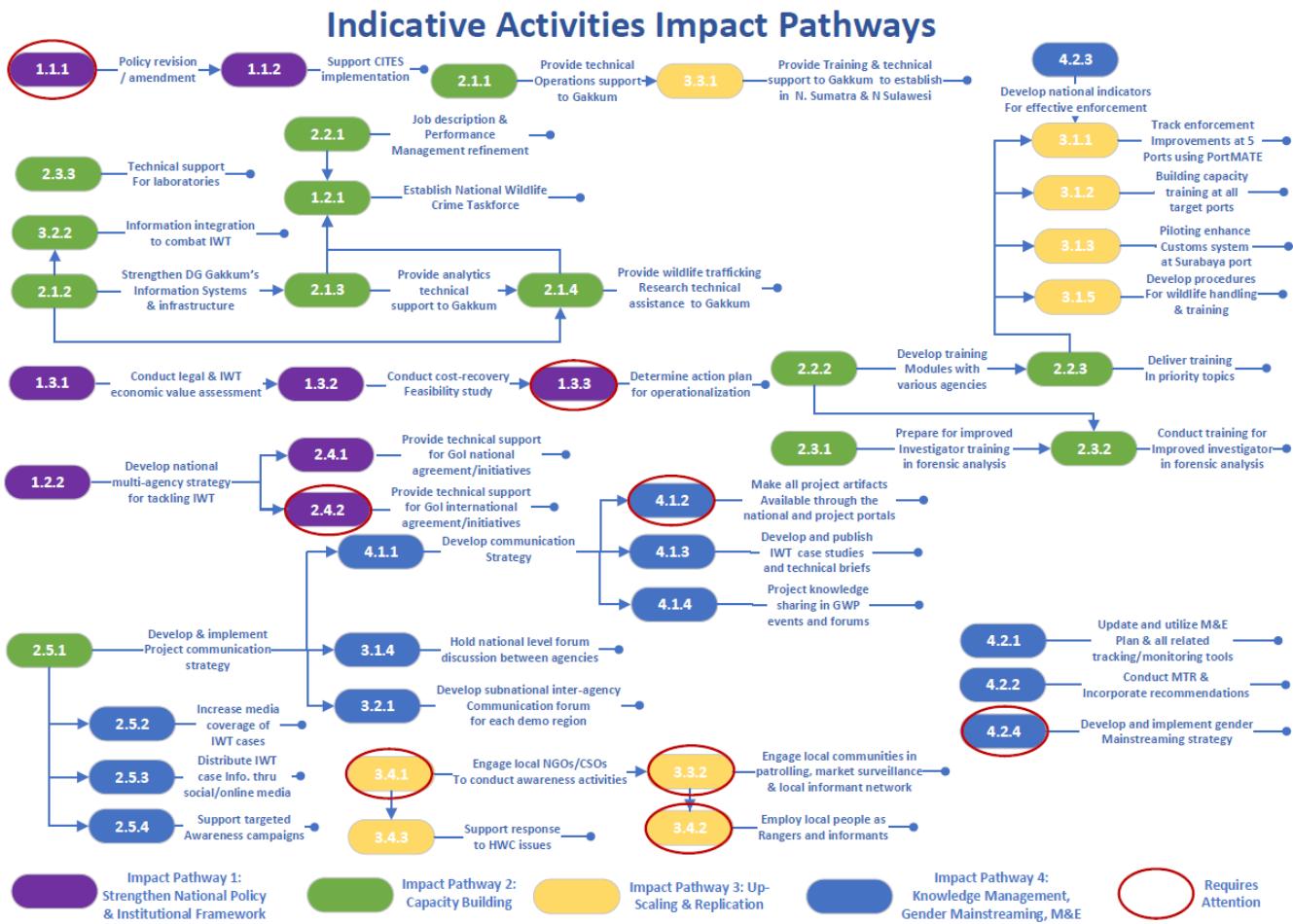
**Impact Pathway 3: Upscaling and Replication**, contingent on laying down a strong foundation of government commitment, appropriate institutional and legislative frameworks, and sufficient technical capacity, benefits to felt at the subnational level;

**Impact Pathway 4: Knowledge Management and Gender Mainstreaming.**

181. As mentioned above, the interconnectedness of the various elements of the project is regarded as an inherent strength, since it can have a synergizing effect upon the various actions being

undertaken. However, at the same time, weakness in any given element of the project can be transmitted and affect the success or failure of other aspects. In Figure 14, red circles are used to flag those activities where progress has either been slow to catalyze results or not as effective as expected. These are regarded to be 'weak links' where risks may arise that could ultimately impact overall project success may arise.

**Figure 14. Impact Pathways from the Project's Theory of Change**



182. Significant time was spent with the National Project Manager and other members of the PMU and UNDP Indonesia Country Office, during the MTR fact finding stage to clarify indicators, targets and baselines in order to assess project progress to date and to discuss possible amendments and revisions – a discussion that has continued both immediately following the ToC workshop and alongside the drafting of the report.

183. A key MTR finding is that project indicators, baselines and targets need to be revisited, clarified and simplified as a matter of priority so the Project can prioritize with laser focus the investments that will most likely lead to tangible results. Ideally, these should also be translated into Bahasa, in order for the Results Framework to be properly 'owned' by the broader Project Team (most of all the IP) and to serve as a useful guide to project implementation and monitoring. Although this process

should ideally have occurred during the inception phase, the MTR assumes the project team and project partners were too preoccupied with getting the project off the ground during that initial period and that this was subsequently overlooked as implementation got underway and other challenges arose.

184. Another major finding of the MTR is that the original scope of the project may have been overambitious given the available capacity, identified risks that have since materialized, the complex and highly political, socioeconomic and geographic context of implementation. This can be done by further prioritizing planned outputs and activities based on the feasibility of planned results and the likelihood of generating maximum sustainable impacts by the end of the project. Focus ought to be given to and investments made to the main impact pathways noted above.

***Note: No rating for Project Strategy is required for the Midterm Review***

## **B. Progress Towards Results**

185. The MTR team is tasked to provide ratings on the project's progress towards its objective and each outcome. The assessment of progress is based on data provided in the PIRs, supplemented by data provided in the GWP tracking tools, updates in both the PARs and QMRs, data gleaned from the online questionnaire and supplemented by the results of interviews with the project stakeholders during the fact-finding stage.

186. As noted earlier, some important outputs do not have corresponding indicators; progress against these outputs are thus only reported in a qualitative manner. Apart from limitations in the quality of indicators, baselines and targets, assessment of progress was also sometimes hampered by shortcomings in project M&E and reporting of available data.

187. To facilitate this assessment, and following UNDP/GEF guidance, the MTR team has prepared an analytical matrix to assess progress made by the project towards achieving the intended results in Table 15 below. The matrix summarizes the progress towards the end-of-project targets for the project objective, and for each of the three project outcomes. The information which has been entered into the matrix enables an assessment of the level of achievement, at the midterm, for each indicator that applies to the project objective and the project outcomes. Based on the assessment of the level of achievement, a rating has been assigned for each indicator. The ratings use a color-coded "traffic light" system to highlight the relevant cells of the matrix. The system is structured as follows:

- a) **GREEN**: target has already been achieved;
- b) **YELLOW**: target is partially achieved or on-track to be achieved by the end of the project; or
- c) **RED**: target is at high risk of not being achieved by the end of the project and needs attention.

188. In order to adequately interpret the findings reflected in the "progress towards results" matrix, further detailed explanations are provided in the paragraphs and sections which follow the matrix.

**Indicator Assessment Key:**

Target already achieved	Target is partially achieved or on-track to be achieved by the end of the project	Target is at high risk of not being achieved by the end of the project and needs attention
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**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

<b>Objective: To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</b>						
Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
0.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems. (IRRF Output 2.5 indicator 2.5.1)	UU5/1990 need to be revised (the current law has not specifically addressed IWT issue; PP7/1999 has not been revised	At least 3 additional policies/laws under review; Policy and institutional framework with specification on articles related to IWT PP7/1999, PP8/1999, Permen 447/2003  Working procedure of DG Gakkum and DG KSDAE, as well as MoEF and Ministry of Marine and Fisheries are developed.	At least 2 additional laws/policies completed  Articles on IWT are accommodated in the revised UU 5/90  National strategy for combating IWT developed	1. For PermenLHK No 447/2003 (Regulation of the Ministry of Environment and Forestry Number 447/2003) related to Procedure for Taking, Captivating, and Circulation of Plants and Wildlife currently under review by Legal Department, Directorate General of Natural Resources, and Ecosystem Conservation. As per latest guidance from the DG Natural Resources and Ecosystem Conservation, Permen LHK 447/2003 is still ongoing and under review for further process. The CIWT Project and Directorate of Biodiversity Conservation will continue the process after omnibus law drafting.	Partially achieved / on track	<ul style="list-style-type: none"> <li>In spite of recommendations made in 2016 during the Project's design to update the Act, it has remained a highly political sticking point, albeit with several recent breakthroughs: <ul style="list-style-type: none"> <li>In 2020, the initiation of the revision of Law 5 of 1990 was announced in the working meeting of Commission IV DPR (parliament) and parliament asked the MoEF to jointly discuss the revision of this regulation.</li> <li>Prolegnas will be sitting again in 2021 and a</li> </ul> </li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>2. While, for PP. No 8/1999 (Regulation of the Indonesian Government Number 8/1999)and its revision to PermenLHK no. 92/2018 and revision to PermenLHK 106/2018), a ToR has been prepared to review the regulation. The consultant expected to review the state of the art on existing regulations and its interconnection with other agencies' regulations, such as quarantine, customs, etc. The task will be held on the second semester of 2020 and expected to produce a road map for improvement on combatting illegal wildlife regulations from a law enforcement perspective.</p> <p>3. In response to the absence of a comprehensive framework that bridges efforts on law enforcement and combatting illegal wildlife trade, and to achieve the end of target level, CIWT project in collaboration with DG of Law Enforcement, Ministry of Environment and</p>		<p>meeting has been held to discuss Law 5/1990 (it is hoped that in roughly three months, the MoEF and Commission IV of the parliament can produce a draft regulation for consideration).</p> <ul style="list-style-type: none"> <li>• PP 7 and PP8 / 1999 have been revised through P.20 / 2018 which was revised to P.92 / 2018 and then revised again to P. 106/2018. 914 species are included in the protected species out of 294 species and genera of wild plants and animals: <ul style="list-style-type: none"> <li>○ The IWT project did not contribute much to this initiation as it was intensively funded and implemented by the government. The Project is in the</li> </ul> </li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Forestry, initiated the development of National Strategy and Action Plan for Combating Illegal and Unsustainable Trade in Endangered Wild Animals (Nastra CIWT).</p> <p>The Nastra CIWT by DG of Law Enforcement and CIWT's project is the first national strategy in the world to use system dynamics modeling to compile national strategy and action plan for combatting illegal wildlife trade.</p> <p>The study conducted by YIARI (Local NGO that is affiliated to International NGO-IARI) and initial results has identified 3 dynamic pillars of IWT (Ev1-1st Draft Nastra CIWT Leverage System Analysis) - namely, organization resilience, IWT supply chain, and judicial system. The study now pursues the leverage component using Analytical Hierarchy Process and Qualitative Politicized Influence</p>		<p>process of initiating a review of this regulation.</p> <ul style="list-style-type: none"> <li>• P. 447/2003 is still in the process of being reviewed: <ul style="list-style-type: none"> <li>○ Several guidelines have been prepared in the context of the equipment required for the revised plan of this regulation such as DNA sampling techniques, Animal Handling and Animal Repatriation.</li> </ul> </li> <li>• National strategy for combating IWT developed but broad ownership and endorsement pending.</li> <li>• A regulatory review dated 14 May 2021 was compiled by an independent Consultant and provided to the MTR</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Diagram (QPID).</p> <p>4. To overcome the problem with a legal and scientific approach for prosecution related illegal wildlife crime, CIWT Project initiated Wildlife Economic Valuation to Support Legal Processes. This study conducted by LPPM IPB (Bogor Agriculture University) with three main approaches through market price method, willingness to pay-method, and cost-based approach, purposed to find the economic value of the 25 most traded animal species in Indonesia.</p> <p>The benefit of this study has been, it has provided references for law enforcers in determining the economic value of animals traded. The value of wildlife in wildlife crime case prosecution does not reflect the "true value." This study has practical value, as well as scientific value, as a reference for judges and prosecutors for more</p>		<p>consultants following the submission of the first draft. More information provided <a href="#">detailed analysis of the Project Objective</a>.</p> <p><b>Persistent concerns and/or opportunities:</b></p> <ul style="list-style-type: none"> <li>• Stronger government commitment to legislative changes is needed by way of Ministerial or Presidential Decree of the NASTRA;</li> <li>• Timing of changes to legislation are likely to come late in the Project, if at all, thereby reducing the overall effectiveness of Outcome 3;</li> <li>• The Project should ensure alignment with and check the policy review document for Permenhut 447/2003 issued by WCIP and Auriga Nusantara;</li> <li>• Closer collaboration with PPATK with</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>optimized prosecution.</p> <p>Initial study results showed the optimized effort to prosecute illegal wildlife trade is a combination of market price method and cost-based approach. The study also suggested the ecological approach for further study to obtain "true value" for wildlife (Ev2-1st Draft Economic Value Assessment of Protected Wildlife to Support Legal Processes).</p> <p>Responding to this initial study, Director General of Law Enforcement MoEF, Rasio Ridho Sani appreciated and commented on this study as an initial step and breakthrough in combatting illegal wildlife trade (Ev3- MoM FGD Economic Value Assessment of Protected Wildlife)</p> <p>5. Through CIWT's microgrant, the project initiated a collaboration with The Indonesian Financial Transaction Reports and</p>		<p>respect to anti money laundering practices;</p> <ul style="list-style-type: none"> <li>• MoEF is also involved in FATWA MUI (Indonesia Clerical Association) in supporting an Islamic regulation called FATWA to strengthen the protection of wild plants and animals;</li> <li>• Several guidelines have been developed to strengthen the management of GAKKUM and KSDAE, such as a needs assessment and several protocols such as preventing illegal wildlife trafficking have been developed for joint management;</li> <li>• Protocols have been created by several IWT CSO partners which should be embraced by the Project.</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Analysis Centre (PPATK/Pusat Pelaporan dan Analisis Transaksi Keuangan) developed a Guidelines on how to use money laundering regime to combat wildlife crime.</p> <p>Currently, crime-related to illegal wildlife trade became a predicate of crime in Act No. 8/2020 on Prevention of the Money Laundering (Ev4-[Draft] Guidelines on How to use money laundering regime to combat wildlife crime).</p> <p>6. To promote and localize national Fatwa of Indonesian Ulama Council (MUI) on Combatting Wildlife Crime, several activities using religious approach has been conducted in several cities:</p> <ul style="list-style-type: none"> <li>- Jakarta, attended by 15 peoples. Attendees came from Dewan Kemakmuran Masjid (DKM/Mosque Prosperity Council) from around Pramuka Bird Market. The market was renowned as the biggest animal market in Jakarta and Indonesia.</li> </ul>		

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<ul style="list-style-type: none"> <li>- Medan, North Sumatera, attended by local MUI and Regional Police Office of North Sumatera.</li> <li>- Surabaya, East Java, attended by 30 people. Attendees came from young Muslim preachers from Surabaya and its surrounding areas.</li> <li>- Jakarta, socialization of Fatwa MUI conducted International Conference on Law, Religion, Culture, and Culture in Achieving Sustainable Development held by Nasional University (Universitas Nasional) on October 31, 2019 (Ev5- WWF Microgrant Final Report).</li> </ul>		
<p>0.2: Number of direct project beneficiaries:</p> <ul style="list-style-type: none"> <li>- Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f)</li> <li>- Number of local people in project</li> </ul>	0	<p>At least 1000 personnel have improved knowledge on IWT (500m/500f);</p> <p>At least 300 local people in project demo areas benefit directly from project intervention (150m/150f);</p>	<p>At least 2100 personal have improved knowledge on IWT (1050m/1050f);</p> <p>At least 600 local people in project demo areas benefit directly from project intervention (300m/300f);</p>	<p>a. 530 personnel (53% against midterm target level or 25% against the end of target level) have improved their knowledge of IWT through training, focus group discussions, and workshops.</p> <p>1. Enhancing knowledge on animal handling in illegal wildlife operation, the project compiled standard operating procedures</p>	<b>Partially achieved / on track</b>	<p>While COVID-19 has presented clear challenges for the Project in terms of its engagement strategy, the forthcoming deployment of e-learning modules and ramping up of Outcome 3 activities are likely to make up for the shortfall.</p> <p><b>Persistent concerns</b></p>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
demonstration areas benefiting from engagement in conservation activities, reduced HWC impacts and improved livelihoods (m/f)				<p>(SOP) on animal handling for primates, mammals, reptiles, and birds for Police Officer (Polhut). With the availability of these guidelines, it is expected animal handling process by Polhut can be carried out properly (Ev12-SOP Animal Handling).</p> <p>2. The project in cooperation with The Indonesian Institute of Sciences (LIPI) developed SOP of collecting and handling biological material from wild animals and plants by morphological and DNA analysis. The project expects that this guide could support proper and comprehensive law enforcement on wildlife crime; and other activities such as wildlife survey and monitoring (Ev13- Guideline Morphological Analysis) (Ev14 Guideline Genetic Analysis).</p> <p>b. Reduced HWC conflicts - CIWT's project has conducted several HWC training and community-</p>		<p><b><u>and/or opportunities:</u></b></p> <ul style="list-style-type: none"> <li>• Acceleration of Outcome 3 activities;</li> <li>• Paying close attention to realizing gender beneficiary targets of 50%.</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>based training for local communities:</p> <p>1. HWC training, through microgrant held by WWF, has been conducted in Krueng Saee watershed area (DAS); Village of Alue Limeng, Krueng Sabe, and Pintu Rime, district of Bireun. The training attended by 25 local peoples (20 males, 5 females). The HWC training materials covered conservation and conflict mitigation with the elephant (Ev5-WWF Microgrant Final Report).</p> <p>2. A training workshop carried out in the Masigit Karembi Forest Conservation Area delivered through microgrant by YIARI. The training intended to raise the capacities of local conservation groups and volunteers. A total of 14 peoples from the local community attended the training. The training on ecology and conservation as a part of community-</p>	Yellow	

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>based patrols around habitat areas of slow lorises. Increased involvement of local communities in community-based patrols aimed to prevent poaching and reduced hunting and trading around habitat areas (Ev6).</p> <p>3. A training workshops for local communities has been conducted in Gunung Sawal Wildlife Reserve, West Java. The training attended by 15 local people around the release sites of slow lorises. The participants now actively assist the release project of slow lorises by YIARI (Ev6-YIARI Microgrant Final Report).</p> <p>4. Workshops on identifying threats to the habitat of wildlife have been conducted in 2 villages around Gunung Sawal Wildlife Reserve, West Java. The training attended by 50 people among other village government officials, community figures, and local activists. This training intended to raise</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>awareness on community-based illegal wildlife poaching preventions (Ev6-YIARI Microgrant Final Report).</p> <p>c. Development of livelihood alternative programs to reduce illegal wildlife trade has been conducted in Northern Sumatera and West Java:</p> <ol style="list-style-type: none"> <li>1. The training of non-wood forest products (HHBK) on beekeeping has been conducted in Village of Ranto Perlak, Sub-District of Perlak, East Aceh Regency. The training was attended by 23 local peoples (18 males, 6 females) on management and development of beekeeping of kelulut (stingless bee) or "linot" in the local dialect (Ev5-WWF Microgrant Final Report).</li> <li>2. Social mapping on livelihood alternatives has been conducted in Tanjungsari Village, Sadanaya subdistrict, Ciamis Regency. This</li> </ol>		

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>village had a direct border to Gunung Sawal Wildlife Reserve. The population of Tanjungsari Village reached 4.435 people (2.265 males and 2.170 females. Using Sustainable Livelihood Analysis (SLA) dan SWOT Analysis, recommended establishment Desa Wisata Tanjungsari "Sahabat Kukang"/Tourist Village of Tanjungsari "Friends of Loris" as an alternative livelihood (Ev6-YIARI Microgrant Final Report).</p> <p>3. Focus Group Discussions with village representatives have been conducted in Tegal Hamlet, Mekarsari Village, Pasir Jambu subdistrict, Bandung Regency to identify current and alternative livelihoods. It was agreed with the target community to use cattle manure in the biodigester (Ev6-YIAR Microgrant Final Report).</p> <p>While gender equality cannot be easily fulfilled in terms of participation in the trainings related to IWT due</p>		

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				to the limited availability of female forest police.		
0.3: Expert evaluation of IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database	4666 wild animals are seized from 34 protected species.  Source: Lakip, Gakkum 2016	Increasing number of cases prosecuted	Increasing number of settled cases on IWT	<p>Mid and end of project target levels have been achieved (100%).</p> <p>Based on data from Directorate of Criminal Law Enforcement, Directorate General of Law Enforcement on Environment and Forestry, Ministry of Environment and Forest showed an increasing number of cases prosecuted and settled cases on illegal wildlife trade.</p> <p>The data on the number of cases prosecuted from 2016-2019 was 51, 55, 41, and 65, respectively, which is in total 212 (Ev7-LAKIP DG of Law Enforcement 2019). While for settled cases was 51 (2016), 55 (2017), 41 (2018), and 65 (2019). (Ev7-LAKIP DG of Law Enforcement 2019).</p> <p>Compared to the previous year, LAKIP Gakkum not used as a data source due to a lack of access for data</p>	Partially achieved / on track	<p>There is a clear disconnect between the indicator and baseline data and what is being reported on based on the end-of-project target. This will need to be revisited following the MTR as per recommendations in Table 12 above.</p> <p>Notwithstanding, and given some of the successes to date with joint repatriation operations, seizures are likely to increase considerably when activities at the ports of entry and at the two landscapes ramp up.</p> <p><b>Persistent concerns and/or opportunities:</b></p> <ul style="list-style-type: none"> <li>• There is a need to align the indicator, baseline and targets;</li> <li>• Number of prosecuted cases is repeated for</li> </ul>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				compilation. For years come, LAKIP Gakkum would be used as an official data source.		Outcomes 2.2 and 3.2; <ul style="list-style-type: none"><li>• There should be a determination of Area of Interest (AOI) and the coverage of the number of prosecuted cases in the AOI if metric is still being applied;</li><li>• Data missing for 2020 and should be updated going forward.</li></ul>
0.4: Number of individuals of IWT flagship species (Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa and Babirusa) killed by poachers annually in the 2 project demonstration areas	2015: Tiger (5 poached); Elephant (7 poached); Rhino (1 poached); Anoa (10 poached), Babirusa (12), Black-crested macaque (~200)	>20% reduction from baseline	>40% reduction from baseline	To identify poached flagship species, the Project has planned to conduct a study on the magnitude of wildlife trade in the second quarter of 2020. A ToR has been prepared by PMU.  One of the efforts to reduce poaching as a direct threat to wildlife, CIWT Project supported protected area management by conducting snare removal in two project demonstration areas.  As stated by both Director General of Law Enforcement of Environment and Forestry	At risk	There is a disconnect between what the indicator is asking and the approach currently being taken by the Project in terms of threat reduction.  It is not possible to assess indicator with the data provided at this juncture. Suggested reformulation of indicator noted in Table 12.  <b>Persistent concerns and/or opportunities:</b>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>and Director General of Natural Resources and Ecosystem Conservation, Ministry of Environment and Forestry, Indonesia is facing serious threat of setting snares by poachers to Indonesian wildlife. Directorate of Forest Protection, Ministry of Environment and Forestry, supported by CIWT, conducted 4 (four) snare removal patrols:</p> <ul style="list-style-type: none"> <li>• In August 2019, 8 teams from GLNP conducted 10 days patrol and found 108 mesh snares.</li> <li>• BKSDA Aceh conducted 10-day patrols in September 2019, covered a total area of 276.075 ha(s). Five teams found and destroyed 63 mesh snares.</li> <li>• Between November-December 2019, eight teams from BBKSDA Riau conducted a 10-day patrol covering a total area of 226,319.09 ha. They found and destroyed 170 mesh snares.</li> <li>• In December 2019, 12 teams from BNWNP conducted a 10-day patrol</li> </ul>		<ul style="list-style-type: none"> <li>• Study on the magnitude of wildlife trade will need to accelerated and targets will need to be disaggregated between the 2 project demonstration areas;</li> <li>• Monitoring data on target species will need to be informed by investigations and information from informants.</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				covering distance of 70 km and 600 ha total area. The teams found a massive 945 meshes.	Red	
<b>Outcome 1: Effective national framework for managing wildlife trade. Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade</b>						
1.1: The following key legislation gaps are addressed by improved IWT legislation documents approved by Government:  -Minimum fines and sentences increased to provide deterrent effect; - Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection - Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species - Authority of forestry civil investigators improved	0	-Minimum fines increase by 25%  Average Sentences increase by 10% on baseline.  Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species, including non-native species	All key gaps incorporated in the issued legislation and be implemented.	Based on the data from Directorate of Forest Protection, Directorate General of Law Enforcement on Environment and Forestry, MoEF, 12 operations of illegal wildlife trade have been conducted for the year 2019.  The number of wildlife and its body parts seized from those trafficking operations are 167 and 1,270, respectively (Ev7-LAKIP DG of Law Enforcement 2019).  While related to fines and sentences, the CIWT project will collaborate with the Directorate of Criminal Law Enforcement to conduct a deep-dive analysis on fines and sentences based on cases prosecuted in the second	At risk	Closing of gaps contingent on updated policies and legislation. Mid-term targets not achieved.  <b>Persistent concerns and/or opportunities:</b> <ul style="list-style-type: none"><li>Baselines have not yet been defined for each of the sub-indicators;</li><li>Baseline information is needed at target project locations to be able to sufficiently determine the level of prosecution and punishment if there is legal case warranting a decision on IWT issues;</li><li>The project is building a foundation for prosecution achievement by maximizing legal</li></ul>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
<ul style="list-style-type: none"> <li>- Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals.</li> <li>- Online trade regulation to address online wildlife trafficking.</li> </ul>				<p>quarter of 2020.</p> <p>The project initiated to compile a syllabus for illegal wildlife trade. The syllabus compiled by the Human Resources Counselling and Development Agency (BP2SDM) Ministry of Environment and Forestry consists of four modules: Wildlife Conservation; International Cooperation on Combating Illegal Wildlife Trade; First Handling Action on Criminal Wildlife Trade; and Administration on Captivating and Circulation of Wildlife.</p> <p>A Focus Group Discussion conducted with representatives of Training Centre of Indonesian Attorney General, Training Centre of Criminal Investigation Agency Indonesian National Police; Training Centre of Financial Transaction Reports and Analysis Centre (PPATK/Pusat Pelaporan dan Analisis Transaksi Keuangan); Human</p>		<p>decisions across regimes and fines in existing regulations. For example, in economic valuation and the involvement of multidoor issues.</p> <p>The PMU in consultation with the IP need to revisit the baseline and end-of-project targets for each of the six sub-indicators and articulate a realistic target. Reporting on the targets should be explicit on which completed laws and/or policies address the noted gaps.</p>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Resources Agency of Ministry of Maritime and Fisheries Affairs; and Animal Quarantine Center Ministry of Agriculture (Ev8-MoM FGD Syllabus for illegal wildlife trade). The latest progress, the project has intensive communication with BP2SDM for the legalization of training syllabus and to be recognized as a standard for combating illegal wildlife trade syllabus in Ministry of Environment and Forestry particularly.</p> <p>Related to CITES, the project has intensive collaboration with Directorate of Biodiversity Conservation, DG KSDAE on data collection for CITES related illegal wildlife smuggling.</p>		
1.2: Inter-agency taskforce in place and operational as indicated/measured by the signing of an inter-agency agreements targeting IWT	0	<p>Inter-agency taskforce in place and operational;</p> <p>1 inter agency collaboration agreement</p>	<p>Inter-agency taskforce operational;</p> <p>1 formal inter agency collaboration agreements</p>	<p>Mid and end of project target level have been achieved (100%).</p> <p>Despite accomplishment at the end of the project target level, inter-agency cooperation has still been</p>	Partially achieved / on track	This activity has yet to be fully achieved even though planning of an MoU between DG Gakkum (MoEF) and the Quarantine Center (Ministry of Agriculture) is in

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>conducted with other law enforcers. Snare removal patrols and illegal wildlife operations involve the Indonesian National Police (Ev7-LAKIP DG of Law Enforcement 2019), as well as, Indonesian Customs Office on data collection of smuggling and repatriation.</p> <p>The project supported the Directorate of Forest Protection conducted collaborations with the Indonesian Attorney General Office, Indonesian National Police, and other ministries (Ev7-LAKIP DG of Law Enforcement 2019). The project also involved other law enforcers compile a syllabus on combatting illegal wildlife trade, as reflected in 1.1.</p> <p>To support other law enforcers on combatting illegal wildlife trade, the project has a plan to compile a mobile application to identify protected wildlife species. A ToR has been compiled by PMU. This android and IOS</p>		<p>process.</p> <p><b><u>Persistent concerns and/or opportunities:</u></b></p> <ul style="list-style-type: none"> <li>• Intent of the Project design was to leverage cooperation with innovative entities such as the WCU;</li> <li>• Project should not be complacent with initial achievements that it had little to do with and foster stronger collaboration and synergies as much as possible in the time remaining.</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>based application would be a big help for law enforcers in the field such as forest rangers, customs, polices, and coast guards in wildlife identification. Hampered by a lack of technical knowledge which is a big concern for law enforcers related to their duty to identify protected and non-protected wildlife. This application is expected to accelerate decisions in the identification of illegal wildlife in the field.</p> <p>The project also supported Directorate General of Law Enforcement on Environment and Forestry and Indonesian National Police Office to set up a Mutual Legal Assistance (MLA) with the Dutch Government through Dutch Embassy in Indonesia in August 2019. This MLA dubbed as the first MLA in Indonesia related to illegal wildlife trade (Ev7-LAKIP DG of Law Enforcement 2019).</p> <p>To strengthen coordination</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				between the task force initiated by Bitung Municipality, a ToR has been compiled by Environment Agency of Bitung with the project to arrange a coordination workshop. The activity has to shift due to Covid-19 pandemics and will be conducted in the second semester of 2020.		
<b>Outcome 2: Institutional capacity for implementation and enforcement at the national and international levels. <u>AND</u> Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>						
2.1: Strengthened institutional capacity to combat IWT as indicated by  i) The ICCWC Indicator Framework (note – baselines to be determined in year 1)  ii) UNDP Capacity Development Scorecard for Gakkum (see Annex 18)  iii) Operational status of Gakkum's Information System	i) ICCWC Indicator Framework – Baseline scores TBD  ii) UNDP CD Scorecard Baseline Score: 60%  iii) Operational database within Gakkum	i) ICCWC Indicator Framework – Midterm targets TBD  ii) UNDP CD Scorecard Midterm Target: 70%  iii) Data sharing agreements enacted between government agencies	i) ICCWC Indicator Framework – Project Completion targets TBD  ii) UNDP CD Scorecard EOP Target: 80%  iii) Information System is fully operational and operated by trained staff	- Series of workshops to enhance capacity of Directorate General of Law Enforcement on Environment and Forestry has been conducted. The project also compiled a series of SOPs on animal handling and a syllabus on combatting illegal wildlife trade.  - The project has compiled ToRs to update ICCWC Indicator Framework, and CD Scorecard. The activities has to be postponed due to Covid-19 pandemics. The project will continue to update the	Partially achieved / on track	<ul style="list-style-type: none"> <li>• ICCWC Indicator Framework has not yet been established but ToRs have been developed and are in the procurement cycle;</li> <li>• At 76 points, the Capacity Development Scorecard has exceeded the mid-term and closing in on the end-of-project target;</li> <li>• Based on interviews conducted during the fact-finding stage, agencies are sharing and accessing data in</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>scorecards in the second semester of 2020.</p> <p>- Related Gakkum's Information System, the project has contributed to the setup of Gakkum's Operation Room and enhance the capacity of the Gakkum's staffs on advanced intelligence training on online wildlife trade. Based on online patrols, the Directorate of Forest Protection found 1.513 online wildlife trade activities between October 2017-December 2019.</p>		<p>real time based on data sharing agreements.</p> <p><b>Persistent concerns and opportunities:</b></p> <ul style="list-style-type: none"> <li>With three years left in implementation is the update to the ICCWC Framework still needed at this juncture as neither the baseline nor target has yet to be set?</li> <li>Upgrades to Gakkum's Operation Room and software enhancements / renovations of field capabilities are delivering value, especially in terms of Gakkum's capacity of monitoring online wildlife trade;</li> <li>Other opportunities for furthering coordination and real-time decision making based on data dissemination are available and should be explored with other entities and CSOs;</li> <li>Strengthening of</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
						SMART patrol training to the KSDAE Technically Implementation Unit and the community rangers, including women.
2.2: - Annual number seizures/arrests - Annual number of successful prosecutions	Official national statistics on seizures/arrests and prosecutions  From mid-2015 to mid-2016: The WCU facilitated law enforcement operations for 31 cases with 55 people arrested and taken to court. Of those with a known outcome, 41 were prosecuted (100% prosecution). This is for terrestrial species in Sumatra and Java.	Official national statistics on seizure/arrests and prosecutions  >10% increase in seizures/arrests from baseline  >50% cases prosecuted	Official national statistics on seizures/arrests and prosecutions  >25% increase in seizures/arrests from baseline  >75% cases prosecuted	Mid and end of project target levels have been achieved (100%).  Referring to official national statistics on arrests and prosecutions of illegal wildlife trade by Directorate of Criminal Law Enforcement, DG of Law Enforcement, MoEF, for the year 2016, as the baseline, showed 51 cases of arrests and prosecuted. For the year 2019, the number of cases of arrests and prosecuted rose to 65 cases of arrests and prosecuted. It shows a 27.5% increase of the arrests from baseline, which has surpassed end of the project target level.  Meanwhile, the number of cases prosecuted shows 65 cases or 100% cases prosecuted. The score is	Target achieved	<ul style="list-style-type: none"> <li>Ongoing monitoring data shows a rising trend in both number of arrests and number of prosecuted cases;</li> <li>Arrests have increased 27.5% against the baseline with a 100% prosecution rate based on available data up until 2019.</li> </ul> <p><b>Persistent concerns and/or opportunities:</b></p> <ul style="list-style-type: none"> <li>Ensuring that increased number of prosecuted / settled cases translates into increased penalties and jail time by project end.</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				surely enough to surpass the end of the project target level, as requested (Ev7-LAKIP DG of Law Enforcement 2019).		
2.3: - Annual number of joined up transnational counter-IWT operations  - Annual number of seizures as a result of transnational counter-IWT operations	No transnational operations	1 transnational operation/seizure	3 transnational operations/seizures	The midterm target has been achieved.  To reach the end of the project target, the project will conduct one transnational repatriation (for Indonesian endemic birds) from Philippines to Indonesia. The activity will be conducted in the second semester of 2020 (July 21, 2020).	Partially achieved / on track	<ul style="list-style-type: none"> <li>• 2 repatriations / disrupting of Indonesian wildlife smuggling network, including: <ul style="list-style-type: none"> <li>○ Coordination between Malaysia government and Indonesia governments on seizure of orangutan species from Aceh Tamiang to Malaysia (the end of December 2018 - February 2019);</li> <li>○ 91 endemic species from Davao, the Philippines repatriated to Bitung, North Sulawesi (21 July 2020);</li> <li>○ 9 orangutans destined to Malaysia (17 December 2020)</li> </ul> </li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
						<p>and 2 orangutans from Thailand (17 December 2020) intercepted, repatriated and then rehabilitated to Sibolangit Rehabilitation Centre, Deli Serdang regency (North Sumatra). The Indonesian government plans to release them to their natural habitat in Jambi (Bukit Tigapuluh National park) and Aceh (Jantho Recreation Park)</p> <p><b><u>Persistent concerns and/or opportunities:</u></b></p> <ul style="list-style-type: none"> <li>• The Project needs to focus efforts on targeted countries noted in the ProDoc and not become complacent with early successes and the achievement of mid-term targets with the minimal effort invested;</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
						<ul style="list-style-type: none"> <li>• There is significant opportunity to far exceed the end-of-project target by bringing together the assets created thus far, including: <ul style="list-style-type: none"> <li>○ Broad socialization of the modules and the implementation of the modules that have been produced, involving as many stakeholders as possible, including NGOs;</li> <li>○ The CIWT Project, in collaboration with the forthcoming Conserve project, can help realize capacity building and lab capabilities at the regional level;</li> <li>○ There needs to be another example for MLA or other agreements related to CIWT in</li> </ul> </li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
						<p>Southeast Asia, especially from Malaysia, Thailand and the Philippines which have practiced wildlife repatriation;</p> <ul style="list-style-type: none"> <li>○ This project needs to involve partners including NGOs to strengthen communication and campaigns where KAP is the basis for information and strategy in this activity. The strategy of sharing or disseminating information and campaigns needs to be agreed by both parties between the government and partners so that there is no friction in building joint communication;</li> <li>○ Leverage ASEAN WEN and Interpol</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
						as they have yet to be involved meaningfully.
<b>Outcome 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems. Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</b>						
3.1: Enforcement effectiveness at 5 key trade ports (Jakarta, Surabaya, Bitung, Belawan and Kualanamu airport), indicated by:  - Annual PortMATE assessment tool scores (average score for KSDA, Customs, Port Management Authority at each port)	PortMATE Baseline scores: Surabaya (Tg Perak):17.00  Belawan: 18.67  (Jakarta, Bitung and Kualanamu to be done in Year 1)	25% increase over baseline score	50% increase over baseline score	The project has compiled ToR's to update the PortMATE scores in Bitung, Surabaya, and Belawan. The activities have to be shifted to later part of 2020 due to Covid-19 pandemics. The project will update the score in the second semester of 2020.	At risk	<ul style="list-style-type: none"> <li>Not possible to assess mid-term target as PortMATE tool has yet to be repeated.</li> </ul> <p><b>Note:</b> The project has compiled ToRs to update the PortMATE scores in Bitung, Surabaya, and Belawan. The activities will be shifted to a later part of 2021 due to Covid-19 pandemic and regional head election. The project anticipates updating the score in the second semester of 2021.</p> <p><b>Persistent concerns and/or opportunities:</b></p> <ul style="list-style-type: none"> <li>Scores are intended to inform bespoke training at each of the</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
						5 key trade ports and therefore, there is a concern whether these can be delivered in the time remaining. Repeat of PortMATE scores paramount.
3.2: Effective enforcement of two subnational regions known to include significant wildlife trade routes, measured by:  - annual number of IWT seizures at the project sites  - annual number of IWT investigations leading to arrests at the project sites;  - annual number of successful IWT prosecutions at the project sites	4666 wild animals seized from 34 protected species  Source: Lakip, Gakkum 2016	Increasing number of cases prosecuted (c.10%)	Increasing number of settled cases on IWT by ...%	Mid and end of project target levels have been achieved (100%).  Based on data from Directorate of Criminal Law Enforcement, Directorate General of Law Enforcement on Environment and Forestry, Ministry of Environment and Forest showed an increasing number of cases which are prosecuted and settled on illegal wildlife trade.  Referred to data from Directorate of Criminal Law Enforcement, Directorate General of Law Enforcement on Environment and Forestry, Ministry of Environment and Forestry, for the year 2016, as a baseline, showed 51 cases prosecuted. For the	Partially achieved / on track	<ul style="list-style-type: none"> <li>The Project cannot claim achievement of either mid- or end-of-project targets as the indicator requires disaggregation of data <b>at the project sites</b></li> </ul> <p><b>Persistent concerns and/or opportunities:</b></p> <ul style="list-style-type: none"> <li>Operational activities seem to need to be strengthened to support the number of cases that go to legal prosecution. Snare operations are more of a preventive nature;</li> <li>Cyber patrol implementation involving MoEF Information room, informants and rangers for the</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)						
Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				year 2019, the number of cases prosecuted showed 65. It is showed a 27,5% increases compared to baseline (Ev7-LAKIP DG of Law Enforcement 2019).		implementation of the SMART patrol system. If these three parts can be coordinated and have effective communication and data sharing, they will be very strong in supporting information and rapid response to GAKKUM; • Encouraging the livelihood system can be powerful for this project, especially changing upstream hunting actors to switch to economic alternatives. This lesson learn has been developed by NGOs in microgrants and developing women groups where they act as champions to convert their husbands or families for economic alternatives other than illegal and unsustainable hunting.

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
4.1: number of project lessons documented and used by other national and international projects.	0	At least 3 project lessons used by other national and international projects	At least 5 project lessons used by other national and international projects	1. The project, with YIARI, developed a SOP for translocation, habituation, and post-release monitoring for slow lorises. To learn about slow-loris management, a Malaysian non-government organization, 1stop Borneo Wildlife, conducted a learning session for habituation and post-release management. They have the plan to build a slow loris rehabilitation center in Sabah, Malaysia.  YIARI, through microgrant funded by CIWT, also collaborated with other NGOs on the implementation of SOP for translocation, habituation, and post-release monitoring for slow lorises. The outcome of slow loris handling procedures has been carried out by PPS Takoki. The animals came from confiscated animals of illegal wildlife operations. While with SOCP (Sumatera Orangutan Conservation Program) in	Target achieved	<ul style="list-style-type: none"> <li>Knowledge management has been a strong point of the project and is on track to meeting the end-of-project target with sustained momentum.</li> </ul> <p><b>Persistent concerns and/or opportunities:</b></p> <ul style="list-style-type: none"> <li>Sharing knowledge and lesson learned can be built from this initiative by conducting FGDs nationally or between countries on common issues and using material as input to KM products;</li> <li>The CIWT Project needs to support the development of women groups in the target project locations. Then in terms of the involvement of female staff in MoEF, it is important for them to be involved in various CIWT Project</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>the handling and release of seized four slow lorises and two langurs (Ev6-YIARI Microgrant Final Report).</p> <p>2. To reach out to more institutions and personnel on improving knowledge of combatting illegal wildlife trade, the project has the plan to set up a knowledge management system for e-learning. For the first step, the project has produced a video series on collecting and handling biological material from wild animals and plants by morphological and DNA analysis. The production is expected by August 2020.</p> <p>3. The project also conducted a Knowledge, Attitude, and Practice (KAP) Survey to support communication strategy for a social marketing campaign on IWT. The survey implemented by Lembaga Demografi, University of Indonesia. The survey is aimed to understand the current situation on the IWT-related</p>		activities; <ul style="list-style-type: none"> <li>• Showing leadership among GWP countries is an opportunity that should be capitalized on.</li> </ul>

**Table 15: Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				issues, challenges, and opportunities in Indonesia to combat IWT, as well as the knowledge, attitude, and practices of the campaign's target audience groups. Due to Covid-19 Pandemics, the survey has been slightly off-track from the schedule.	<span style="background-color: green; color: white; padding: 2px;">Green</span>	

***Analysis of the Project Objective***

<b>Project Objective:</b> To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia	<b>Attainment of Objective</b>
	Moderately Satisfactory

189. Progress towards the project objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia is rated as Moderately Satisfactory (MS). This is mainly due to (a) the slow rate of progress on the targeted legislation and policies per the Project's original design (Indicator 0.1); (b) inappropriate indicator(s) altogether disconnected from the realization of the objective itself (Indicator 0.2); and (c) the ambiguities involved in determining progress towards the objective against the monitoring data being used to report on the indicators (Indicators 0.3 and 0.4).

190. Indicator 0.3 was presumably originally intended as a measure of the volume of unsustainable wildlife trade in Indonesia and the wider region, but is being reported on in the context of enforcement effectiveness. Assessing progress against Objective Indicator 0.4, was problematic as the monitoring data on threat reduction through patrols and snare removal operations is being used as a proxy in the reduction of flagship species being poached, although there is no disaggregation by project site.

**Achievements and Bright Spots**

191. The MTR takes note of the following areas of progress (and ongoing developments) with respect to the realization of the Project's objective:

- Ongoing consultations and efforts at both the ministerial and parliamentary level, to update key legislation and policies targeted by the project, using a combination of both direct and indirect measures, as follows:
  - Up until April 2020, Act no. 5 (Law 5 of 1990) had not been slated for review by the National Legislation Program (Prolegnas), but the intention to revise the law was recently announced in the working meeting of Commission IV DPR (Parliament) and Parliament subsequently asked the MoEF to jointly discuss the revision of this regulation, including reviewing penalties for poaching of protected animals;
  - PP 7 and PP8 / 1999 have been revised through P.20 / 2018 which was revised to P.92 / 2018 and then revised again to P. 106/2018. 914 species are included in the protected species out of 294 species and genera of wild plants and animals. The Project did not contribute much to this progress as it coincided with the Project's lengthy inception phase and was intensively funded and implemented by the government. On 14 May, the Project completed a review of key targeted legislation and policies, which was compiled by an independent consultant. While the review was written in Bahasa, the National Consultant undertook a topical assessment and notes the following observations:
    - The review covers Law 5 (1990), Law 41 (1999), Law 32 (2009), PP 7 (1999), PP 8 (1999), P 20 (2018), P 92 (2018) and P 106 (2018);
    - The independent consultant examined the institutional arrangement for wildlife trade and how to collaborate with the various entities involved;
    - The review noted benchmarks of the international consortium for CIWT;
    - The review provided a series of conclusions and reinforcing recommendations focusing on legal improvements, such as:

- a. It is necessary to develop guidelines in economic valuation for determining losses related to hunting and trafficking of wildlife against state wealth and finances, including for policy makers in the field of law, to formulate the correct criminal philosophy and approach to wildlife crimes;
- b. Application of multi-layered criminal charges for perpetrators of illegal hunting and trafficking in all lines in the Criminal Code (KUHP), Criminal Act Money Laundering, Law no. 31 (1999) in conjunction with Law no. 20 of 2001 concerning Action of Corruption Crime, Law no. 32 (2009) concerning Protection and Management;
- c. Environment, Law no. 5 (1990) concerning Conservation of Natural Resources Biology and its Ecosystems and Law no. 41 (1999) concerning Forestry including Double crime indictment: core crime and advanced crime (follow-up crimes) such as charges of laundering money from the proceeds of forestry crimes;
- d. Courts must have the courage to build jurisprudence and / or legal precedent giving severe verdicts against the perpetrators and the mafia network behind the Wildlife Crime.;
- The analysis is not detailed and should take a more focused approach for each of the targeted regulations in the Results Framework. PP 7 and PP 8 (1999) need to consider recent regulation; P 106 (2018);
- Several additional regulations have potential and merit further review, including: (i) emergency law no 12 (1951) on the use of rifles, firearms or guns, punishable by up to 20 years in prison or the death penalty (ii) Indonesian police no. 8 (2012) regarding the supervision and control of firearms, air rifles and air soft guns for sports purposes including hunting; (iii) law 8 (2010) on the prevention and crime of money laundering which includes the forestry sector, wild plants and animals; and (iv) quarantine law no. 21 (2019).
- P. 447/2003 is still in the process of being reviewed and as such, several supporting guidelines have been prepared in the context of the revised plan for this regulation such as DNA sampling techniques, Animal Handling, Animal Repatriation;
- Several guidelines have been developed to strengthen the management of GAKKUM and KSDAE as a need assessment and several protocols such as preventing illegal wildlife trafficking have been developed for such management. Protocols have been created by Project partners through microgrant initiatives;
- Strengthening DG Gakkum and KSDAE in their ability to leverage Indonesia's money laundering regime, through collaboration with PPATK and associated guidelines that have been developed;
- Leveraging to the extent possible MUI (Indonesia Islamic Clerical Association(s)) in supporting an Islamic FATWA to strengthen the protection of wild plants and animals.
- A clear increase and proliferation of capacity building activities across the board by the Project, the formation of an inter-agency task force and readiness on alternative livelihood activities:
  - According to the monitoring data, there have been 530 beneficiaries to date (53% towards the mid-term target) through myriad training activities, FGDs and workshops including forensic DNA analysis, Oxygen software and SPARTAN training;
  - 142 people (47.3% towards the mid-term target) have participated in training conducted in the Aceh region on human wildlife conflict (HWC) conducted by WWF, West Java for the protection of Slow Lorises and through enhanced community patrols in Mount Sawal, Mount Masigit Kareumbi and its surrounding landscape, as well as alternative livelihood

program surrounding Mount Sawal (Ciamis Regency) and Bandung Regency, West Java and Bogani Nani Wartabone National Park, North Sulawesi in the context of the women ranger initiative.

- An encouraging slight upward trend and positive signs emerging on the number of IWT cases being prosecuted based on data up to 2019, although it remains to be seen whether these are translating into higher fines and stiffer sentences.
- Progress being made on the removal of direct threats to targeted flagship species due to changes in regulation, closer international enforcement cooperation, and the success of sustained patrolling efforts.
  - The CIWT project and Directorate of Forest Protection, an implementing partner, have already conducted and are continuing to conduct snare removal operations in the Sumatra and Sulawesi Region. The snare removal operations started in July 2019 and continue. During this period, the implementation of snare removal operations have targeted the following four areas:
    - Gunung Leuser National Park in North Sumatra province;
    - Protection Forest and Production Forest Areas in Aceh Province;
    - Giam Siak Kecil-Bukit Batu Nature Reserve in Riau Province;
    - Bogani Nani Wartabone National Park in North Sumatra.

#### Remaining Risks and Barriers to Achieving the Project Objective

192. The MTR sees the following risks, obstacles and/or barriers to achieving the Project objective:

- i. Continuing mandate and strong political will to actively seek out legislative/policy changes envisioned by the Project within a realistic timeframe (at minimum within the next year of implementation) so benefits can start accruing at the national and regional level;
- ii. Commitment by the IP and repositioning focus to the scope and timeline of the CIWT project as opposed to those of the NASTRA;
- iii. While the project goal and outcomes reflect appropriate aspirations, the analysis from the MTR suggests that legislative/policy changes are perhaps out of reach within the time horizon available and may have been placed too high in the project results framework (as an objective) and might be more realistically placed as an outcome;
- iv. Willingness of the IP to adopt the tools and guidelines developed through the microgrant initiatives and share data with all stakeholders involved (including CSOs), who are instrumental and at the core of the Project's success; and
- v. Distraction of chasing monitoring data that is disconnected altogether from achievement of the project objective.

193. There will surely be a latency effect as the benefits are unlikely to be felt for some time after the legislative and policy measures have been put in place. The Project will therefore need to aggressively pursue the mainstreaming of anticipated legislative and policy changes concurrently and strengthen the capacity of those stakeholders who will eventually be responsible for implementing / applying them. A major institutional push - by way of Ministerial or Presidential Decree - for the NASTRA is also likely required to jump-start the systemic structural changes.

194. Finally, the MTR's overriding impression is that the project is undertaking a vast number and range of complex activities (most of which are taking longer than anticipated; the NASTRA is a case in point), with insufficient systematic monitoring. The links between implementation activities and

strategies and the achievement of planned results, especially higher-order impacts that will result in reduced trade volumes in Indonesia and across the region, as well as the realization of global environment benefits for flagship species, is often unclear. Without better monitoring, critical assessment and pragmatism given the time remaining, the project risks spreading itself too thin by undertaking too many disparate activities, that while beneficial locally and in the short-term, may not be contributing to wider sustainable impacts. Collectively, such activities may also consume considerable resources and time. Thus, a key overall finding is that in order to maximize the likelihood of achieving the objective by the end of the project, the project scope and intervention strategies need to be reconsidered and project activities (and associated investments) urgently prioritized.

### ***Analysis of Outcome 1***

<b><i>Outcome 1: Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal</i></b>	<b>Attainment of Outcome</b>
	Moderately Satisfactory

195. At its core, Outcome 1 aims to enhance the legal and policy environment by creating subsidiary regulations and remove loopholes and inconsistencies that prevent enforcement of measures to combat illegal wildlife trade, as well as put in place the institutional frameworks to ensure inter-agency coordination domestically and internationally. Progress towards Outcome 1 is rated as Moderately Satisfactory (MS).

196. The Project did not score well in terms of Indicator 1 as baselines for each sub-indicator have not been defined and the closure of gaps is contingent on updated legislation and policies which have not reached a successful conclusion at this juncture. The Project is largely on track with respect to Indicator 2 related to the inter-agency task force, though coordination activities were temporarily suspended and will have to be expedited when they resume.

### **Achievements and Bright Spots**

197. The MTR has noted following areas of progress with respect to the realization of Outcome 1:

- A “legacy-making” national roadmap<sup>46</sup> drafted for tackling illegal wild animal trade in Indonesia and first strategy of its kind in the world to use system dynamics modeling for combating IWT:
  - Deliberations on the NASTRA commenced in 2019 but concluded in late 2020, following several false starts and lengthy delays gaining momentum and securing a shared vision. The NASTRA was intended to be used as a long-term guide, primarily for the Indonesian Government, but will also provide strategic guidance for coordinated approaches involving the equally important roles played by international organizations, local non-government organizations, the media, academic institutions, and local community and grassroots organizations, once their ownership is secured;
  - The content and configuration of the sub-strategies and actions were derived from the information and insight gathered by from the numerous interviews and FGDs with

<sup>46</sup> The NASTRA is also designed to bridge the approaches of two governmental departments of law enforcement (GAKKUM LHK) and wildlife conservation (KSDAE) to the policy makers, academics and the civil society.

experts, and from the extensive literature review carried out. A total of **31 different sub-strategies** and **92 actions** have been developed.

- An economic valuation assessment undertaken by the Institute of Research and Community Empowerment of IPB University, of the illegal trade of wildlife in Indonesia, focusing on the 25 protected species most widely traded in Indonesia. The results are expected to be an input into court cases and judicial decisions, and is expected to be leveraged by investigators (i.e. Indonesian National Police and MoEF), prosecutors, and judges as a metric of the economic losses stemming from wildlife crimes:
  - The objective of this study was to estimate the economic loss from the legal and illegal wildlife trade in Indonesia using 3 valuation methods, namely the market price approach, Willingness to Pay (WTP) and the maintenance/protection cost approach.
  - A precursor to the economic study - undertaken by WCS - examined 2 species; the Sumatran tiger<sup>47</sup> as case study for the illegal wildlife trade and the reticulated python<sup>48</sup> as a case study for the legal trade, but one which also includes illicit elements.
    - Focus group discussions and expert interviews were leveraged, underpinned by production theory, to explore the supply and demand of the two species.
- A deep-dive analysis on enhancing fines and sentences based on a “multi-door approach” using existing levers across sectors and legal regimes is imminent and in the final stages of production:
  - Intended to provide an overview to Civil Investigators (PPNS both at the center, province, and city district) for using the Anti Money Laundering Law, especially in case handlers of TSL crimes;
  - Directing Civil Investigators how to coordinate with PPATK in handling of the TSL crimes;
  - Application of Law Number 8 Year 2010 concerning the Prevention and Eradication of the Crime of Money Laundering in order to increase sentencing for IWT criminals.
- An Inter-agency task force formalized (or still initiating to be formalized) prior to the Project is ripe for stronger multi-agency coordination with other entities, including the Wildlife Crime Law Enforcement Task Force for North Sumatra, East Java and North Sulawesi established by the CIWT project;
  - An initial scoping meeting took place on 24 July 2018 in Medan, North Sumatra and was attended by 20 people including Gakkum Hall North Sumatra, BBKSDA North Sumatra, Police North Sumatra (POLDA SUMUT), the High Prosecutor's Office, the East Aceh Police, and PPATK;
  - A follow-up meeting to formalize the task force was held on October 24, 2018, in Medan, North Sumatra, which also focused on exchanging information and coordination principles to combat the wildlife trade with a multidoor approach using statutory legal instruments;
  - Inter-agency task force was established by Major Decree, consisting of relevant stakeholder including Gakkum, BKSDA, Customs, Animal Quarantine, Marine Police (Polair), State Prosecutor's Office, Pelindo and other related stakeholders;

<sup>47</sup> The estimated cost recovery system annually needed to protect Sumatran tigers through patrolling and camera trapping ranges from IDR 7.9 billion (under a moderate protection strategy) to IDR 14.5 billion (under a high protection strategy).

<sup>48</sup> For the legal trade in reticulated python, when the price is low enough the supply will be elastic meaning that the quantity supplied will be sensitive to the price, but when the price is high the quantity supplied will be perfectly inelastic. A relatively high demand will trigger a higher price level and stimulate trade through illegal markets. The estimated annual potential loss of non-tax revenue varies from IDR 1.3 billion (using a government benchmark price) to IDR 6.4 billion (which also incorporates losses from illegal trade).

- A coordination meeting was held in Malang to develop an agreement to support the law enforcement task force between customs, MoEF, port administrators and the police, but the activity was postponed but is expected to involve various stakeholders in law enforcement and port management in Bitung and Surabaya when re-activated.

### Remaining Risks and Barriers to Achieving Outcome 1

198. The MTR sees the following risks, obstacles and/or barriers to achieving Outcome 1:

- i. Focusing exclusively on indirect measures to achieve the indicators (i.e. Plan B through a multi-door approach, as opposed to more direct measures (Plan A) of changing core legislation, could add complexity, open up continued risks and loopholes that were intended to be closed altogether by the Project;
- ii. A new mandate might be needed for law enforcement to apply regulations from other government sectors to drive change to IWT cases. An example of this is the 2019 Quarantine Act which could provide a new pathway toward animal smuggling eradication. However, one must be cognizant of the shortcomings of alternative approaches as these are not the primary legal basis for biodiversity conservation, and there are certainly legal uncertainties in its application in dealing with endangered or non-native species that are not protected;
- iii. Willingness of the IP to share information and intelligence, and to cooperate with efforts initiated by other law enforcement agencies and entities, including those articulated in the Project document;
- iv. COVID-19 has prevented a lot of the interaction needed to get the inter-agency task force off the ground and it remains to be seen whether conditions will normalize.

*"THERE SHOULD BE MORE INSIGHT AND AWARENESS AMONG INVESTIGATORS, PROSECUTORS, JUDGES, AND QUARANTINE AND CUSTOMS OFFICIALS SO THIS LAW CAN SERVE AS ANOTHER APPROACH TO ENSNARE THE ILLEGAL ANIMAL TRADERS"*

- INTERVIEWEE ON THE MULTI-DOOR APPROACH

199. Part of Outcome 1 involves establishing an information system for accurately tracking and sharing legal trade volumes and revenues, enforcement effectiveness, reliable intelligence on illegal trade and its impacts across sectors, and on the *in situ* status of traded species. While significant investments have indeed been made in information technology, by way of upgrading and renovations of operations rooms at Gakkum HQ and in Pekanbaru, these have fallen short of what was envisioned in the design.

200. While a certain degree of adaptive management has already been demonstrated to date through Project's multi-door approach and deep-dive analysis, considerable effort will be needed to overcome the barriers under Outcome 1 and its associated indicators in the time remaining to ensure these translate into results.

### ***Analysis of Outcome 2***

***Outcome 2: Strengthened institutional capacity for regulatory***

***Attainment of Outcome***

<i>coordination, implementation and enforcement at the national and international levels</i>	Satisfactory
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201. There has been considerable action and investment by the Project in relation to enhancing both institutional and professional capacity to tackle IWT, particularly of Gakkum staff (Output 2.1), the development and institutionalization of training programmes integrated into the Human Resources Counselling and Development Agency (BP2SDM) within the MoEF (Output 2.2), as well as training in wildlife forensic techniques supported by the provision of equipment and expertise (Output 2.3). This is partly reflected by the increase in scores of the Capacity Development Scorecard from a baseline of 60 points to a mid-term score of 76 points. A 26.6% increase in a few short years is admirable in light of considerable delays at the outset of the Project and curveballs to the Project's capacity develop strategy due to COVID-19 restrictions. Arrests have increased 27.5% against the baseline with a 100% prosecution rate based on available data up until 2019.

202. It is expected that capacity will continue to be built, and greater synergies realized through the scaling of efforts at the five ports and the landscape level; a variety of activities supported by the CIWT project have contributed to better coordination between law enforcement agencies and strengthening Gakkum's operations in western and eastern Indonesia.

203. In spite of several issues with progress and reporting on the indicators for this outcome, progress towards Outcome 2 is rated as Satisfactory (S).

#### Achievements and Bright Spots

204. The MTR has noted following areas of progress with respect to the realization of Outcome 2:

- Enhancement of command centre and Information & Communication Technology (ICT) capabilities at Gakkum-MoEF headquarters, and renovations undertaken at the Law enforcement of Environment and Forestry office at Pekanbaru, Sumatra;
- Android and IOS mobile application to assist forest rangers, customs officials, law enforcement personnel and the Indonesian coast guard to identify protected wildlife species in development and scheduled for launch in Q2 2021. The sequence of activities informing this deliverable include the following:
  - In 2018, training for forensic DNA by DG Gakkum in Jogjakarta, followed by training on the same theme in Malang, Batu in 2019, especially for forest ranger. This training involved 60 rangers and 10 veterinarians. The use of android smart phone technology to identify protected species was also carried out;
  - In 2020, women rangers in the Bogani Nani Wartabone National Park, North Sulawesi also received cyber crime training leveraging cellphone detection capabilities;
  - In 2020, to support other law enforcement in combatting illegal wildlife trade, the Project proposed a mobile application to identify protected wildlife species. A ToR was been compiled by PMU. Currently arrests are hampered by a lack of technical knowledge on the identification of protected and non-protected wildlife. This android and IOS based application is anticipated to be a big leap forward for decision making of law enforcement personnel in the field such as forest rangers, customs, police, and coast guard.
- In the context of Output 2.1, myriad essential training and education activities critical to elevating institutional and professional IWT capacity, including:

- Basic intelligence training on Law Enforcement (September 2018 & June - August 2019);
- Training on DNA collection and sampling (October 2018);
- Training on Animal Handling for Law Enforcement personnel (April 2019);
- Oxygen software and SPARTAN training (July – December 2019);
- Law enforcement simulation training, including mountaineering, shooting, ambush patrol, and animal handling skills;
- Forest Ranger Competency Training (23 October 2020);
- Technical Training on Gender Mainstreaming related forest crimes in DG Law Enforcement on Environment and Forestry (14-15 October 2020);
- Training to inspire women for forest rangers' partners at Bogani Nani Wartabone National Park (8-14 October 2020).
- Institutionalization of training programmes for Gakkum personnel under Output 2.2 is significant as no formal training courses on IWT were available in Indonesia at the time of project design;
- In the context of Output 2.2, self-directed e-learning modules to support professional development in managerial, technical and attitude constructs necessary to carry out wildlife conservation tasks developed - with each module encompassing 50-70 hours of instruction. Modules to be rolled out asynchronously between Q1-Q2 2021 on the MoEF's [e-learning platform](#);
- In the context of Output 2.2, a range of Standard Operating Procedure(s) (SOP), developed in part through microgrant initiatives with NGOs, with several subsequently adapted to pocketbook format (noted by an asterisk \*\* below):
  - SOP for collecting and handling biological material from wild animals and plants by morphological and DNA analysis\*;
  - SOP for handling of protected wildlife\*;
  - SOP for handling of the birds;
  - SOP for snare removal operations;
  - SOP for preventing illegal wildlife trafficking in ports;
  - SOP for translocation, habituation, and post-release monitoring for slow lorises;
  - Draft SOP for species repatriation;
- In the context of Output 2.4, cooperation on 2 repatriations / disrupting of Indonesian wildlife smuggling network, including:
  - Coordination between Malaysia government and Indonesia governments in following up on transactional smuggling and seizure of orangutan species from Aceh Tamiang to Malaysia (the end of December 2018 - February 2019);
  - 91 endemic species from Davao, the Philippines repatriated to Bitung, North Sulawesi (21 July 2020);
  - 9 orangutans destined to Malaysia (17 December 2020) and 2 orangutans from Thailand (17 December 2020) intercepted, repatriated and then rehabilitated to Sibolangit Rehabilitation Centre, Deli Serdang regency (North Sumatra). The Indonesian government plans to release them to their natural habitat in Jambi (Bukit Tigapuluh National park) and Aceh (Jantho Recreation Park)<sup>49</sup>.
- Again, in the context of Output 2.4 the Project supported a follow-up investigation, in collaboration with Dutch prosecutors and law enforcement, on a case involving Dutch

<sup>49</sup> Aqil AMI. 2020. 11 orangutans brought home from Thailand, Malaysia long after being smuggled out.

<https://www.thejakartapost.com/news/2020/12/18/11-orangutans-brought-home-from-thailand-malaysia-long-after-being-smuggled-out.html>

citizens, relating to the illegal trade of souvenir items made from body parts of protected species;

- Based on the IWT case in the Netherlands, the Indonesian government and the Dutch governments developed MLA (Mutual Legal Assistance) in processing of arresting and prosecuting the perpetrators in the Netherlands. Specific activities funded by the Project in this context, are the only MLA initiative between Indonesia and other countries in terms of IWT. Study of a knowledge, attitude and practice (KAP) to support the development of the communication strategy, social marketing campaign and the knowledge management by the University of Indonesia;
- Awareness raising efforts in the context of Output 2.5 targeting the demand for wildlife, including:
  - A national campaign "[Indonesia Says No! to Illegal Wildlife Trade](#)" launched in Jakarta, Surabaya, East Java and Medan, North Sumatra, fronted by public figures including several Paralympic Athletes;
  - 1000 copies of a children's comic book series developed as part of the Project's microgrants initiative, printed and distributed to targeted schools in Bali; Lampung; Karimun Java Island, Central Java; Jakarta; and East Nusa Tenggara;
  - Awareness targeting youth and students including a puppet show at 20 schools in Karimun Java islands (Central Java), Kepulauan Seribu islands (Jakarta), Luang Villages (Lesser Sundas) and Papua;
  - Nurturing of religious approaches to combatting IWT by leveraging both national and local Indonesian Ulama Council (MUI) through NGO microgrant initiative in Jakarta, Medan (North Sumatra) and Surabaya (East Java).

**Table 16a: Training of Government Personnel and Available Beneficiary Data**

No.	Name of Workshop or Training activities	Date	Government Personnel	
			Male	Female
<b>2018</b>				
1	SPARTAN techniques training	11-13 July 2018		
2	The basic training of intelligence or investigation	1-Sep-2018	30	
3	DNA forensic training	1-Oct-2018	50	10
4	Oxygen Forensic Detection system training		6	2
5	Workshop - training on Introduction and use of Slow Loris monitoring tools	15-Nov-2018	25	5
8	Law Enforcement of wild plant and animal crimes in the North Sumatra Region (Medan)	24 July 2018	32	
9	TSL Crime Law Enforcement Workshop in North Sumatra (Medan) (additional 11 local people involved the training)	24 October 2018	17	3
<b>2019</b>				
1	Wildlife (Animal) Handling Training	1-Apr-2019	72	5
2	The basic training of intelligence	June - July 2019	30	

**Table 16a: Training of Government Personnel and Available Beneficiary Data**

No.	Name of Workshop or Training activities	Date	Government Personnel	
			Male	Female
	or investigation (Batch 1)			
3	The basic training of intelligence or investigation (Batch 2)	July - August 2019	28	1
4	Training on Simulation of Forest Crime Handling Simulation		31	6
5	SPARTAN training at Bogani Nani National Park		79	1
6	SPARTAN training at BKSDA Riau		58	1
7	SPARTAN training at BKSDA Aceh		29	2
8	Workshop on developing thematic map of Illegal wildlife trafficking in Indonesia	25-26 February 2019	20	8
<b>2020</b>				
1	Workshop on preparation of training and education for the candidates of the Rapid Reaction Forestry Police Unit (SPORC) team in Bogor, Palembang and Ambon	22-25 September 2020	75	19
2	Public Service Training for MoEF Law Enforcement	13 March 2020	36	24
3	Inspirational Women's Training for Forestry Police Partners (PIMP) TN Bogani Nani (additional 15 women as a local community)	8-15 October 2020	26	4
4	Gender Mainstreaming Technical Guidance at the Directorate General of Gakum MoEF	14-15 October 2020	26	10
5	Gender Mainstreaming Technical Guidance related to mapping the competency of forest police functional positions (in Tangkahan)	26-29 November 2020	16	9
6	The wildlife cyber patrol workshop and training	10-11 December 2020	26	1
	<b>TOTAL</b>		<b>712</b>	<b>111</b>

Remaining Risks and Barriers to Achieving Outcome 2

205. The MTR sees the following risks, obstacles and/or barriers to achieving Outcome 2:

- i. Casting too wide a net and not honing efforts on the area to be targeted to realize the objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in **Indonesia and East and South-East Asia**;
- ii. Being realistic when compiling annual work plans (i.e.: Feasibility study on Kawasan Hutan dengan Tujuan Khusus (the Forest Area for the Specific Purposes) operation for confiscated wildlife evidence management and social media campaign specialists have not materialized);
- iii. Reinventing the wheel by not leveraging / strengthening existing networks such as ASEAN-WEN to maximize synergies and complementarities;

206. It was beyond the scope of the MTR to assess the training programmes that are being developed by the project in terms of their technical content and quality, the process of development and institutionalization, or their likely effectiveness and long-term sustainability. This is something that needs further review and guidance by the UNDP Indonesia Country Office and the Project Board. For example, the project M&E system could perhaps include, methods to monitor and assess the quality, impacts and sustainability of training delivered through the project and of the courses and curricula that are being developed. In particular, there is need to assess the effectiveness of the many different one-off short-term training courses, FGDs and workshops to critically review the allocation of effort and resources.

207. Despite the impressive performance, there still remains challenges with Output 2.4, requiring the preparation of International Agreements on IWT; collaboration with international agencies facilitated in China, Vietnam, Thailand, Malaysia and Singapore; and participation of Indonesia representatives in ASEAN WEN and CITES.

208. The roll out of country-wide awareness raising programme and campaigns have been nothing short of top-notch, but their efficacy naturally have a shelf-life meaning that there ought to be continual engagement with the public to help the Project tackle the demand side of the problem.

### **Analysis of Outcome 3**

<i><b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</b></i>	<b>Attainment of Outcome</b>
	Moderately Satisfactory

209. Progress against Outcome 3 could not be assessed on the basis of the indicators alone, as critical details were either missing altogether or problematic. Indicator 3.1 involves repeating the PortMATE assessment which has yet to be completed, although ToR's to update PortMATE baseline scores have been drafted and are currently in the procurement process. In consultation with the Project's local stakeholders, execution is slated for the first semester of 2021 due to the COVID-19 pandemic. As such, progress on Outcome 3 on this front is tracking behind schedule as the PortMATE scores are intended to determine priorities to support capacity-building programs covering both systems enhancement to improve customs surveillance, and training to build staff skills in wildlife law enforcement.

210. The data reported for indicator 3.2 is not disaggregated for the two subnational regions being targeted to sufficiently monitor progress, including (i) annual number of IWT seizures at the project sites; (ii) the annual number of IWT investigations leading to arrests at the project sites; and (iii) annual number of successful IWT prosecutions at the project sites.

211. While the indicators cannot be reliably used to measure progress, there have been a number of bright spots and efforts have focused on creating the necessary "readiness" for when scaling activities commence. Therefore, progress towards Outcome 3 is rated as Moderately Satisfactory (MS).

### Achievements and Bright Spots

212. The MTR has noted following areas of progress with respect to the realization of Outcome 3:

- Initial PortMATE assessment undertaken by WCS port and ToR's developed by the Project to update the PortMATE scores in Bitung, Surabaya, and Belawan:
  - Pre PortMATE assessment was done in Tanjung Perak in 2018;
  - WCS gathered information about Bitung Seaport through informal discussions and a formal assessment using PortMATE; a tool for conducting rapid assessments of seaports that was adapted by WCS for the Indonesian context;
  - A situation report was compiled to provide a more detailed picture of the state of wildlife trafficking at Bitung Seaport, focusing on seizure data, the modus operandi of wildlife criminals using the port, trafficked species, the end destination, the criminal network that uses Bitung (North Sulawesi) as a transit port, as well as an update of current training activities in the area;
  - In Phase 2, the information was reviewed, and recommendations produced. The updated PortMATE tool provides a port-specific score based on twenty-one questions spread over six themes. Bitung Seaport scored a total of 20.7 out of a possible score of 63. The target score for Bitung Seaport was determined to be 52.
- A total of 39 IWT operations were conducted between 2019 to 2020 in Aceh, North Sumatra, Riau, Jambi, Banten Province, West Java and Sulawesi:
  - Based on the data from MoEF, 12 operations of illegal wildlife trade were conducted in 2019 with 167 animals and 1,270 body parts seized respectively;
  - In February 2018, JAAN received support from the Dutch Embassy in Indonesia to support onboarding of a cocker spaniel service dog from the [Scent Imprint for Dogs Center](#), a preeminent K-9 training center based in the Netherlands and in Atlanta, USA:
    - A first joint K9 operation was carried out successfully on May 11-16, 2018 in an antiques warehouse, yielding cassowary feathers, a crocodile head, a primate skull, several horns (wild boar), and the dog also succeeded in detecting a cobra;
    - A second operation was carried out at Tanjung Priok Port, together with the Central Quarantine and the National Police Headquarters on 23-25 May, 2018 finding Southeast Asian box turtles;
    - A third operation was carried out at Bakauheni Port, Lampung, from 22-24 June 2018, but did not get permission from the Lampung police or security port;
    - 4 K9 operations in Jakarta port; twice at Sunda kelapa (JAAN, Balai Quarantine and Polres North Jakarta) on 29 November 2018 and 12 March 2019 and twice at the port of the former president, tanjung priok (JAAN, Balai Quarantine, Polres North Jakarta) on 27 November 2018 and 14 March 2019.
  - Snare removal operations at seven areas in tandem with local community, including Gunung Leuser National Park and its surrounding areas (North Sumatra and Aceh Province), Way

Kambas National Park (Lampung Province), Bukit Tiga Puluh Ecosystem (Jambi Province), Giam Siak Kecil-Bukit Batu Nature Reserve (Riau Province), Bogani Nani Wartabone National Park (North Sulawesi) and in Lore Lindu National Park (Central Sulawesi):

- Directorate of Forest Protection, Ministry of Environment and Forestry, supported by CIWT, conducted 4 (four) snare removal patrols:
  - In August 2019, 8 teams from Gunung Leuser NP conducted a 10-day patrol and found 108 mesh snares;
  - BKSDA Aceh conducted a 10-day patrols in September 2019, covering a total area of 276,075 ha. Five teams found and destroyed 63 mesh snares;
  - Between November-December 2019, eight teams from BBKSDA Riau conducted a 10-day patrol covering a total area of 226,319.09 ha. They found and destroyed 170 mesh snares;
  - In December 2019, 12 teams from BNWNP conducted a 10-day patrol covering distance of 70 km and 600 ha total area. The teams found a trove of 945 meshes.
- The CIWT Project and Directorate of Forest Protection conducted snare removal operations in Sulawesi Region. From 25 August 2020 to 5 September 2020, the Directorate of Forest Protection and Lore Lindu National Park, with the support from the CIWT Project, conducted a snare removal patrol in the heart of Sulawesi Region (Lore Lindu National Park). The operation successfully removed 184 snares. Planning is underway to leverage anonymous IWT informants based on experiences from the logging sector;
- Development of community-based patrols in West Java for protected animals such as for slow lorises;
  - The formation of a local community-based patrol team at Mount Sawal Wildlife Reserve involving BBKSDA West Java - Tasikmalaya section, conservation cadre members and the local community. SMART patrol system is being leveraged by the team;
  - Community groups concerning Slow Loris was established, which involved 14 people trained in Masigit Kareumbi and 15 people trained in Mount Sawal in support of community-based patrols;
  - Training and deploying SMART patrol system and cyber tracking for IWT for the team for BBKSDA West Java and the local community;
  - Training and workshop on tackling illegal activities in and surrounding the protected areas in particular for Mount Sawal and Masigit Kareumbi.
- Development of Human Wildlife Conflict mitigations in the Kreueng Saeo watershed, Alue Limeng Village, Krueng Sabe and Pintu Rime (Bener Meriah and Bireun Districts). Activities involved patrols by community members, some of which are hunters who received sensitization on IWT issues:
  - This activity aims to support community efforts, especially in areas identified as hunting areas, to anticipate the impact of this IWT reduction on the local economy, with an emphasis on human-elephant conflict mitigation training;
  - The mitigation team was taught to share experiences in terms of human-elephant conflict mitigation, the practice of making elephant evictions (carbid canons) and elephant driving and driving practices;
  - This training involved 25 participants (20 male and 5 female) from Team Eight, where some of the members were ex-wildlife hunters.
- In Ranto Perlak Village, Aceh, activities focused on economic alternative through non-timber forest product (NTFP) on forest honey.

- The training was carried out over two days with 24 participants. The training brought in trainers for the manufacturing and development of kelulut honey. The training was carried out starting from the introduction of kelulut bee species, breeding methods, making nest boxes, rearing and harvesting.
- In West Java, the Project supported:
  - Socio-economic, culture mapping related to wildlife hunting for the people of Tanjung Sari and Mekarsari Villages, Bandung Regency, starting from investigation and identification of hunting behavior on Mount Sawal (Ciamis Regency) and Bandung regency.
  - Development of alternative income designs and implementation of alternative livelihood systems for pilot projects (biogester using cow manure) for fuel and fertilizer.

### Community and Livelihood Considerations

213. Community empowerment is an important theme in the CIWT Project and one that is integral to the Project's core design, especially for the long-term program objectives to take root. Since its inception, this program has led to many sources of hunting, especially in forest areas or protected areas. The concentration of hunters, gatherers of wild plants and animals and trade intermediaries cover the Project area. Strengthening this program in the future is one of the important agendas but it is necessary to establish a design, methodology and approach that is systematic and leads to specific results, so that projects can be measured qualitatively from their achievements and level of effectiveness. The issue of community is also the glue for communication and coordination between sectors, especially between

DG Gakkum and KSDAE to cover issues of the upstream (poaching in the protected area and its surroundings) and downstream (IWT). This issue can be stimulated by identifying target community groups, especially hunting source locations, mapping hunter-gatherer networks and developing joint intervention strategies between DG Gakkum and KSDAE.



*"BOTH UPSTREAM AND DOWNSTREAM MUST BE GOOD FOR THE PROJECT TO BE SUCCESSFUL, WE ARE WORKING HARD ON THE DOWNSTREAM PARTS BUT THE UPSTREAM ASPECTS MUST ALSO BE ACCELERATED & IMPROVED"*

*"MANY COMMUNITIES WORK IN THE AREA AND MAKE USE OF THE FOREST, INCLUDING HARVESTING SUGAR PALM AND HUNTING. FOR THIS REASON, OUR PROGRAMS IN NATIONAL PARKS MUST ALSO BE FOCUSED ON DEVELOPING ECONOMIC ALTERNATIVES THAT BENEFIT THE COMMUNITY"*

**- INTERVIEWEE RESPONSES ON THE IMPORTANCE OF THE PROJECT'S COMMUNITY ASPECTS**

214. The CIWT Project has resulted in several positive initiatives related to community livelihoods to date, although the scale was quite small as seen from the interventions carried out and the scope of participants and the number of activities implemented. All approaches related to community empowerment were supported through microgrant initiatives and were carried out by CSO partners, especially YIARI and WWF Indonesia. The lasting impact of these activities were quite small and seemed to disappear after the microgrants ended. Several initiatives are still being carried out with the support of other parties, but are still relatively small. In Aceh, the follow-up support from community efforts in encouraging the reduction of human elephant conflict involving the ex-hunters. In Ranto Perlak Village (Aceh), activities promoting economic alternative through non-timber forest

product (NTFP) for forest honey have also ceased operations. In West Java, small scale efforts were carried out in Tanjung Sari Village (Ciamis Regency) and Mekar Sari Village (Bandung Regency).

215. Activities in the context of the livelihood systems and initiation of training in the community patrol or related to animal handling are still scattered and not focused systematically from one another so it is very difficult to measure achievements. Nevertheless, the priorities of these interventions have largely been on monitoring wild animals and plants, developing alternative income including animal husbandry and mitigating human wildlife conflicts.

**Table 16b: Cross Section of Community Activities and Beneficiaries**

Activity	Sites/PIC	Total person(s)	Male	Female
HWC training	Krueng Saee watershed area, Alue Limeng, Krueng Sabe, Pintu Rime, Bireun and Bener Mweriah District, Aceh/WWF Indonesia	25	20	5
NTFP training and development beekeeping of stingless bee	Ranto Perlak, Perlak regency, Aceh/WWF Indonesia	24	18	6
A training workshop of the community based-patrol	Masigit Kareumbi Hunting Park/YIARI	14	-	-
A training workshop for the release program of slow lorises	Gunung Sawal/YIARI	15	-	-
A training of the community – based illegal wildlife poaching prevention	Gunung Sawal/YIARI	50	-	-
Social mapping in Tanjung Sari village (Gunung Sawal WR)	Tanjung sari Village/YIARI	unknown	-	-
Developing alternative income in Mekarsari village (Gunung Sawal WR)	Mekar Sari village/YIARI	Unknown	-	-

### Remaining Risks and Barriers to Achieving Outcome 3

216. The MTR sees the following risks, obstacles and/or barriers to achieving Outcome 3:

- i. Operational and coordination modalities in place to support the timely implementation of Outcome 3 in lieu of PIUs;
- ii. Managing risks around the safety of informants which should be revisited as part of a concerted review of the SESP risks;
- iii. Sufficient enforcement mandate, power to arrest and issue fines, and adequate capacity and support (including training and equipment) to enforce IWT issues;
- iv. Legislative and policy levers in place in time to support scaling efforts; and
- v. Willingness to share intelligence and information between law disparate enforcement agencies.

217. Per the Project's design, the particularly innovative aspects around the scaling-up the Wildlife Crime Unit approach and the Wildlife Crime Law Enforcement Task Force for North Sumatra, East Java and North Sulawesi have largely been overlooked. Partnerships between Indonesian law enforcement agencies (MoEF, INP, MMAF, AGO, PPATK, etc.) working together to combat wildlife crimes with other non-traditional entities and the scaling-up of this approach has huge potential to serve as a model for other countries in the region. What is needed is a combination of facilitation and demonstration to show that these entities can be applied for the benefit of globally important biodiversity and Indonesia's economic development.

218. The project was to also test cost-recovery mechanisms from illegal trade seizures using money laundering legislation and from legal trade through fiscal regulations to ensure trade is taxed at a level commensurate with the cost of regulating it. These types of approaches have been often discussed with respect to wildlife trade, but have never been trialed in the region. Again, the Project has not actively considered this dimension of the design.

219. A robust livelihood system approach is integral to the Project's long-term success and at the heart of its sustainability strategy. Whether through nurturing NTFPs or an agroforestry system involving social forestry schemes, or through ecosystem restoration to promote alternative livelihoods in collaboration with protected area management such as the Bogani Nani Wartabone National Park Authority is one of the strongest opportunities in the sustainability of the Project. While the Project's early efforts to promote preventive actions to reduce hunting activities on a local scale have enjoyed marginal success with its limited scope, but in the long term, the Project needs to accelerate this dimension and be more systematic. Training activities, field practice in species monitoring and handling, support for reducing animal-human conflicts and alternative economies are relatively ideal activities, but have not had a direct impact on reducing hunting and animal trade because hunting coverage is relatively widespread in many places

220. From a campaign perspective, these efforts can also form the basis of successful stakeholder engagement efforts to reduce the rate of hunting of wild animals through tailored approaches to hunters or communities who depend on natural resource extraction. The aim is to be able to shift from activities that carry out unsustainable extraction and hunting to a more sustainable one, especially alternative economic development. Microgrant activities, while short-lived, have been good and show promise, but they also carry risks in terms of financial sustainability once funds have been exhausted.

## ***Analysis of Outcome 4***

<b><i>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming</i></b>	<b>Attainment of Outcome</b>
	Satisfactory

221. The project has delivered strong results under Outcome 4, meeting the stated MTR target for Indicator 4.1. Progress towards Outcome 4 is rated as Satisfactory (S).

### **Achievements and Bright Spots**

222. The MTR has noted following areas of progress with respect to the realization of Outcome 4:

- Training video developed in collaboration with the Biodiversity Research Centre of the Indonesian Institute of Sciences on SOPs for Collecting and Handling Material from Wild Animals and Plants for Morphological and DNA Analyses;
  - In the second semester of 2020, the Project produced a serial training video on Standard Operating Procedures for Collecting and Handling Material from Wild Animals and Plants for Morphological and DNA Analyses. This video was made in collaboration with the Biology Research Center, Indonesia Institute of Sciences.
- Two video tutorials on the SPARTAN system;
  - The project also produced 2 tutorial videos for SPARTAN (Forest Security Vulnerability Monitoring System). The Directorate of Forest Protection, Directorate General of Law Enforcement, Ministry of Environment and Forestry developed SPARTAN, also with support by the Project since 2018.
- Focus Group Discussions on campaign plan for "Social Behaviour Change Communication" based on the KAP study (21 February 2019);
  - A FGD "Campaign Plan for Social Behavior Change Communication" for CIWT Jakarta, 21 February 2019 was conducted and discussions held with relevant parties to find out the right communication strategies in disseminating information, awareness, care and ownership, as well as changing people's behavior towards the trade in protected wildlife;
  - In 2020, the Project also conducted a KAP survey to support the development of a communication strategy to underpin a social marketing campaign on IWT. The survey was implemented by Lembaga Demografi, University of Indonesia.
- Sharing of knowledge and experiences on translocation, habituation and post release for a conservation agency from Malaysia in establishing the slow loris rehabilitation centre in Sabah, Malaysia.
- Training and formation of a women's volunteer patrol group to support IWT sensitization efforts in Bogani Nani Wartabone National Park (October 2020);
  - The Project established a Sub Pokja Gender on Directorate Forest Protection;
  - Training was conducted in the context of Inspiring Women for forest rangers' partners at Bogani Nani Wartabone National Park from 8-14 October 2020 which received coverage by 20 national and local online media outlets;
  - In cooperation with the Human Resources Agency of the Ministry of Environment and Forestry, the project engaged Forest Rangers Competencies Mapping Assessment related to gender issues.

- Lessons learned from law enforcement strategies and community-based conservation, including gender mainstreaming, are being shared on national and international levels. There were external project communications and knowledge sharing channelled through annual conferences organized by the Global Wildlife Program where the Project Manager and a small cadre of stakeholders have attended each year.

*"THE ANNUAL GWP CONFERENCES ARE USEFUL, IT WAS FROM THERE WE GOT THE IDEA OF WORKING WITH COUNTRIES SUCH AS THAILAND AND VIETNAM ON REPATRIATION OF CONFISCATED WILDLIFE"*

**- INTERVIEWEE ON ANNUAL GWP CONFERENCE**

### Gender Considerations

223. The MoEF encourages gender issues to be part of its policies and programs, and has won a number of accolades for its gender responsive approaches. As such, the IP regularly supports the formation of national women's groups on a range of issues important to the national context; and in this case on IWT issues. The Project promotes gender mainstreaming by design, which aims to ensure an inclusive approach in which men and women can actively participate in obtaining equitable benefits and access. Table 17 highlights the proposed gender mainstreaming actions for Project implementation and explicit actions taken:

**Table 17: Gender Mainstreaming in the Project Design**

Outcome / Output	Responsible	Proposed Gender Actions Per Design	Explicit Actions Taken by the CIWT Project
<b>Component 1: Effective national framework for managing wildlife trade</b>			
<b>Output 1.1:</b> Amendments and drafts for policies, legislation, regulations and procedures to reduce illegal wildlife trade and improve implementation of CITES in Indonesia are developed and legal adoption processes supported	MoEF, LIPI	<ul style="list-style-type: none"> <li>Proactive inclusion of women in working groups and committees involved in policy and regulatory reviews</li> <li>Consideration of gender disaggregated information on socio-economic aspects of resource use and livelihoods related to IWT and implications for women</li> </ul>	<ul style="list-style-type: none"> <li>More initiatives in the preparation of the NASTRA have involved 8 women (totally 57 people as participants)</li> </ul>
<b>Output 1.2:</b> Proposal for a taskforce for improved collaboration amongst responsible agencies is developed and active during the project	MoEF	<ul style="list-style-type: none"> <li>Proactive inclusion of women in working groups and committees concerned with IWT</li> </ul>	<ul style="list-style-type: none"> <li>Few women personnel within MoEF coordinating task force activities</li> </ul>
<b>Output 1.3:</b> Economic	MoEF	<ul style="list-style-type: none"> <li>Proactive inclusion of</li> </ul>	<ul style="list-style-type: none"> <li>Economic</li> </ul>

**Table 17: Gender Mainstreaming in the Project Design**

Outcome / Output	Responsible	Proposed Gender Actions Per Design	Explicit Actions Taken by the CIWT Project
assessments conducted to quantify the value of legal and illegal wildlife trade and its impacts on the national economy and to assess the feasibility of cost-recovery mechanisms		women in working groups and consultancy roles for economic assessments	assessment involved 2 women (Totally 6 persons)
<b>Component 2: Institutional capacity for implementation and enforcement at the national and international levels</b>			
<b>Output 2.1:</b> Strengthened capacity of Gakkum to tackle IWT	MoEF, WCS	<ul style="list-style-type: none"> <li>Proactive inclusion of women in TA roles and committees on IWT</li> <li>Proactive inclusion of women participants in related capacity development activities</li> </ul>	<ul style="list-style-type: none"> <li>MTR finds that women have been engaged to the extent possible, although there are few law enforcement personnel within Gakkum (539 people joined these trainings with the proportion 475 men and 55 women).</li> </ul>
<b>Output 2.2:</b> Training modules and standard operating procedures (SOPs) are developed based on needs assessment for integration into government training programmes	MoEF	<ul style="list-style-type: none"> <li>As above</li> <li>Gender roles to be clearly articulated while undertaking training needs assessment and incorporate in training modules</li> <li>Proactive inclusion of women in working groups, committees, new positions</li> <li>Focus specific incentive mechanisms targeting female law enforcement officers</li> </ul>	<ul style="list-style-type: none"> <li>Project to consider action(s) going forward</li> </ul>
<b>Output 2.3:</b> DG Law Enforcement and other key agencies are trained in	MoEF	<ul style="list-style-type: none"> <li>As above</li> </ul>	<ul style="list-style-type: none"> <li>Project to consider action(s) going forward</li> </ul>

**Table 17: Gender Mainstreaming in the Project Design**

Outcome / Output	Responsible	Proposed Gender Actions Per Design	Explicit Actions Taken by the CIWT Project
wildlife forensics techniques and provided with necessary equipment and expert support			
<b>Output 2.4:</b> Drafts of National and International Agreements on IWT control are prepared; collaboration between national and international agencies is facilitated; participation of Indonesia representatives in international meetings/initiatives is supported	MoEF	<ul style="list-style-type: none"> <li>As above</li> </ul>	<ul style="list-style-type: none"> <li>Project to consider action(s) going forward</li> </ul>
<b>Output 2.5:</b> Communication Strategy and social marketing campaigns to increase awareness on IWT are implemented at national and regional scales	MoEF	<ul style="list-style-type: none"> <li>Proactive inclusion of women in TA roles and working groups for awareness raising programme</li> <li>Requirement for gender disaggregated information to design communications strategy and awareness campaign</li> <li>Focus on women as a key target group in wildlife trade source areas for fostering attitudinal change</li> <li>Identification of female champions to participate in awareness efforts</li> </ul>	<ul style="list-style-type: none"> <li>Project to consider action(s) as part of forthcoming communication strategy</li> </ul>
<b>Component 3: Scaling-up improved enforcement strategy at key trade ports and ecosystems</b>			
<b>Output 3.1:</b> Capacity development supported at demonstration ports including training of key agency staff on CITES and IWT control with focused intervention at Surabaya port	MOEF, WCS	<ul style="list-style-type: none"> <li>Proactive inclusion of women in working groups on IWT at ports</li> <li>Proactive inclusion of women participants in related capacity development activities</li> </ul>	<ul style="list-style-type: none"> <li>Cannot be assessed at this juncture</li> </ul>

**Table 17: Gender Mainstreaming in the Project Design**

Outcome / Output	Responsible	Proposed Gender Actions Per Design	Explicit Actions Taken by the CIWT Project
<b>Output 3.2:</b> Gakkum's operations strengthened and key stakeholders engaged in the selected subnational regions and ports	MOEF, WCS	<ul style="list-style-type: none"> <li>Proactive inclusion of women in working groups, committees, new positions and unofficial roles</li> <li>Proactive inclusion of women participants in related capacity development and field activities</li> <li>Requirement for gender disaggregated information on wildlife exploitation and trade including demand aspects</li> </ul>	<ul style="list-style-type: none"> <li>A series of operation activities was carried out involving 20 male and 1 female participants in West Java. Then the snare clearing activity in Lore Lindu with 84 men and 3 women</li> </ul>
<b>Output 3.3:</b> Coordination mechanisms of IWT intelligence are developed and introduced to agencies and communities; and local people are trained in IWT monitoring and collaboration with law enforcement	MOEF, WCS, CSOs	<ul style="list-style-type: none"> <li>As above</li> <li>Involvement of women as CBO facilitators for community work</li> </ul>	<ul style="list-style-type: none"> <li>Training and capacity building activities to slow loris conservation especially the community patrol involved the women (11 persons from totally 127 local people as participants)</li> <li>The MoEF's Human Resources Agency conducted a competency test (mapping assessment) of women for patrolling and monitoring activities in Bogani Nani Wartabone National Park. Women were also</li> </ul>

**Table 17: Gender Mainstreaming in the Project Design**

Outcome / Output	Responsible	Proposed Gender Actions Per Design	Explicit Actions Taken by the CIWT Project
			<ul style="list-style-type: none"> <li>equipped with the knowledge of the SMART patrol system;</li> <li>With the support of the National Park office and the CIWT project, women were trained in alternative economic livelihoods (handicrafts and ecoprints) and trainers were brought in from Jogjakarta.</li> <li>In January - March 2021, RBM (Resort-based management) system, cyber tracking and GIS (Global Information System) knowledge were introduced.</li> </ul>
<b>Output 3.4:</b> Livelihood options and HWC reduction mechanisms developed and introduced to local communities in wildlife trade source areas	MOEF, WCS, CSOs	<ul style="list-style-type: none"> <li>Involvement of women as CBO facilitators for community work</li> <li>Proactive inclusion of women in working groups, committees, new positions and unofficial roles</li> <li>Proactive inclusion of women participants in related capacity development and field activities</li> </ul>	<ul style="list-style-type: none"> <li>Training of NTFP involved 6 women (totally 23 local people) for beekeepers in Ranto Perlak Village (Aceh)</li> <li>Training human wildlife (elephant) conflict mitigation Krueng Sabe and Pintu Rime (Aceh) involved 5 women (Totally 25 local people).</li> </ul>

**Table 17: Gender Mainstreaming in the Project Design**

Outcome / Output	Responsible	Proposed Gender Actions Per Design	Explicit Actions Taken by the CIWT Project
		<ul style="list-style-type: none"> <li>Requirement for gender disaggregated information on wildlife exploitation and trade including demand aspects</li> </ul>	<ul style="list-style-type: none"> <li>Training conducted on IWT issues and engagement with the general public to underpin the formation of community women's ranger group in Bogani Nani Wartabone National Park.</li> </ul>
<b>Component 4: Knowledge Management, M&amp;E and Gender Mainstreaming</b>			
<b>Output 4.1:</b> Knowledge management is coordinated with other GEF projects through the GEF Programmatic Framework to Prevent the Extinction of Known Threatened Species	MOEF, UNDP	<ul style="list-style-type: none"> <li>Requirement for gender disaggregated information on wildlife exploitation and trade including demand aspects</li> <li>Proactive attention to lessons learned regarding gender roles in CBNRM and IWT management</li> </ul>	<ul style="list-style-type: none"> <li>Project to consider action(s) going forward</li> </ul>
<b>Output 4.2:</b> M&E system incorporating gender mainstreaming developed and implemented for adaptive project management	MOEF, UNDP	<ul style="list-style-type: none"> <li>Gender mainstreaming strategy developed in year 1</li> <li>Requirement for gender-disaggregated information for appropriate indicators in the M&amp;E Plan</li> <li>Specific monitoring of gender mainstreaming progress during project implementation</li> </ul>	<ul style="list-style-type: none"> <li>The MTR confirms the Project supported the development of a Gender Action Plan to support CIWT. The document's intent is to support gender programs at the ministerial and partner levels. Some of the important issues included in the action plan are gender issues that are integrated with</li> </ul>

<b>Table 17: Gender Mainstreaming in the Project Design</b>			
<b>Outcome / Output</b>	<b>Responsible</b>	<b>Proposed Gender Actions Per Design</b>	<b>Explicit Actions Taken by the CIWT Project</b>
			policies and strategies through CIWT, issues of leadership and capacity building. It also includes elements of women's support in the development of a livelihood system for families.

#### Remaining Risks and Barriers to Achieving Outcome 4

224. The MTR sees the following risks, obstacles and/or barriers to achieving Outcome 4:

- Ensuring adequate gender representation in training, in alignment with the 50% vision in the Project Document;
- Complacency and taking a passive stance as opposed to an active approach to knowledge management; and
- Not capitalizing on the multiplier effect that knowledge management can have on capacity by boosting synergies.

225. Gender issues which go beyond just the disaggregation of male / female beneficiary targets, can and should become a highlight if the CIWT Project is packaged properly. Gender issues in CIWT and the women ranger activities are rare and this will resonate well with the public. For this reason, replication becomes important, especially for Aceh women. Acehnese women are brave types and have been known to contain human-elephant conflict, as members of the front line in driving and escorting elephants out of conflict zones.

226. Mainstreaming gender is constrained by the fact that law enforcement is male dominated and the strongly paternalistic cultures of the rural communities in the landscape level are slow to penetrate. The project needs to train all its stakeholders on gender to promote understanding and therefore begin to mainstream it.

## **C. Project Implementation and Adaptive Management**

### ***Overall Analysis of Project Implementation and Adaptive Management***

<b>Project Implementation &amp; Adaptive Management</b>	<b>Rating</b>
	Satisfactory

227. Overall project implementation and adaptive management is rated as Satisfactory<sup>50</sup> based on an assessment of seven key gauges of effective implementation and management. Although implementation has faced a number of delays and false starts (especially at the outset in 2018) and others due to reasons outside the project's control stemming from the COVID-19 pandemic, there has been good cooperation and adaptive management between all the partners to overcome these challenges and implementation is starting to accelerate with plans in place for the execution and expediting of activities in the second half of Project's timeline.

228. There is generally good compliance with UNDP, MoEF and GEF rules and procedures including financial management and procurement requirements. However, there are weaknesses associated with some aspects of project management arrangements, M&E systems and reporting that warrant some remedial action to tighten the ship going forward.

### ***Management Arrangements***

229. The project is being implemented by the DG of Law Enforcement within the MoEF. The UNDP, as the GEF Implementing Agency, oversees the implementation of the project through an assigned UNDP Country Office Program Manager who oversees a portfolio of 10 projects, including 2 PPGs currently in the formulation phase, within the Energy and Environment Division<sup>51</sup>. In its administration, the UNDP Indonesia Country Office is guided by UNDP and GEF guidelines.

230. Under the National Implementation Modality (NIM) the project budget is largely transferred from UNDP to the Government, when required, but flexibility is also afforded to the IP to leverage co-financing to optimize disbursements and administration based on the costs and procedural considerations such as procurement. The IP is benefitting immensely from enhanced Country Office Support Services (COSS) and the Project developed a regulative SOP in June 2020 (which could potentially be developed to serve as standard guidelines for the operation of other NIM projects going forward), covering areas such as annual work plan approval, procurement, disbursement and auditing, among others.

*"WE HOPE TO TRANSFER MORE RESPONSIBILITY TO THE IP IN MANAGING THE PROJECT. WE NEED TO INCREASE THEIR CAPACITY WITH THE IMPLEMENTATION OF THE GEF PORTFOLIO FOR OTHER PROJECTS IN THE PIPELINE"*

*"NIM ARRANGEMENTS HAVE NOT ALWAYS BEEN SMOOTH AND THERE HAS BEEN A STEEP LEARNING CURVE; THINGS ARE MUCH BETTER THIS YEAR"*

**- INTERVIEWEE RESPONSES ON IMPLEMENTATION ARRANGEMENTS**

231. The main constraint at project start up was the difficulty mainstreaming the project into the Government's rules and procedures due to: (i) the lack of **Standard Operational Procedures** for the implementation of projects which with external budget; (ii) **disagreements over the vision and priorities** of the Project in spite of these being clearly articulated in the Project Document; (iii) justification over the **time and effort government staff were expected to put into project**

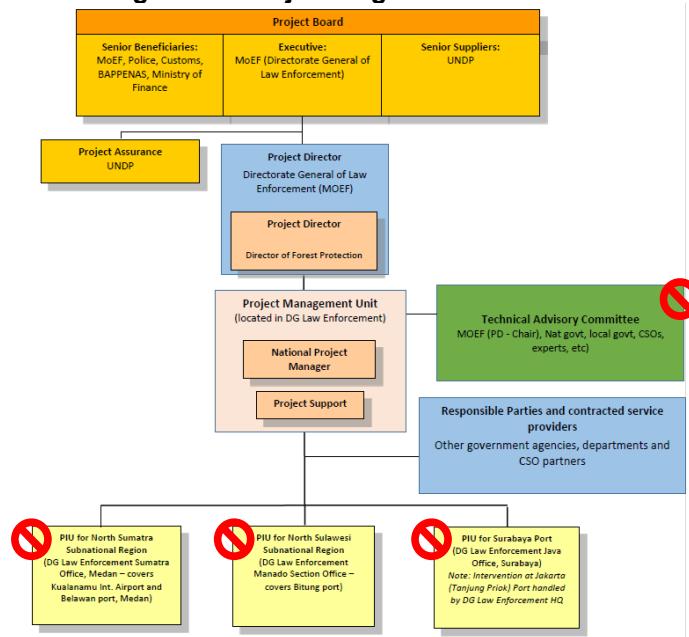
<sup>50</sup> Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.

<sup>51</sup> Currently, there are 32 ongoing projects within the Environment and Energy Division of the UNDP Indonesia Country Office, divided four clusters: First, natural resources management and part of this is IWT project, second, environment pollution, third, renewable energy and fourth, climate and environmental governance.

**activities;** (iv) protracted **delays in setting up the Project Board** which took over a year to constitute; and (v) **delays with the recruitment of the National Project Manager**, turnover of PMU staff and prolonged caretaker arrangements. While project management is now considered to be running reasonably well, the project suffered a one-year initial delay in 2017/2018, compounded by additional delays in 2020 due to pandemic restrictions.

232. Project management arrangements are broadly in line with the Project Document, although there have been some important changes and gaps including a decision taken by the PB to jettison the Project Implementation Units at the landscape level. Exact modalities and operations for the execution of Outcome 3 activities are still being discussed and have yet to be finalized. These needs urgent attention and a quick decision. Additionally, the Technical Advisory Committee envisioned in the Project Document has not taken off, nor would it add much value at this juncture.

**Figure 15. Project Organizational Structure**



233. The project has a strong and well-respected National Project Manager who - having been a staff member of the MoEF previously - has forged strong relationships both with UNDP with the IP at central and field level.

234. The National Project Manager is flanked by a skilled support team at the PMU, consisting of a Project Assistant and Knowledge Management Officer. Data gathered during the fact-finding stage through interviews confirm that support from the PMU has been one of the Project's strong points.

235. The results from the online questionnaire (see Figure 16) reveal a similar sentiment from Project stakeholders that coordination by the PMU is generally, effective, efficient and timely.

236. The Project Board is vested with the overall responsibility of providing strategic advice on the implementation of Project and ensure delivery of targeted outputs and outcomes. Attendance of meetings by members of the PB is shown in Table 18. There was a high level of commitment shown by central agencies like the respective DGs of Law Enforcement and Conservation, line ministries such as the DG of Customs and the Ministry of Finance, as well as from UNDP. Efforts must be made to further engage other agencies, whose primary missions are not directly related to law enforcement per se, but which are important for conservation advocacy and multi-dimensional issues of IWT (i.e. from a health / zoonoses perspective), to participate actively in PB meetings.

*"WHEN I FIRST JOINED AS A PROJECT BOARD MEMBER, WE HAD NUMEROUS OBSTACLES, BUT WE HANDLED OR REDUCED THE IMPACT BY THOROUGHLY DISCUSSING EACH ISSUE. BOARD MEETINGS ARE NOT JUST FOR REPORTING AND WE GET INTO THE DETAILS"*

- INTERVIEWEE RESPONSE ON THE PROJECT BOARD

237. The online questionnaire also highlighted that Project stakeholders felt that accountabilities and responsibilities are well-defined, illustrated by Figure 17 below.

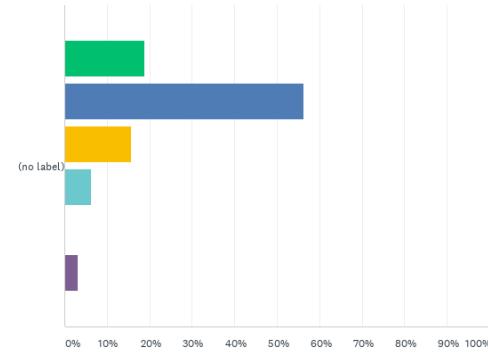
238. Overall, the MTR confirmed that there is need for the PB to meet more regularly as highlighted in the Project Document (at least twice per year), and more systematic and regular project oversight and guidance by the Project Board between meetings. A greater focus by all partners on higher-level results and impacts is also needed together with a more comprehensive approach to risk monitoring management and mitigation.

**Table 18: Project Board Attendance**

No.	Entity	PB Meeting 1 (Bogor, December 18th, 2018)		PB Meeting 2 (Jakarta, December 23th, 2019)		PB Meeting 3 (Bogor, December 1st, 2020)	
		Present	Absent	Present	Absent	Present	Absent
1	Director of Forest Prevention and Protection, DG Law Enforcement and National Project Director of CIWT, MoEF	Y		Y		Y	
2	Bappenas (the Ministry of National Development Planning) -Director of environmental, natural resources and maritime	Y		Y			Y
3	Direktorate General of Law Enforcement - DG secretary, MoEF	Y		Y		Y	
4	Direktorate General of Ecosystem and Natural Resources Conservation - Director of Biodiversity Conservation, MoEF	Y		Y		Y	
5	Direktorate General of Financing and Risk Management - Director for Loans and Grants, Ministry of Finance	Y		Y		Y	

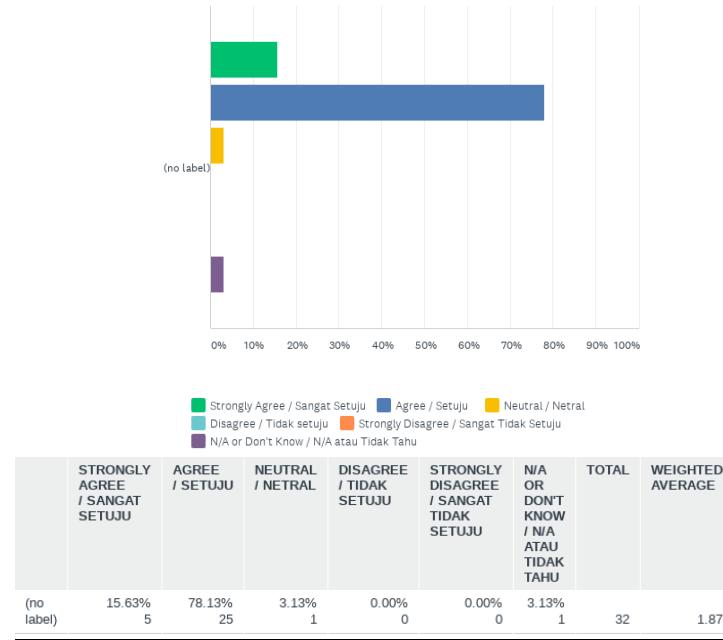
**Table 18: Project Board Attendance**

No.	Entity	PB Meeting 1 (Bogor, December 18th, 2018)		PB Meeting 2 (Jakarta, December 23th, 2019)		PB Meeting 3 (Bogor, December 1st, 2020)	
		Present	Absent	Present	Absent	Present	Absent
6	Directorate General Customs - Director of Enforcement and Investigation, Ministry of Finance	Y		Y		Y	
7	The National Criminal Investigation Agency (Bareskrim) - Directorate of Special Crime Act, Indonesia Police Agency	Y			Y	Y	
8	Biological Research Centre - Deputy of Living Science, Indonesia Institute of Sciences		Y	Y		Y	
9	UNDP country Office, Head of Environmental Unit	Y		Y		Y	
10	GEF Secretary	Y			Y		Y

**Figure 16. Question 32 on Effectiveness, Efficiency and Timeliness of PMU Coordination**

█ Strongly Agree / Sangat Setuju █ Agree / Setuju █ Neutral / Netral  
 █ Disagree / Tidak setuju █ Strongly Disagree / Sangat Tidak Setuju  
 █ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	18.75% 6	56.25% 18	15.63% 5	6.25% 2	0.00% 0	3.13% 1	32	2.10

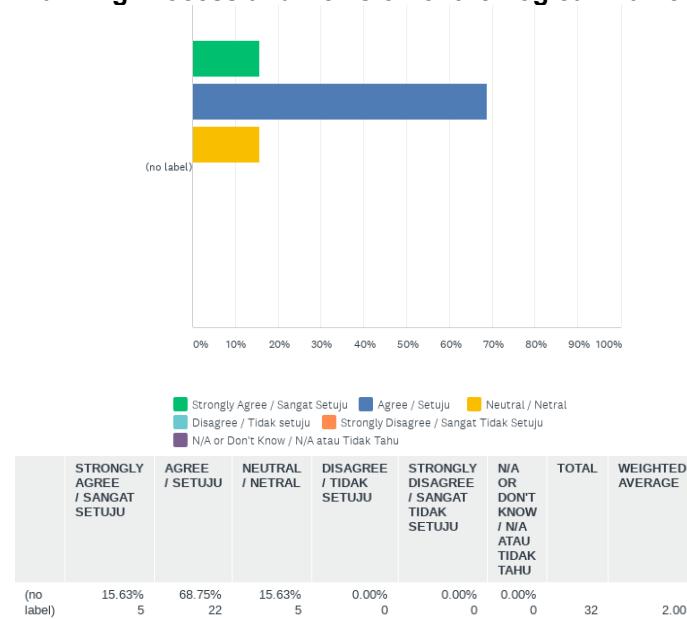
**Figure 17. Question 14 on the Project's Authorities and Accountably Being Well-Defined**

## Work Planning

### Work Planning at Project Start-up

239. Based on the GEF-specific project management requirements and Project Document, where possible, a Project Inception Workshop should be held within 3 months of project signature (November 2017). While a workshop did take place in March 2018, the whole inception phase was prolonged - lasting until October 2018. The PB convened its first meeting in December 2018 and the PMU started its functions in full capacity in January 2019, following a lengthy recruitment process for the National Project Manager.

240. Surprisingly and in spite of the start-up delays, an Annual Workplan meeting for 2018 was indeed conducted from 28-29 December 2017 and facilitated by a caretaker Project Manager from the UNDP Indonesia Country Office. The 2018 AWP was approved by UNDP on 5 January 2018, but subsequently amended based on the feedback from the Inception Workshop (Ref. Annex 2 of the Inception Report).

**Figure 18. Whether During the Project Inception Phase, Participating Organizations had Input into the Planning Process and Revision of the Logical Framework**Annual Work Plans

241. Work-planning and quarterly reporting follow UNDP formats and processes, which are output and activity-based, while reporting to the GEF through the annual PIRs focuses on indicators and end-of-project targets in the project Results Framework. Continuity between the two styles is an issue, but at no fault of the Project itself. Although, the workplans include a summary of project indicators, baselines and targets, planning is very much focused on immediate activities rather than the delivering higher-level results, a problem that is compounded by having 14 outputs.

242. Work planning processes can be greatly strengthened once the existing Results Framework has been reviewed and updated and starts being used more systematically as a tool for project planning, monitoring and adaptive management. Ideally, work planning should include separate mini strategies for the delivery of each outcome and for each of the landscapes / ports.

243. Annual work plans are generally of good quality with a high level of detail. This in part reflects the complex IP procedures for work planning, budgeting and the fact that the Project is also linked to internal MoEF targets. The challenge for work plan implementation lies in efficiently working through these processes so that funds can be disbursed in a timely manner.

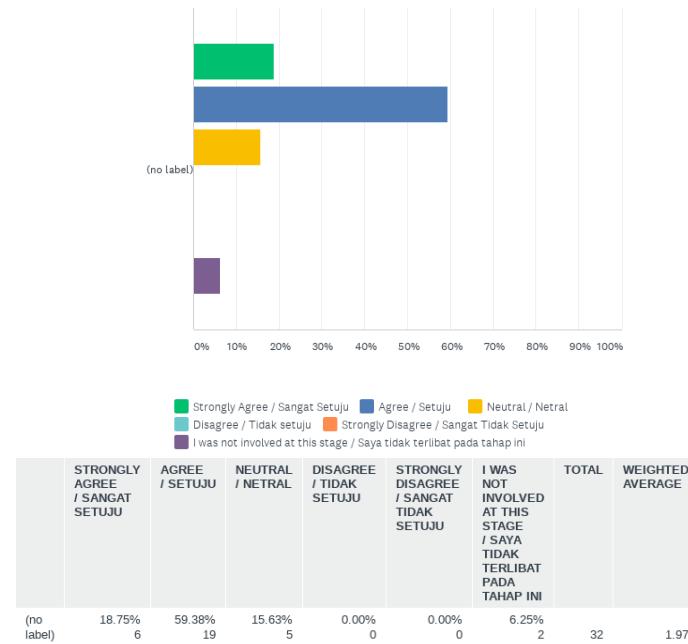
244. The draft annual work plan go through several rounds of consultation with the partners and UNDP, followed by internal PMU consultations. The Annual Work Plans are approved by the Project Board.

245. Evidence from interviews suggests that the Annual Work Plan process has been effective, in line with expected standard processes and broadly consultative with project stakeholders. Going forward however, and one gap that has been surfaced during the fact-finding stage, is that it would be good to also involve the RTA in the AWP process and afford them ample time to weigh in and provide guidance based on their knowledge of the portfolio prior to its submission for PB approval. One way to do this is to link planning to the Annual Spending Limit which is not annual instead of multi-year.

*"SIMILAR TO OTHER PROJECTS IN THE PORTFOLIO, THE AWP OUGHT TO BE LINKED TO THE ANNUAL SPENDING LIMIT. THIS WOULD ENCOURAGE GREATER CONSULTATION WITH SENIOR MANAGEMENT"*

- INTERVIEWEE RESPONSE ON AWP APPROVALS

**Figure 19. Question 11 on Whether Partners are Routinely Consulted During Annual Work Planning**



## ***Finance and Co-Finance***

### GEF Funds

246. No concerns were raised by any stakeholders regarding the financial management of the Project. Project compliance with UNDP, GEF and MoEF rules and procedures, including financial management and procurement requirements is generally good; in other words, delays encountered to date are largely associated with execution-type issues as opposed to contracting, procurement or financial disbursement.

247. Standard procedures and financial controls are in place to manage funds. Detailed Annual Work Plans are used to allocate the GEF budget. Financial and procurement obligations are detailed in the Project SOPs (June 2020) and in para 130 and Section IX of the Project Document. The Funding Authorization and Certification of Expenditure form is used to manage the NIM Advance to the

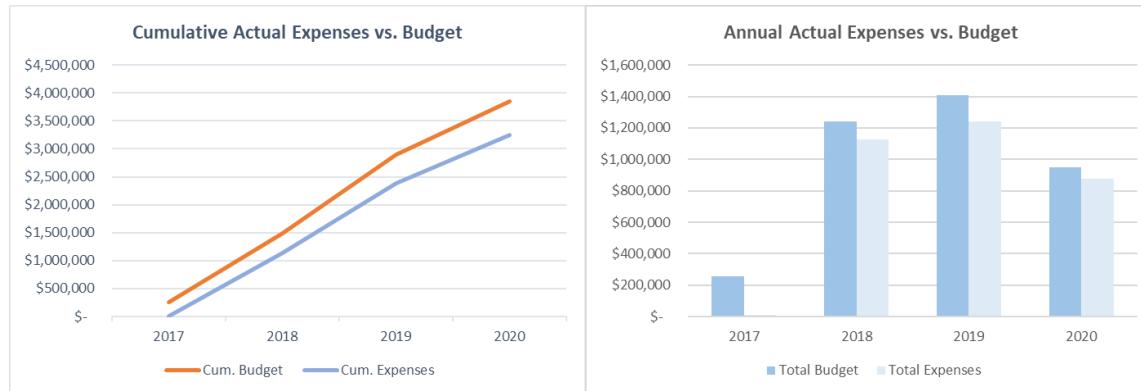
Government. UNDP-support services are managed by the Project's Finance Associate, Hidayat Abdillah, at the UNDP Indonesia Country Office through ATLAS. Surprisingly, due to the hybrid COSS arrangement, a HACT (Harmonized Approach to Cash Transfer) assessment was neither conducted on the IP, nor the microgrant recipients.

248. While major underspending of the planned budget occurred until recently due to the long delays at the start, expenditure stands at 55% of the total GEF Project budget (or US\$3,252,917.02 against a budget of US\$ 3,851,653.00) as of December 2020.

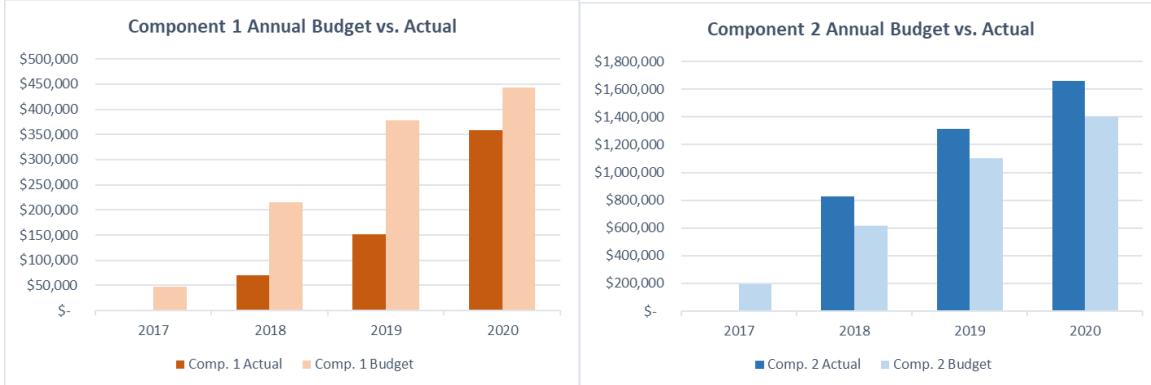
249. Timely flow of funds has not been a problem up to now. Instead, the project has struggled to spend its planned budget given the many delays in the first year and restrictions from the pandemic have wrecked havoc on activities which require heavy consultation and training.

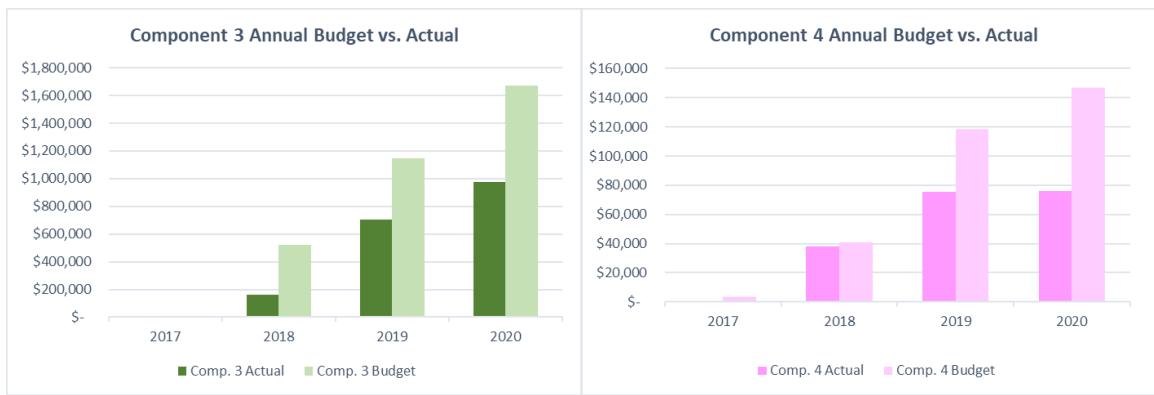
250. The project is underspending against the agreed budget by approximately 15% and expenditure against Outcome 3 is lagging considerably and should be expedited. The amount budgeted for 2020 was less than that for 2019 and 2018. The shortfall of expenditure for 2020 against budget is justified due to inactivity resulting from COVID-19. It is important to note that the expenditure to date for Outcome 2 is US\$260,000.00 over budget.

**Figure 20. Actual Expenditure vs. Budget**



**Figure 21. Budget vs. Actual Expenditure by Component**





### Co-Financing

251. Total committed co-financing at project signing was US\$44,948,742.00, of which US\$42,848,742.00 was committed by the MoEF, US\$100,000.00 by UNDP and US\$2,000,000.00 by WCS ([Ref. Annex I](#)).

252. It is estimated that 59% of the pledged contribution from Gakkum totalling US\$25,348,905.00 has materialized to date, based on post-facto calculations at the time of the MTR. No update was provided on the status of co-financing for either UNDP or WCS throughout the MTR in spite of several reminders that this data was outstanding.

253. Co-financing does not appear to be tracked in any of the AWPs, QMR or PARs and this is a gap that should be corrected going forward. PIRs need not track co-financing per GEF guidelines.

**Table 19: Status of Co-Financing**

Sources of co-financing	Name of co-financer	Type of Co-financing	Amount confirmed at CEO endorsement (US\$)	Actual amount contributed by stage of MTR (US\$)	Actual % of Expected Amount
National Government	MoEF	Grant	42,848,742.00	25,348,905.00	59%
GEF Agency	UNDP	Grant	100,000.00	0.00	0%
NGO	WCS	Grant	2,000,000.00	0.00	0%
		<b>TOTAL</b>	<b>44,948,742.00</b>	<b>25,348,905.00</b>	<b>59%</b>

### **Project-Level Monitoring & Evaluation**

254. Regular quarterly reports (QMRs), Project Assurance Reports (PARs) and PIRs have been prepared by the project and generally reflect the progress made and elaborate on the difficulties facing the project. The Inception Report serves as the monitoring report for 2017/2018. The progress reports have not always been fully completed (e.g. financial data missing and not all indicators reflected) and it is sometime difficult to identify progress at activity level, but they have improved as the project has progressed. Continuity between the PIRs and the QMRs / PARs is usually an issue and the MTR found it difficult to piece together the latest status due to repetition between them.

255. It is not possible to assess the tracking tools as the PortMATE scores have not been repeated. The updated capacity development scorecards appears to have been applied with rigour and was supplied to the MTR for verification.

256. Risk management is being undertaken intermittently and there is evidence of new risks being added to the register as they materialize. New risks and mitigations are an indication of a strong and mature PMU. The risks and assumptions identified in the Results Framework and Theory of Change remain relevant and need to be reflected in an updated Results Framework and included in the project's risk mitigation and management strategies. This should be undertaken as part of a wider exercise to revise and update the project's original social and environmental screening by completing UNDP's current SESP and updating the UNDP Atlas Risk Log accordingly, based on the findings of the UNDP NCE-VF Desktop Safeguards Review for CIWT project, made by the designated Safeguards Specialist

**Figure 22a. Results of the UNDP NCE-VF Safeguards Review (Detailed Findings)**

Detailed Findings, Proposed Actions and Recommended Procedures	Proposed Oversight Actions (for RTA & CO, with Deborah's support)	Recommended Procedures (for PMU as determined appropriate)
Overlooked risks; the project SESP appears to have missed risks under: <ul style="list-style-type: none"> <li><b>Standard 3 Community safety and working conditions – component 3 (ProDoc):</b> Strengthening surveillance and enforcement capacity at key IWT ports and markets and for source areas around key protected area ecosystems could potentially lead to safety concerns for the community i.e., the possible violation of human rights and gender-based violence if/when security services do not enforce the law appropriately.</li> <li><b>Standard 4 Cultural Heritage:</b> Since project areas include forests and habitats there is a high potential that these areas house cultural heritage sites that are important for the local communities/Indigenous Peoples. This risk needs to be assessed further and if confirmed/verified must be addressed following the requirements provided in the SES Standard 4 Cultural Heritage.</li> <li><b>Standard 5 Economic displacement:</b> - Because project activities have the potential to restrict access to natural resources due to enhanced enforcement for local communities, including marginalized groups, risk under Standard 5 are eminent and will remain so.</li> </ul>	<ul style="list-style-type: none"> <li>Discuss with the RTA the need to assess the missing risks and ensure that if confirmed/verified will need to be included in the project SESP.</li> </ul>	<ul style="list-style-type: none"> <li>PMU/CO to give further consideration to assessing the potentially identified risks from this review.</li> </ul>
No substantive consideration has been given provided for risks under Standard 6. While the project documents (SESP & ProDoc) recognize the presence of ethnic minorities and Indigenous Peoples in and around project areas there is no consideration to ensure that the project is applying the SES Standard 6 requirements during project implementation.	<ul style="list-style-type: none"> <li>Discuss with the RTA the need to give further consideration to Standard 6 and ensure that the substantive rights of Indigenous Peoples particularly those involved in project activities i.e., the Forest Independent People are provided with the relevant protections to comply with the SES Standard 6</li> </ul>	<ul style="list-style-type: none"> <li>PMU/CO to determine the extent to which the project should go to ensure that the substantive rights of Indigenous Peoples are protected. For example: <ol style="list-style-type: none"> <li>assess the relevance of an Indigenous Peoples Plan,</li> <li>ensure that no activities are implemented without FPIC and,</li> <li>to document all engagements with Indigenous Peoples.</li> </ol> </li> </ul>

**Figure 22b. Results of the UNDP NCE-VF Safeguards Review (Overlooked Risks)**

Serious risks that may have been overlooked (and thus require discussion with RTA/ Country Office / Project Team)		Explanation of suspected gap
<b>Risks</b>		This gap relates to the concerns/impacts of security personnel in the local community i.e., the working conditions of these security personnel.
Under component 3 the project will support specific demonstration and scaling-up activities including strengthening surveillance and enforcement capacity at key IWT ports and markets and for source areas around key protected area ecosystems. Within this activity Standard 3 Community Safety & Working Conditions is triggered by the increased deployment of security personnel.		Since project areas include forests and habitats there is a high potential that these areas house cultural heritage sites that are important for the local communities/Indigenous Peoples. According to this <a href="#">WWF article</a> Indonesia's indigenous peoples consider the fruit of their land as a cultural heritage.
Because project activities will impact on Forest Independent Peoples; there could be the potential for Standard 4 Cultural Heritage to be triggered.		Because project activities will restrict access to natural resources, there is potential for Standard 5 Economic displacement to be triggered.
Economic displacement; project activities have the potential to restrict access to natural resources due to enhanced enforcement for local communities, including marginalized groups.		Because project activities will restrict access to natural resources, there is potential for Standard 5 Economic displacement to be triggered.
<b>Safeguards plans/elements that must be prepared during implementation (first year especially), i.e., required for the project as noted in the SESP, ESMF (etc.), or based on desk review findings (indicate which in notes)</b>	<b>Date/timeframe expected</b>	<b>Status/notes</b>
Safeguard Plans	TBD based on the findings of this review	Project activities that include engaged enforcement for local communities and/or marginalized groups will restrict access to natural resources thereby requiring the project to develop a Livelihood Action Plan and most likely a Land Acquisition Plan after further assessments.
A livelihood Action Plan & Land Acquisition Plan	TBD	Because of the project's engagement with marginalized populations and indigenous peoples, an IPP is relevant for this project along with FPIC to ensure SES compliance to Standard 6.
FPIC/IPP		

257. The Monitoring and Evaluation Budget and Work Plan was partially costed at project design (Table 5 on page 71 of the Project Document). Measurement of Means of Verification for Project Progress on output and implementation were to be determined as part of the Annual Work Plan. The budget for the Midterm and Terminal Evaluation is sufficient, however the project should ensure that enough budget is allocated towards the implementation of the tracking tools and other means of measuring project results in the second half of the project, including implementation of risk mitigation strategies. The Project could consider involving the Grant Monev Team that has been formed by the DG of Gakkum, MoEF.

### ***Stakeholder Engagement***

258. The project has developed strong partnerships to deliver key elements of the Project built through the emphasis on CSO engagement through microgrant initiatives with JAAN, WCS, WWF and YIARI, as well as awareness raising and community engagement / livelihood enhancement in components 2 and 3 respectively. National level consultations have been conducted via the development of the NASTRA, but is expected to continue to secure broad ownership for the roadmap prior to the document's finalization. With the closure of all four microgrants, stakeholder engagement has waned considerably, and re-engagement will be necessary, if not indispensable, in the second half of implementation to meet the Project's objectives, as it has been noted that some partners feel disconnected from the Project.

259. Benefit sharing to local communities through alternative livelihood measures to address the "push" and "pull" factors of the IWT needs to be more thought out and demonstrated in order to promote greater community ownership which can lead to more effective partnerships with law enforcement and national park (NP) authorities. This is also the case with engagement with other law enforcement agencies in the region, specifically in China, Vietnam, Thailand, Malaysia and Singapore through MoUs and joint operations.

260. Building public awareness is the focus of Outcome 2 of the project and is therefore closely associated with the achievement of the project's objectives, especially from a demand perspective. The effectiveness of some of the awareness raising initiatives is uncertain and greater emphasis on measuring the benefits of building awareness and support for the project – locally, nationally and internationally, should be considered in the second half of the project. The project should expand collaboration with the private sector, wildlife conservation networks<sup>52</sup> (such as animal specialist groups), nature lovers and scouts in particular millennials, other line ministries such as health, business communities and social media to broaden the awareness of the scourge of IWT.

### ***Reporting***

261. The project has consistently produced a permanent record of all its activities, through the regular production of documents as required under UNDP/GEF guidelines. So far, the project has prepared three Project Assurance Reports, seven Quarterly Monitoring Reports, two PIRs (2019 and 2020), as well as a glossy Progress Report in Bahasa released in December 2020. Other reports produced include Annual Work Plans, Capacity Development Scorecards, and meeting minutes.

<sup>52</sup> In Indonesia, there is a legacy of volunteer activism via wildlife conservation networks (such as specialist groups), nature lovers, scouts, probably bloggers and other environmental clubs are quite active. They are often engaged as volunteers to participate in myriad conservation events. Therefore, they are potential members or participants in campaigns.

262. Progress reports are regularly tabled at the annual PB meetings, wherein project progress and subsequent year's workplan is discussed.

263. Continuity between the three progress report formats, as well as better incremental alignment and integration of monitoring data would also improve overall reporting quality and coherence.

264. The Project has also fulfilled quarterly data requests by the UNDP Indonesia Country Office to the MoEF through the Setditjen Gakkum, on the usage of the GEF Grant Budget.

### **Communications**

265. Internal communications among project personnel, as well as communications between project personnel and key stakeholders for project planning purposes, have generally been effective.

266. The NPM and NPD regularly discuss management issues through informal meetings and calls and the Project Director can be easily accessed for relevant advice/support. The DG of Law Enforcement of the MoEF is the gatekeeper of the Project's vision and regularly delegates to the NPD who closely coordinates with him on issues of strategic importance. However, more regular updates from the IP on all activities funded by project to all stakeholders are required to enable the work to be monitored and assessed as it progresses rather than when it is completed, so that changes and adjustments can be made if necessary.

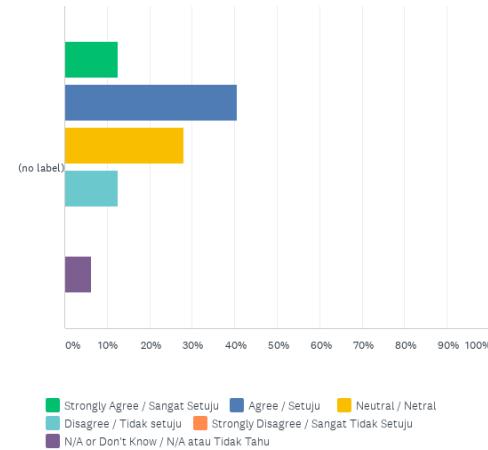
267. There is no rigid hierarchy observed which is typical to other projects in the region. Project personnel feel comfortable and are free to escalate issues and there is a great rapport along the communication chain from the RTA to the UNDP Indonesia Country Office to the PMU, through both formal and informal channels. This is a recipe for success.

268. The project has engaged in a robust program for external communications, including the production of high-quality informational materials (e.g., pocketbooks, videos, comic books and campaigns) intended for dissemination to stakeholders and this should be encouraged to continue for the remainder of the Project to ensure sustainability of results. The points noted above should be reflected in the CIWT's forthcoming communication strategy, which should also consider elements of Knowledge Management.

*"WE MUST USE THE MICROGRANT PRODUCTS MORE  
WITHIN THE MINISTRY AND WITHIN OUR COMMUNICATION"*

**- INTERVIEWEE RESPONSE ON COMMUNICATION**

269. However, one of the fallouts from the closure of the microgrant agreements is that communication with key stakeholders instrumental to the Project's success per its design has tapered off. Re-engagement of the 4 main NGOs (and others) is necessary to realize the collaborative vision of the CIWT project and deeper cooperation on IWT issues by leveraging the assets of all entities to their full potential.

**Figure 23. Question 26 Regarding Communication and Status Updates**

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.50% 4	40.63% 13	28.13% 9	12.50% 4	0.00% 0	6.25% 2	32	2.43

## D. Sustainability

### *Analysis of Sustainability*

Sustainability	Rating
	Moderately Likely

270. Of necessity, any discussion of sustainability must consider the risks which form barriers to achieving the intended project result, and which could thus prevent the benefits of the project from being sustained in the future. For the PA financing project, risks which could affect sustainability can be grouped into the following categories: (i) financial risks; (ii) institutional and governance risks; (iii) socio-economic risks; and (iv) environmental risks. This section discusses these various risks, attempting to identify those which pose the greatest threat.

271. Given the below risks to sustainability, it is essential for the project to start developing an exit strategy early, that puts forward options for sustaining and building on successful project outcomes. Guidance from the Project Board and support from the UNDP Indonesia Country Office, will also be critical for developing the exit strategy. Sustainability is also likely to be enhanced by extending the project implementation period by up to six months to make up for the delays outside the Project's control and to allow the project to generate additional results. This will also allow it to implement any course corrections and other changes arising from this MTR more effectively. These are reflected in the recommendations in Section IV below.

272. The NASTRA is seen as the biggest enabler of the CIWT project and conduit to its overall sustainability and therefore, from this lens the Project is rated as Moderately Likely (ML).

### Financial Sustainability

273. The main risk to sustainability is financial. The project is building momentum through the additional project funding and interviewees recognize the additionality that GEF brings to the table to realize global environmental benefits; however, this momentum could stall if a sustainable level of funding is not forthcoming post project. The project is exploring several channels to increase the sustainable funding for activities by way of attaching these to specific budget lines within the MoEF and by developing a short-term action plan for the next year, where activities will be fully mainstreamed into the day-to-day operations of Gakkum. Government commitment and ownership is seen as the lynch pin and rests on the Government's immediate action to secure this, prior to project completion, to ensure continuity and upscaling of current efforts. The COVID-19 pandemic and the redirection of national budget to support local livelihoods is a sobering reminder that nothing is certain.

274. Sustainable sources of finance to continue and scale up successful project interventions at the landscape level at key ports, particularly those which are major trading hubs and exit points for wildlife trafficking, are paramount. Without additional financing and capacity, it will be difficult to address the range of threats faced at the landscape level, underscoring the need to accelerate work on Outcome 3.

275. Financial sustainability will ultimately depend on ownership of the Project's entire scope (not just the NASTRA) by the MoEF and the value it sees in continuing to fund ongoing initiatives. The Project recognizes that funding has enabled it to start tackling IWT at a faster rate, a number of activities covered by its existing/regular budget lines. It is *not* clear at this juncture if there will be sufficient Government budget after the project for upscaling as this area has yet to take off; transition / exit planning has not gained momentum.

### Institutional and Governance Sustainability

276. It is clear that both UNDP and the MoEF fully appreciate and are deeply committed to tackling IWT issues head on, are sympathetic to the damage these cause to key biodiversity (and economic opportunities) in Indonesia, and are dedicated to stamping out both the criminal elements and socio-economic factors that contribute to them. While commitment to IWT is a precursor to ownership of and commitment to the CIWT project, the evolution of the project and the prioritization of certain activities over others, suggest it is certainly not a given.

277. Institutional and governance risks to sustainability are considered to be low. Institutional sustainability is enabled through the NASTRA which is the government's long-term vision and roadmap for combatting the illegal wildlife trade. Commitment towards addressing IWT issues by the IP is very strong and is likely to endure post-Project since the NASTRA has a longer-term time horizon (2021-2025) and government personnel have noted that the NASTRA is being refined during this initial phase to inform subsequent iterations. However, the MTR has noted that while there is exceptionally strong ownership for the NASTRA and core issues of the IWT, this does not necessarily translate to ownership of the GEF-financed CIWT project. In fact, on multiple occasions during the MTR, the NASTRA was confused for and was referred to interchangeably for the Project itself. Given the differences in time horizons there is a risk that key activities will not be adequately addressed during the Project's lifecycle. The Project must also not lose sight of the criticality of closing gaps and loopholes within key pieces of legislation and policy within its lifetime.

278. Once the NASTRA is refined and updated through the CIWT project, it is expected to become the government's long-term blueprint to tackle illegal wildlife trade and should be monitored closely. Consequently, collaborative governance becomes an important feature in the execution of the NASTRA and CIWT strategic plan but is largely dependent on determining the level of key ministries and stakeholders when approved. The key will be to ensure that key objectives from the NASTRA are absorbed into the organizational targets and KPIs of those ministries and departments that will eventually be responsible for its implementation, including Gakkum.

279. Chances of institutional sustainability can be improved through the aggressive pursuit of MoUs with the WCU and other law enforcement agencies in the region, as well as nurturing a strong role for ASEAN-WEN through demonstrated leadership.

#### Socio-Economic Sustainability

280. Community support for conservation at the landscape level can only thrive when there is sufficient investment, the right site-specific incentives, and strong government support. A key question for project partners to consider is whether it may be more cost-effective to allocate additional resources to community engagement (either directly or indirectly by engaging CSOs), although this would need to be carefully planned and monitored to ensure that meaningful results can be achieved before the project ends.

281. From a socio-economic perspective, ensuring that local communities with few readily available livelihood options are not overtly or inadvertently drawn into the illegal trade of wild animals via "push" and "pull" factors will require sustained effort through a combination of direct investment and heightened awareness.

282. There is an opportunity for the project to test strategies for overcoming these risks in the Project demonstration areas that should not be taken for granted, for example by strengthening local ownership of key outcomes and by embracing the innovative aspects per the Project's original design.

#### Environmental Risks to Sustainability

283. The project is reducing environmental risks overall by seeking to maintain biodiversity, natural habitats and ecosystem services by reducing incidence of poaching and by increasing enforcement at key PAs and ports of entry that are known gateways for illegal wildlife trade. There are always climate-related risks to individual PAs potentially further threatening flagship species, but these are negligible in the short-term. Climate-change could however be a medium- to long-term risk as it can cause more widespread and cascading ecological impacts through disruption of ecosystem services; thereby putting pressure on community livelihoods and increasing the propensity to take up illegal poaching activities.

284. The above-mentioned risk factors are significant and threaten the sustainability of the core project objective and outcomes, especially with respect to realizing the aggressive target of reducing the volume of unsustainable trade of key biodiversity species in Indonesia, East and South-East Asia within the next three years. However, the project has achieved success in other important areas, which will likely continue in the future. This is especially true in the area of building knowledge, skills and capacity among Gakkum personnel, its operations at the subnational level, within other law

enforcement entities and the broader public. Institutional capacity development is likely to continue post-project given the institutionalization of new training courses and e-learning modules on the MoEF's platform. Over time and with sustained effort, such benefits may create a multiplier effect to help create new synergies and "spill over" into the national consciousness to support achievement of the originally intended outcomes.

## IV. LESSONS LEARNED, RECOMMENDATIONS, AND CONCLUSION

### A. Lessons Learned

285. Through a careful review of the progress made thus far under the UNDP-GEF CIWT project, numerous useful lessons can be gleaned. A few of the most significant lessons learned are briefly presented here.

286. The MTR finds the following lessons generated from the review of the documents and consultations with the project stakeholders:

**Lesson 1 - NGOs / CSOs can contribute immensely to law enforcement and ought to be considered strong partners in IWT efforts:** The MTR assessment surfaced the tremendous value and innovation demonstrated by NGOs / CSOs that one would not normally associate with the dismantling of illegal wildlife trade. The results from the microgrants have clearly demonstrated they have a strong role to play in the Project and should be leveraged to their full capacity. From SOPs on animal handling, DNA forensics, recommendations on how to leverage anti-money laundering legislation to the coordinating role on the NASTRA, to name just a few, NGOs bring a lot to the table and are an essential piece to the law enforcement puzzle.

**Lesson 2 - When it comes to tackling IWT, the sum is greater than its parts:** Criminal syndicates have an uncanny ability to evolve, exploit weaknesses, leverage technology effectively to operate under cover and stay ahead of the curve to avoid detection. For this reason, efforts to combat the unsustainable and illegal trade of wildlife are only as strong as the weakest link. Collaboration and cooperation is not just key, but indispensable and an "all hands on deck" strategy is required to pool together the assets, services and intelligence that different actors bring from their own unique lens.

**Lesson 3 - If you build it, will they come?:** The Project has proposed a number of ICT products that are forthcoming, including (i) an android and IOS based mobile protected species application to assist law enforcement agencies in the field such as forest rangers, customs, police, and coast guards in wildlife identification; and (ii) a knowledge management system for e-learning. To ensure uptake and business continuity any new system ought to be accompanied by a change management plan, as well as accompanying documentation of new proposed business processes to support transition.

**Lesson 4 - Campaigns have limited shelf life and need to be refreshed and sustained over time to be effective:** The MTR has highlighted the power of social marketing and the power of electronic and social media towards changing perceptions of the general public and policy makers who are consumers of goods. Use of public figures is also an effective way for people to connect with an issue. With limited attention spans these days, awareness raising should continue throughout projects and be accompanied by a mechanism to gauge changes in opinion on key issues. Also, is it enough to focus campaigns at the domestic level or should the net be cast wider across the region?

## B. Recommendations

287. This section presents a series of recommendations that have emerged as a logical result of the analytical work conducted during this MTR. The identification of weaknesses or barriers occurring during implementation naturally leads to recommendations for measures to address those deficiencies. Similarly, the identification of actions where the project has performed strongly, leads to recommendations for continuing and broadening these actions. Because these recommendations come at project mid-term, this information provides a unique opportunity: it can be used as part of an adaptive management "feedback loop," to guide mid-course adjustments, which can ultimately strengthen the Project, resulting in a higher probability that the overarching project goal and objective will be achieved.

288. The recommendations which have evolved out of the MTR process, and which are presented in this report, are grouped into two categories: **corrective**, and **augmentative**. The corrective recommendations are those which are meant to provide a means for strengthening or putting back on track those aspects of the project which have shown deficiencies, or which have met persistent obstacles that have hampered successful implementation. The augmentative recommendations are those which are intended to expand upon, strengthen, or replicate project actions which have shown relative success thus far in achieving project results (or leading in that direction).

289. To summarize, the MTR has recommended **14 corrective** actions (of which 12 are High and 2 Medium Priority), and **10 augmentative** actions (of which 4 are High and 6 Medium Priority) actions to be considered by the CIWT project. Although over 20 actions are listed below, some will be relatively easy and quick to complete, while others are more complex and will require more time and resources.

### **Recommendations No. 1: Undertake a comprehensive, participatory and strategic review of the project design and Results Framework**

**Category: Project Design and Strategy / Type: Corrective / Priority: High / Responsible: PMU, IP, PB and UNDP Indonesia Country Office's Quality Assurance and Results (QARE) Unit**

290. Undertake a comprehensive, participatory and strategic review of the project design and Results Framework in order to adapt the project to changes in the implementation context, including:

- Reducing the overall scope of work
- Prioritizing interventions that are likely to have greatest sustainable impact by the end of the project as per outcomes of the Theory of Change workshop facilitated by the MTR consultant team;
- Paring down and ensure objective indicators are unique;
- Ensuring all indicators are SMART;
- Revisiting dependencies between outcomes, outputs and activities;
- Ensuring that project progress and impacts can be measured systematically and rolls up to the objective level;
- Take a Theory of Change approach to the prioritization of investments, including the consideration of the Rare behavioural dynamics approach raised during the ToC workshop;

- Systematically record all major changes to the original project design described in the Project Document and seek approval from the Project Board.

**Recommendations No. 2: Extend the timeframe of the Project by at least six months for operational contingency to account for time lost at the outset of the Project and disruption caused by the COVID-19 pandemic.**

**Category: Project Design and Strategy / Type: Augmentative / Priority: High / Responsible: UNDP-CO, RTA and GEF**

291. There are inherent opportunities to build on some of the successes already achieved. Also, some of the other recommendations being made as part of the project and this MTR that are critical for the success of the Project would require additional time (but still within remaining project budget), in order to implement them. Some key rationale for project extension include:

- Considerable time was needed to lay the ground work for the Project and agreeing on a shared vision;
- Engaging microgrant partners required more time;
- COVID-19 has delayed the implementation of Outcome 3 activities which have yet to ramp up operations;
- Remediation activities such as review of the Results Framework;
- New project activities recommended as part of the Project and the MTR;
- Time to pass key legislation and policies so they can be leveraged by other stakeholders in the Project.

**Recommendations No. 3: Consider how to improve engagement of women in remaining Project activities improve chances of reaching gender beneficiary targets of 50%.**

**Category: Project Design and Strategy / Type: Augmentative / Priority: High / Responsible: PMU and IP**

292. Gender issues can and should become a highlight if the CIWT Project is packaged properly. Gender issues in CIWT and the women ranger activities are rare and this will resonate well with the public and for the GEF. Mainstreaming gender is constrained by the fact that law enforcement is male dominated and the strongly paternalistic cultures of the rural communities in the landscape level are slow to penetrate. The project needs to train all its stakeholders on gender to promote understanding and therefore begin to mainstream it.

293. To begin, the Project should review and internalize how, and the extent to which relevant gender issues were raised in the project design as per Table 17 herein.

**Recommendation No. 4: Strengthen Communication and Coordination, and Leverage Synergies Between Microgrant Initiatives**

**Category: Project Design and Strategy / Type: Corrective / Priority: High / Responsible: PMU and IP**

294. The Project has produced many strong products, but thought will need to be put into how these ought to be combined - in the context of the Project scope - to accelerate contribution to realizing objective.

295. The Project should dedicate resources in developing a plan (perhaps in the forthcoming communication / knowledge management strategy), on how the individual products and services developed to date will be scaled and integrated into remaining activities (including SOPs, guidelines for using anti-money laundering regime, economic assessment, etc.) to achieve a multiplier effect.

**Recommendation No. 5: Continue High-Level Engagement For Greater Buy-In and More Effective Implementation of the Legislative and Policy Aspects of the Project**

**Category: Outcome 1 / Type: Corrective / Priority: High / Responsible: PMU, IP and PB**

296. Changes in legislation and policies are at the heart of the Project and underpin many of the indicators related to closing gaps and loopholes related to sentences, fines and species lists for combatting IWT. To ensure that policies, plans, and proposals for more effective efforts, it is essential to have the commitment and support of key decision-makers at the highest level of government. In order to achieve this, it is recommended that ongoing engagement with ministers and other top officials be maintained, and where possible, strengthened.

297. The Project should also aggressively pursue both direct measures (Plan A) and indirect multi-door measures (Plan B) in parallel to change legislation and policies targeted in the Project Document.

**Recommendation No. 6: Clear Traceability Mapping of the NASTRA to the CIWT Project's Outputs and Activities**

**Category: Outcome 1 / Type: Corrective / Priority: High / Responsible: PMU and IP**

298. Given some of the confusion which has emerged between the Project scope and that of the NASTRA, the following actions should be taken to ensure traceability between them:

**Step 1:** Develop and map the NASTRA's forthcoming action plan to the CIWT project's outputs and activities. The mapping may not be one to one;

**Step 2:** Highlight commonalities and associated progress by the Project;

**Step 3:** Identify items that are not in common (either unique to NASTRA or to the Project) and articulate / document the status;

**Step 4:** If there are actions in the NASTRA that are not part of the Project scope but can be undertaken with minimal disruption to the Project, following existing governance processes, and assuming no additional funding required from the Project, schedule for delivery in concert with the Project's ongoing activities. Also, if there are items in the Project's scope not covered in the NASTRA, it should either be amended or the IP should acknowledge and commit to its delivery within the remaining timeframe;

**Step 5:** Monitor the project's critical path closely to proactively address issues (people, process, technology, governance).

**Figure 24. Traceability Mapping Steps**

<b>1.</b>	<b>Mapping</b>	Map <u>Nastra's</u> action plan to CIWT project's outputs and activities ( <i>The mapping may not be one to one</i> )
<b>2.</b>	<b>Identifying Commonalities</b>	Highlight output/activity commonalities and determine associated project progress
<b>3.</b>	<b>Identifying Differences</b>	Identify items that are not common (either unique to <u>Nastra</u> or to the project) and determine associated timelines and ownership.
<b>4.</b>	<b>Change Management</b>	Identify <u>Nastra</u> actions that are not in project scope but can be undertaken with minimal disruption to the project schedule for delivery in concert with the project's ongoing activities, following the project's governance process .
<b>5.</b>	<b>Monitoring</b>	Monitor the project's causal pathway closely to proactively address issues

**Recommendation No. 7: Actively Seek Out Support for the NASTRA at the Highest Level in Government**

**Category: Outcome 1 / Type: Augmentative / Priority: Medium / Responsible: IP**

299. Once the traceability mapping is complete in Recommendation 6, the MoEF should seek either a Ministerial or Presidential Decree (or both) for the NASTRA. This will give it more clout and improve the likelihood of transformation change required in the Project.

**Recommendation No. 8: Right-Sizing of Products for the Target Audience**

**Category: Outcome 1 / Type: Corrective / Priority: High / Responsible: PMU and IP**

300. Knowing one's target audience and how they might or prefer to consume materials is key. The Project should consider producing a pocketbook of the Economic Assessment that is digestible by the judiciary and prosecutors, articulating how it should be leveraged in combination with legislation.

**Recommendation No. 9: Phased Software Rollout Versus Big Bang**

**Category: Outcome 2 / Type: Augmentative / Priority: Medium / Responsible: PMU and IP**

301. Ultimately, many organizations choose a phased approach to software deployments because it allows them to identify and fix smaller, more incremental system issues. This is better than discovering a major issue when you're already live. It also helps with adapting to the business

context and to glean early indicators of how the software is being used in combination with other tools and processes.

302. The Project should consider a phased roll-out for the IOS / Android application as opposed to a big-bang deployment. Deployment of the mobile application should be accompanied by a change management strategy and amendments to existing SOPs / business processes.

#### **Recommendation No. 10: Improve Communications and Knowledge Sharing**

**Category: Outcome 2 / Type: Corrective / Priority: Medium / Responsible: PMU and IP**

303. There is a need to accelerate finalization of the Project's communication strategy (with inclusion of results from both national and regional KAP survey), which should also include a framework for the Project's Knowledge Management strategy under Outcome 4.

#### **Recommendation No. 11: More Targeted Communications and Campaigns to Extend Early Project Successes**

**Category: Outcome 2 / Type: Augmentative / Priority: Medium / Responsible: PMU and IP**

304. To improve communications and knowledge sharing between organizations working on IWT issues, explore synergies and work towards solving common challenges by pooling the assets of all organizations. This may warrant the re-engagement of microgrant NGOs for addition campaigns (targeting myriad media outlets and tools) to improve sustainability and a greater focus on the IWT demand.

#### **Recommendation No. 12: Adopt a One Health Approach to IWT**

**Category: Outcome 2 / Type: Augmentative / Priority: Medium / Responsible: PMU and IP**

305. The COVID-19 pandemic has catapulted the human-wildlife nexus in the public consciousness and therefore, can be an opportunity to look at IWT from a health and zoonoses perspective. One Health, is an approach to designing and implementing programmes, policies, legislation and research in which multiple sectors communicate and work together to achieve better public health outcomes.

306. As such, the Project should adopt and integrate a multi-sectoral One Health approach into future communication and campaign efforts. This should also extend to the composition of the Project Board and inclusion of other relevant line ministries such as Health.

#### **Recommendation No. 13: Aggressively Pursue Collaboration with National & Regional Law Enforcement Entities**

**Category: Outcome 2 / Type: Corrective / Priority: High / Responsible: IP**

307. The Project was intended to enhance regional collaborations between Government of Indonesia law enforcement agencies and other Southeast Asian nations (especially Vietnam, a prime destination for Indonesia's wildlife) and international bodies (such as INTERPOL).

308. The Project must accelerate work on forging MoUs with law enforcement in China, Thailand, Malaysia and Singapore, as well as formalize closer cooperation with the WCU per the Project's Design. These are the innovative themes that contributed to the Project's approval and should not be ignored in the second half of implementation. Scaling-up this innovative approach has huge potential and resonance to serve as a model for other countries in the region.

309. If forging MoUs are problematic given the time remaining and limited action these sometimes bring, it is also recommended for the Project in parallel to leverage, strengthen where possible and work through existing international IWT collaborations such as ASEAN-WEN to promote greater integration among law enforcement agencies.

**Recommendation No. 14: Expedite a Decision on Operational Modalities for Outcome 3**

**Category: Outcome 3 / Type: Corrective / Priority: High / Responsible: PMU and IP**

310. Initiation of Outcome 3 activities are contingent on operational modalities being in place to facilitate coordination. The PMU is neither able to, nor the right entity to direct law enforcement agencies at ports of entry. A decision on the coordination mechanism(s) and operational modalities for the execution of activities in the field at the targeted ports and landscapes should be accelerated. Perhaps this warrants an extraordinary PB meeting.

**Recommendation No. 15: Demonstrate Stronger Leadership on Knowledge Management by Adopting an Active Approach, as Opposed to Passively Waiting for Yearly GWP Conferences**

**Category: Outcome 4 / Type: Augmentative / Priority: High / Responsible: PMU, UNDP-CO and RTA**

311. There is broad agreement that yearly GWP conferences are an important mechanism of knowledge transfer and dissemination of best practice. Due to limitations in Project budget, only one resource has attended each year which is not commensurate with the penetration required on the core issues.

312. As such, the Project should consider taking a more active KM approach by requesting, through the RTA, a platform to report back to GWP twice annual regimented KM sessions to other GWP child projects (or those who would like to attend a conference call), on the Project's progress and tools available. In parallel, the Project should accelerate the planned Knowledge Management repository (i.e.: MS Teams, SharePoint) and post all relevant materials that might be of interest to the global GWP community.

**Recommendation No. 16: Involvement of RTA in Annual Work Planning**

**Category: Project Implementation & Adaptive Management / Type: Corrective / Priority: High / Responsible: PMU, IP and RTA**

313. A gap that has been surfaced during the fact-finding stage, is that it would be good to also involve the RTA in the AWP process and afford them ample time to weigh in and provide guidance based on their knowledge of the portfolio prior to its submission for PB approval. One way to do this is to link planning to the Annual Spending Limit which is not annual instead of multi-year.

314. As such, Annual Work Planning should not be finalized or approved by the PB until the UNDP-GEF RTA has had an opportunity to comment and weigh in on proposed activities.

**Recommendation No. 17: Ongoing Tabulation of Co-Financing During Work Planning**

**Category: Project Implementation & Adaptive Management / Type: Corrective / Priority: High / Responsible: PMU, IP UNDP and WCS**

315. The MTR has noted that co-financing is not being factored into Annual Work Planning and has been calculated by the IP post-facto. No evidence was provided during the MTR that co-financing is taken into consideration on an ongoing basis.

316. Going forward, the Project must ensure that Annual Work Planning also considers and tabulates the amount of co-financing required against existing commitments. For the Terminal Evaluation, these should be tabulated and sent to the IP for validation as opposed to requesting a post-facto calculation as was done in the MTR.

**Recommendation No. 18: Initiate Twice Yearly Project Board Meetings**

**Category: Project Implementation & Adaptive Management / Type: Corrective / Priority: High / Responsible: PMU and IP**

317. Initiate Project Board meetings twice annually for the remainder of the Project, as per guidelines in the Project Document. The first should gauge and take stock of progress on the previous year's AWP and help remove barriers / obstacles to implementation, while the latter should approve the following year's AWP. Additional extraordinary sittings of the PB may be necessary as key issues and risk emerge, but these can be handled virtually or electronically.

**Recommendation No. 19: Expand CSO Partnerships and Re-Engagement of Microgrant Entities**

**Category: Project Implementation & Adaptive Management / Type: Corrective / Priority: High / Responsible: PMU and IP**

318. Closer collaboration with like-minded organizations is key to the Project and an overall metric of its success. The project should expand partnerships to include other relevant government ministries and institutions such as the Ministry of Health, as well as re-engage the four NGOs (and others) to execute remaining activities, especially in the context of Outcome 3 and to address greater community participation.

319. In addition, it is also recommended that the project undertake a rapid analysis of other stakeholder networks, to identify other potential partners to build potential long-term cooperative relationships for IWT beyond the project period. The stakeholder analysis can facilitate the identification of new knowledge and opportunities for (as well as barriers to) project sustainability.

**Recommendation No. 20: Adopt Workflow Automation**

**Category: Project Implementation & Adaptive Management / Type: Augmentative / Priority: Medium / Responsible: PMU and IP**

320. The MTR notes that delays have occurred due to archaic "paper-shuffling" and chasing physical signatures of either the NPD and DG of Law Enforcement. To maximize efficiencies and time, the Project should adopt a workflow automation tool (for example, the UNDP-CO already uses DocuSign) to expedite planning and approval of activities and to reduce delays. The Project must move away from paper-based signatures going forward to gain efficiencies.

### **Recommendation No. 21: Risk Review and Mitigation Measures**

**Category: Project Implementation & Adaptive Management / Type: Corrective / Priority: Medium / Responsible: PMU, IP and UNDP-CO**

321. The Project should revisit, update and consider the SESP risks identified during design, taking stock of the UNDP NCE-VF Desktop Safeguards Review for CIWT project conducted by the designated Safeguards Specialist. This is especially important in the context of re-activation of activities for Outcome 3 and closing identified gaps and shortcomings.

### **Recommendation No. 22: A Good Exit Strategy Needs to be Developed Early and Implemented**

**Category: Sustainability / Type: Corrective / Priority: High / Responsible: PMU, IP and UNDP-CO**

322. The Project must initiate work on an exit strategy / transition planning in consultation with the broader Project stakeholdership that identifies options for continuing and scaling key project results. It should consider procuring an experienced Organizational Change Management (OCM) consultant to ensure the exit strategy also includes a OCM plan (see Figure 25 for an indicative Change Management roadmap) to enhance chances of sustainability.

323. The exit plan should also entail the necessary hooks to Government budgets to ensure that there is not a dip in financial flows at the end of the Project which would stall momentum and undermine sustainability. This needs to be set up as soon as possible given the 36-month lead time for increasing / integrating new budget lines into the Government system.

**Figure 25. Sample Change Management Roadmap / Lifecycle**

Project Life Cycle	Kick-off	Initiation	Design	Pre-Implementation	Post-Implementation
Change Life Cycle	Awareness 	Desire 	Knowledge 	Ability 	Reinforcement 
Change Objectives	<ul style="list-style-type: none"> <li>State the Problem</li> <li>Discuss Options</li> <li>Reason to Change</li> </ul>	<ul style="list-style-type: none"> <li>Share Benefits</li> <li>Identify Risks</li> <li>Address Fears</li> </ul>	<ul style="list-style-type: none"> <li>Share Benefits</li> <li>Identify Risks</li> <li>Address Fears</li> </ul>	<ul style="list-style-type: none"> <li>Identify process changes/new skills</li> <li>Deliver training</li> <li>Assess retention</li> </ul>	<ul style="list-style-type: none"> <li>Collect feedback</li> <li>Diagnose gaps</li> <li>Implement collective actions</li> </ul>
Change Champions & Agents	<ul style="list-style-type: none"> <li>Program Sponsor</li> <li>Business Owner</li> </ul>	<ul style="list-style-type: none"> <li>Program Sponsor</li> <li>Business Owner</li> <li>Dept. Managers</li> </ul>	<ul style="list-style-type: none"> <li>Business Owner</li> <li>Dept. Managers</li> <li>Team Supervisors</li> </ul>	<ul style="list-style-type: none"> <li>Program Sponsor</li> <li>Business Owner</li> <li>Dept. Managers</li> <li>Team Supervisors</li> </ul>	<ul style="list-style-type: none"> <li>Dept. Managers</li> <li>Team Supervisors</li> </ul>
Change Tactics	<ul style="list-style-type: none"> <li>Sponsor messages</li> <li>Managers' conversations</li> <li>General employee communications</li> <li>Employee survey to baseline input re current process/roles</li> </ul>	<ul style="list-style-type: none"> <li>Active/visible sponsor</li> <li>Strong sponsorship coalition</li> <li>Personal engagement by coaches</li> <li>Proactive management of resistance</li> <li>Strong employee involvement in creating the needed solution</li> <li>Incentive programs aligned with the change</li> </ul>	<ul style="list-style-type: none"> <li>Formal training programs</li> <li>Job aides</li> <li>One-on-one coaching</li> <li>User groups and forums</li> <li>Troubleshooting guidance</li> </ul>	<ul style="list-style-type: none"> <li>Direct involvement of coaches</li> <li>Access to subject matter experts</li> <li>Performance monitoring</li> <li>Hands-on practice during training</li> <li>Availability of expert resources to help employees</li> </ul>	<ul style="list-style-type: none"> <li>Public performance scoreboards that show compliance to new process</li> <li>Direct Supervisor Feedback</li> <li>Visible recognition by senior level sponsors</li> <li>Celebrations for employees</li> <li>Compensation and appraisal systems designed to support the change</li> </ul>
Employee Target Behaviour	I can describe what the transformation is	I can explain how things will be different, when changes will take place, what it means to me and the organization	I agree this will work and am taking steps to get more involved in integrating changes into our business	I agree the change fits within our strategy and will integrate changes through execution to make this business as usual	I am thinking about how our new ways of working in our business can improve our bottom line and I am sharing ways to make it even better

**Recommendation No. 23: More Frequent Project Updates and Communication****Category: Sustainability / Type: Augmentative / Priority: High / Responsible: PMU**

324. It is recommended that specific mechanisms for providing regular status updates and to foster engagement of decision-makers and NGOs should be adopted by the project. These might include (among others): participation in regular meetings and communications with identified officials; continuing advocacy initiatives; convening of special high-level 'round tables' to improve knowledge and awareness of high-level decision-makers about project activities and about conservation initiatives in general; and where appropriate, awareness-raising field visits for top government officials. Promoting open dialogue and feedback will be instrumental for effectiveness and would enhance efficiency.

325. It is also recommended that the PMU starts introducing regular monthly updates (these can be recorded and circulated to those who could not attend) to all stakeholders engaged to date, to instill collective ownership and responsibility towards sustainability and elevation of Project's impact beyond its conclusion.

**Recommendation No. 24: Terminal Evaluation to Include a Gender and Community Specialist****Category: Sustainability / Type: Augmentative / Priority: Medium / Responsible: UNDP-CO**

326. Given the importance of and the heavy gender component in the Project, and the need to mainstream both gender and community considerations across outcomes to achieve aggressive beneficiary targets and 2030 Agenda, the Terminal Evaluation team should also comprise a gender and community expert to ensure adequate coverage of this issue, currently not well-represented in the MTR consultants' core expertise.

**C. Conclusion**

327. By its nature, and according to the requirements defined in the ToR, this midterm review has followed a rigorous and exhaustive process to gather and analyse extensive data, in order to obtain fact-based evidence that is credible, reliable and useful for the purposes of the review. Through this process, a detailed, objective, and accurate view of the project progress to-date has been obtained.

328. The overall conclusion of the MTR is that the hallmarks of a foundational Project and the enabling conditions for success are largely in place. Strong successes have been registered, particularly in the areas of improved data management and intelligence capabilities within Gakkum's operations, development of a foundational long-term blueprint for IWT that will endure long after the Project, top rate communications efforts leveraging myriad tools, training and capacity-building using synchronous and asynchronous methods, and to a lesser extent, enhanced threat reduction efforts to flagship species through an aggressive regime of joint patrolling within a relatively short time period. A number of promising community participation models are also in their infancy that if nurtured carefully, will be a boon for scaling and replication efforts. These are all things the Project should be proud of thanks to an experienced, passionate and flexible PMU that showed remarkable tenacity, persistence and adaptive management in the face of unprecedented setbacks.

329. Examining the areas in which the project has been relatively successful and contrasting those with the aspects where the project has been weak, it soon becomes apparent that the project has had the most success in its efforts on Outcome 2, while progress at the higher legislative and policy level has been more muted, albeit in a better position going forward with the NASTRA now drafted.

330. The project strategy is still highly relevant and well-aligned with national policy and both the former and current CPD. The project thus is driven by strong national needs. While combatting IWT issues has strong country ownership, this has not necessarily always translated to ownership of the Project itself. At present the project is only partly on track to achieve its planned results and significantly shift the baseline situation in Indonesia. Implementation to date has shown that the project strategy needs to be further adapted to give greater attention to priority legislation and ensuring the levers to increase fines and sentences translate to law enforcement agencies, prosecutors and the judiciary being able to apply them successfully, in order to tip the scales back in the favour of biodiversity and flagship species. There is also a need to prioritize joint efforts and collaboration with target countries such as China, Vietnam, Malaysia, Thailand and Singapore, as well as accelerating efforts at key ports and at the landscape level to ensure the Project's geographic and ecological coverage are met.

331. In terms of progress towards results, the Project is rated as **Moderately Satisfactory (MS)** at the objective level and for two of the four Project outcomes. Progress towards realizing Outcomes 1 and 3 has been rated as **Moderately Satisfactory (MS)**, while the remaining two outcomes - Outcomes 2 and 4 - are rated **Satisfactory (S)**. A number of activities have been assessed as 'not on track' because there is insufficient project monitoring data available against which they can be assessed, or because updates to the indicators are still in flight. This underscores the need to prioritize and improve the Results Framework and ensure it is collectively revised immediately following the MTR.

332. In terms of project implementation and adaptive management the project is rated as **Satisfactory (S)**. Areas requiring improvement include financial management, specifically, in terms of consciously tracking co-funding as part of regular Annual Work Planning. Also, the formulation of and monitoring of appropriate indicators, and strengthening regular communications between project partners are other areas that can be improved on. The CIWT project has demonstrated strong adaptive management throughout, for example by turning COVID-19 mobility restrictions into an opportunity by embracing asynchronous e-learning and by pursuing indirect measures to close gaps and loopholes in legislation.

333. The sustainability of the Project is rated as **Moderately Likely (ML)**. The main risk to sustainability is financial. The project is building momentum through the additional project funding and interviewees recognize the additionality that GEF brings to the table to realize global environmental benefits; however, this momentum could stall if a sustainable level of funding is not forthcoming post project.

<b>Table 20: Summary of MTR Ratings</b>	
<b>Measure</b>	<b>MTR Rating</b>
Project Strategy	N/A
Progress Towards Results	Objective Achievement: MODERATELY SATISFACTORY
	Outcome 1 MODERATELY SATISFACTORY
	Outcome 2 SATISFACTORY
	Outcome 3 MODERATELY SATISFACTORY
	Outcome 4: SATISFACTORY
Project Implementation & Adaptive Management	SATISFACTORY
Sustainability	MODERATELY LIKELY

334. The following more granular conclusions are also made:

- The Project's target is ambitious, especially in the revision of regulations for the wildlife conservation. There are several factors beyond the Project's immediate control and sphere of influence, especially the revised document that is included in the deliberations in Parliament (Commission IV). Nevertheless, the problem of strengthening law enforcement, especially related to increasing time in court, has received support from many parties, especially observers or practitioners of wildlife conservation;
- This Project has also encouraged efforts to improve law enforcement, especially court decisions through a multi-door approach including through tracking of money laundering and economic assessments, increased coordination with various key stakeholders, especially those related to the national and international wildlife trade and also support in improving intelligence and monitoring of IWT in target locations;
- An obstacle to the Project is a disconnect between midterm targets with predetermined indicators, strengthening and fostering coordination among stakeholders and task forces, especially those involving institutions outside the Ministry of Environment and Forestry (MoEF) and the closure of several partner initiatives that could have become the strength of this Project. However, more broadly, this project has been able to support the performance of the MoEF and assessed the human resources of the officials and key stakeholders, including local communities;
- The Project has also been able to build a coordination framework or bridge between Directorates within the Ministry of Environment and Forestry, especially the Directorate General of Gakkum and KSDAE, especially on information exchange, proliferation and use of the SMART Patrol system, informant management, capacity building for rangers and intelligence teams and increased partnerships with NGO partners who pay attention to monitoring, hunting, seizure and snare operations, handling of wildlife, seizure of various IWT species at airports and ports, operations at identified hot spots for IWT trade transactions;
- In terms of partnerships with NGOs, these have been short-lived but have created significant value, especially the implementation of the SMART patrol system with local communities, handling confiscated animals within the scope of animal rescue centers, the use of K-9 units which is a significant innovation, tools in improving the performance of law enforcement agencies including the police, customs and quarantine agencies. These initiatives, implemented independently from the MoEF, strongly support the strengthening of CIWT, such as the exchange of information through cyber tracking, strengthening of multidoor aspects including money laundering and campaign initiatives for local communities involving religious institutions, millennials and schools;

- This project has not yet taken into account the strengthening of court institutions and lawyers. In fact, MoEF and a network of NGOs had previously built and developed a network of environmental lawyers, prosecutors and judges who have environmental concerns. At the time, they were given training on wildlife knowledge and legal regulations, but this initiative was interrupted. So, there is an opportunity for this Project to fill that void and re-strengthen the network that was once in place. The purpose of developing this network is to increase the awareness of lawyers, prosecutors and judges to provide maximum demands and decisions on perpetrators, including involving regulations related to multidoor initiatives and economic valuation;
- A local livelihood and community approach has been considered in this project, but the scale is still limited. However, the selection of target locations has been through a study involving NGO partners. The involvement of the local community is also relatively broad, namely in the scope of species monitoring, species handling, enhancing alternative livelihood systems and human wildlife conflict mitigation;
- This project has taken gender involvement into account. Several women have been involved in the preparation of the NASTRA, economic valuation, IWT monitoring training including cybercrime and mapping and providing communication technology, patrol techniques, economic improvement and HWC. An initiative that stands out is the women ranger group at Bogani Nani Wartabone National Park.

## LIST OF ANNEXES:

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- ANNEX B:** MTR Kick-off PowerPoint Slides
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## ANNEX A: TERMS OF REFERENCE

### BASIC CONTRACT INFORMATION

**Location:** Indonesia

**Application Deadline:** 23:59 PM GMT +7 on 09 October 2020

**Type of Contract:** Individual Contract

**Post Level:** International Consultant

**Languages Required:** English (Knowledge of Bahasa Indonesia would be an asset)

**Starting Date:** March 2021

**Duration of Initial Contract:** 35 working days

**Expected Duration of Assignment:** March 2021 – April 2021

### BACKGROUND

#### A. Project Title

**Combatting illegal and unsustainable trade in endangered species in Indonesia**

#### B. Project Description

This is the Terms of Reference (ToR) for -the Midterm Review (MTR) of the full-sized UNDP-supported GEF-financed project titled *Combatting illegal and unsustainable trade in endangered species in Indonesia* (PIMS-5391) implemented through the Directorate General of Law Enforcement on Environment and Forestry Ministry of Environment and Forestry which is to be undertaken in 7 years. The project started on the 12 November 2017 and is in its third year of implementation. 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%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_EN_2014.pdf)).

The development challenge that the project seeks to address concerns the devastating impact of unsustainable and illegal wildlife trade (IWT) on wildlife populations in Indonesia and SE Asia. The value of the illegal trade in Indonesia alone is estimated at up to US\$ 1 billion per year. Factoring in the unsustainable legal trade, the value rockets, representing an enormous economic, environmental, and social loss. This trade has already caused the decline and local extinction of many species across SE Asia. Much of the trade is highly organized, benefits a relatively small criminal fraternity, whilst depriving developing economies of billions of dollars in lost revenues and development opportunities.

Within SE Asia, a significant amount of this trade starts from Indonesia, one of the world's top 10 'megadiverse' countries and the largest supplier of wildlife products in Asia, both 'legal' and illegal. The IWT and associated bushmeat trade are an immediate threat to the existence of key endangered species such as the Sumatran and Javan Rhinoceros, Sumatran Tiger, Asian Elephant and Sunda Pangolin amongst a wide range of less prominent species. Indonesia is also becoming an important transit point for IWT from Africa to East Asia, such as African Ivory. The consequence of the unsustainable trade is a massive threat to globally important wildlife.

The project aims to remove the barriers to accomplishing the long term solution to this challenge, namely to conserve key wildlife species in Indonesia, by ensuring that the legal wildlife trade is

ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country.

The Project Objective is to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia. The four outcomes of the project are:

**Outcome 1:** Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.

**Outcome 2:** Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.

**Outcome 3:** Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.

**Outcome 4:** Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.

This project is part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention For Sustainable Development which is led by the World Bank.

The total allocated resources for this project is US \$ USD 6,988,853. In addition, in-kind Parallel Funding is US \$ 51,937,595 from the Government of Indonesia and NGO partners. Directorate General of Law Enforcement on Environment and Forestry under the Ministry of Environment and Forestry is the Implementing Partner for the project.

As of 30 August 2020, there were 172,053 confirmed cases of Covid-19 in Indonesia, of which 7,343 were fatalities and 124,185 persons recovered. Covid-19 has spread in 34 provinces and 487 regencies/cities across Indonesia. Some regions implemented large social restrictions to prevent Covid-19 pandemics. Covid-19 pandemics have affected the implementation of the project. Based on the assessment, some works can continue on-schedule, while some are deferred and likely to delay and some may need readjustment to adapt to the new normal.

### **C. MTR Purpose**

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 and its risks to sustainability.

The MTR will also look at any project interventions that have contributed directly or indirectly to government's effort of COVID-19 recovery both at the national level and project sites.

### **DUTIES AND RESPONSIBILITIES**

#### **D. MTR Approach & Methodology**

The MTR report 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 Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, 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 Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Directorate General of Law Enforcement on Environment and Forestry Ministry of Environment and Forestry; National Project Director (NPD) CIWT Project; Directorate of Forest Protection Ministry of Environment and Forestry; Directorate of Biodiversity Conservation Ministry of Environment and Forestry; GEF Operational Focal Point of Indonesia; Head of BBKSDA North Sumatera, Head of BBKSDA Riau; Head of Balai Gakkum Sumatera; Head of Balai Gakkum Sulawesi; Head of Gunung Leuser National Park; Head of BKSDA North Sumatera, Head of Bogani Nani Wartabone National Park; 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 may require conducting field missions to Surabaya, East Java; Pekanbaru, Riau; Kotamobagu, North Sulawesi; Manado, North Sulawesi.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since 03/2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the MTR mission then the MTR team should develop a methodology that takes this into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires.

International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

If all or part of the MTR is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final MTR report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. Equally, qualified and

independent national consultants can be hired to undertake the MTR and interviews in country as long as it is safe to do so.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. Considering the COVID-19 situation, the MTR team should consider flexibility in using technologies and tools to effectively engage stakeholder virtually. The MTR team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report. The final methodological approach including interview schedule, field visits and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

The final MTR report must 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.

## **E. 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.

### **1. 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.
  - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?

#### **Results Framework/Logframe:**

- 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 catalyze 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 sex-disaggregated indicators and indicators that capture development benefits.

## 2. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in 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 the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red);
- Compare and analyze the GEF Tracking Tool/Core Indicators 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.

## 3. 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.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

### 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 cost-effectiveness 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 by the Commissioning Unit and project team, provide commentary on co-financing: 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?
- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file)

**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?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines.

**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?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

**Social and Environmental Standards (Safeguards)**

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  - The project's overall safeguards risk categorization.
  - The identified types of risks3 (in the SESP).
  - The individual risk ratings (in the SESP) .

- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESPs submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESPs template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

### **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 & Knowledge Management**

- 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.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

### **4. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register 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 consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. 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. The MTR consultant/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 the ToR Annexes for the Rating Table and ratings scales.

#### **F. Expected Outputs and Deliverables**

The MTR team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: **March 2021**
- Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: **March 2021**
- Draft MTR Report: MTR team submits the draft full report with annexes within 3 weeks of the MTR mission. Completion date: **March 2021**
- Final Report\*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Completion date: **April 2021**

\*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.

#### **G. Institutional 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 and will provide an updated stakeholder list with contact details (phone and email). 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.

#### **H. Duration of the Work**

The total duration of the MTR will be approximately 35 of days over a period of 5 weeks starting March 2021 and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- 09 October 2020: Application closes
- February 2021: Selection of MTR Team
- February 2021: Prep the MTR Team (handover of project documents)
- March 2021 02 days (r: 2-4): Document review and preparing MTR Inception Report
- March 2021, 03 days: Finalization and Validation of MTR Inception Report- latest start of MTR mission
- March 2021 14 days (r: 7-15): MTR mission: online stakeholder meetings, online interviews
- March 2021: Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- March 2021 05 days (r: 5-10): Preparing draft report
- March 2021 01 day (r: 1-2): Incorporating audit trail on draft report/Finalization of MTR report
- March 2021: Preparation & Issue of Management Response
- April 2021: (optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
- April 2021: Expected date of full MTR completion The date start of contract is 26 February 2021.

#### **I. Duty Station**

- a) The contractor's duty station will be home-based with possibility of travel to Jakarta, Aceh Province, Riau Province, East Java Province and North Sulawesi Province during field visit to project sites, subject to the approval from RR or Head of Unit.
- b) The consultant is working on the output-based, thus no necessity to report or present regularly

#### **Travel:**

- International travel may require to Indonesia during the MTR mission, if the travel is permitted; The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: <https://training.dss.un.org/courses/login/index.php>
- These training modules at this secure internet site is accessible to Consultants, which allows for registration with private email.
- Individual Consultants are responsible for ensuring they have vaccinations / inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents (travel expense facilitated by CIWT project).

#### **REQUIRED SKILLS AND EXPERIENCE**

### **J. Qualifications of the Successful Applicants**

A team of two independent consultants will conduct the MTR - one International Consultant as team leader and one National Consultant as technical expert. The team leader will be responsible for the overall design and writing of the MTR report. The team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the MTR itinerary. The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Indonesia. If the international travel restriction continues and, in-country mission is not possible, the MTR team will use alternative means of interviewing stakeholders and data collection (i.e. Skype interview, mobile questionnaires, etc.) including the field visit by the National Consultant under the International Consultant's guidance.

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. The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

- a) Responsive/compliant/acceptable, and
- b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

\* Technical Criteria weight; 70%

\* Financial Criteria weight; 30%

Only candidates obtaining a minimum of 70 point would be considered for the Financial Evaluation

#### **Education**

A Master's degree in forestry, biodiversity studies, wildlife management or other closely related field.

#### **Experience**

- Master with more 10 years of professional experience in forestry management, biodiversity, wildlife management and others related field.
- Relevant experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- in adaptive management, as applied to Illegal Wildlife Trade/Biodiversity;
- Experience in evaluating projects;
- Experience working in Asia Pacific;
- Experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and Illegal Wildlife Trade/Biodiversity; experience in gender sensitive evaluation and analysis.
- Experience with implementing evaluations remotely will be considered an asset.
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset.

#### **Language**

- Fluency in written and spoken English.
- Knowledge of Bahasa would be an asset.

## K. Ethics

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

## L. Schedule of Payments

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and of completed TE Audit Trail Criteria for issuing the final payment of 40%
- The final MTR report includes all requirements outlined in the MTR ToR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

## APPLICATION PROCESS

### M. Recommended Presentation of Offer

- a) **Letter of Confirmation of Interest and Availability** using the [template4](#) provided by UNDP;
- b) **CV and a Personal History Form (P11 form5);**
- c) **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)
- 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 to the address UNDP Indonesia Procurement Unit Menara Thamrin 7-9th Floor Jl. MH Thamrin Kav. 3 Jakarta 10250 in a sealed envelope indicating the following reference:

"Consultant for Combatting illegal and unsustainable trade in endangered species in Indonesia Midterm Review" or by email at the following address ONLY: ([bids.id@undp.org](mailto:bids.id@undp.org)) by **(23:59 PM GMT +7 on 09 October 2020)**. Incomplete applications will be excluded from further consideration.

## N. Criteria for Selection of the Best Offer

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.

### **O. Annexes to the MTR ToR**

Annexes include: (reference ToR Annexes in Annex 3 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

- List of documents to be reviewed by the MTR Team
- Guidelines on Contents for the Midterm Review Report
- Midterm Review Evaluative Matrix Template
- UNEG Code of Conduct for Evaluators/Midterm Review Consultants
- MTR Required Ratings Table and Ratings Scales
- MTR Report Clearance Form
- Audit Trail Template
- Progress Towards Results Matrix
- GEF Co-Financing Template (in Word)

## **ANNEX B: MTR KICK-OFF POWERPOINT SLIDES**



# *Midterm Review of the UNDP-Supported GEF-Financed Project*

**Date:** 4 March 2021

**Team Leader:** Camillo Ponziani

**Technical Expert:** Wishnu Sukmantoro



Name : Dr. Wishnu Sukmantoro

Age : 47 years old

Education :

1. Postgraduate, Bogor Institute of Agriculture, Bogor (Phd.) on 2013 – 2018
2. Master degree, Bandung Institute of Technology, Bandung on 2000 – 2002
3. Undergraduate, Padjadjaran University, Bandung, on 1992 – 1998

#### **Employment Histories**

1. Wetland International Indonesia, as volunteer and part time researcher for peatland ecosystem, waterbird and the white wing-ducks assessment in Java and Sumatra on 1994 – 1998.
2. Yamashina Institute of Japan and Padjadjaran University, as volunteer of bird banding on 1994 – 1997.
3. Wildlife Conservation Society, as researcher for Sumatran Elephant on 2000 – 2002.
4. Conservation International Indonesia, Orangutan and habitat conservation in and surrounding Tanjung Puting NP, Kalimantan on 2002 – 2004
5. Asian Raptor Research and Conservation Networking, as project coordinator of migratory raptor census on 2001 – 2006.
6. PILI – NGO Movement, Project Manager/Deputy Director on 2004 – 2009.
7. WWF Indonesia, Project manager/Elephant specialist on 2009 – 2018.
8. Indonesia elephant association, project manager of Borneo Elephant conservation funded by TFCA and for Sumatran elephant conservation in Riau funded by Chevron pacific Indonesia on 2018 – 2020.
9. UNDP, WWF Indonesia, IUCN SSC Asian Elephant Specialist group, as member and consultant for TIGER, E\_PASS, CONSERVE initiative (covering in Sumatra, Sulawesi and Moyo Island), Kinabatangan (Sabah) and MECAP Project (Myanmar) on 2018 until now.
10. Forest and Wildlife Society, Vice Chairman for CARE – WildElephant on Aceh and South Sumatra on 2020 – now.
11. Rimba Satwa Foundation, Project Manager for elephant conservation and agroforest in reducing HEC funded by Chevron Pacific Indonesia, Hutama Karya and still initiate with WeForest and Arthur Foundation.

# Today's Agenda

Slide	Topic
3	Objectives
4-8	Evaluation Scope & Context
9-11	Purpose of M&E
12-18	Criticality of the MTR
19-20	Timeline & Key Milestones

# Today's Objectives

1. To briefly introduce the review team;
2. To articulate the scope and context of the Midterm Review (MTR) within the GEF;
3. To note the MTR approach, methodology and tools that will be leveraged;
4. To highlight importance and criticality of “use” within evaluations;
5. To underscore the importance of the MTR;
6. To give a sense of the timelines and key milestones of the MTR.

## Evaluation Scope & Context

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# Evaluation Context

- *Duration of the Midterm Review:*

- The MTR is being conducted three years following the Inception Workshop held 6-7 March 2018 and kick-off of formal operations;
- The MTR started 26 February (Inception and Planning) and is expected to be completed by the end of April. As per GEF guidelines the final evaluation report should be submitted alongside the 3<sup>rd</sup> PIR due in June;
- The MTR is being conducted by a team of two consultants; a Team Leader (International Consultant) and Technical Expert (National Consultant) who will be jointly responsible for the execution of activities to fulfill the scope of the review.

- *Approach:*

- The approach for the evaluation of the CIWT project is determined mainly by:
  - The Terms of Reference;
  - UNDP-GEF Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects;
  - Recently revised UNDP-GEF Monitoring and Evaluation Policy and results will also be evaluated according to OECD / DAC criteria of Relevance, Effectiveness, Efficiency, Sustainability and Impact.

# Evaluation Context (*continued*)

- *Approach (continued):*

- The MTR will be carried out with the aim of providing a systematic, **evidence-based** and comprehensive review of the performance of the project thus far by assessing its strategy and design, processes of implementation and achievements relative to its core objectives;
- The analysis will evaluate different facets of the project, including its design and formulation (including the Strategic Results Framework); progress towards results (realization of key performance indicators); implementation (including management arrangements, work planning, finance, M&E, reporting, KM and the involvement of stakeholders in the project's processes and activities); and different dimensions of sustainability (financial, socio-economic, institutional and environmental risks);
- Will be carried out following a participatory and consultative approach ensuring close engagement with government counterparts, UNDP Country Office, Project Coordination Unit, and other key civil society stakeholders.

- *Special Areas of Focus:*

- There are **four** additional areas in which the MTR will hone its efforts: (i) extent to which recommendations from the PIRs are being built into the project; (ii) extent to which gender and social considerations are being reflected in activities; (iii) the GEF additionality (is GEF investment really needed to achieve the outcomes), and; (iv) extent to which COVID-19 has impacted the project and how has it adapted.

# Evaluation Context (*continued*)

- *Tools to be Leveraged:*

- ❑ Desk review of documentation;
  - ❑ Virtual interviews;
  - ❑ Direct observation / participation in project meetings;
  - ❑ Online Questionnaire (to be decided).

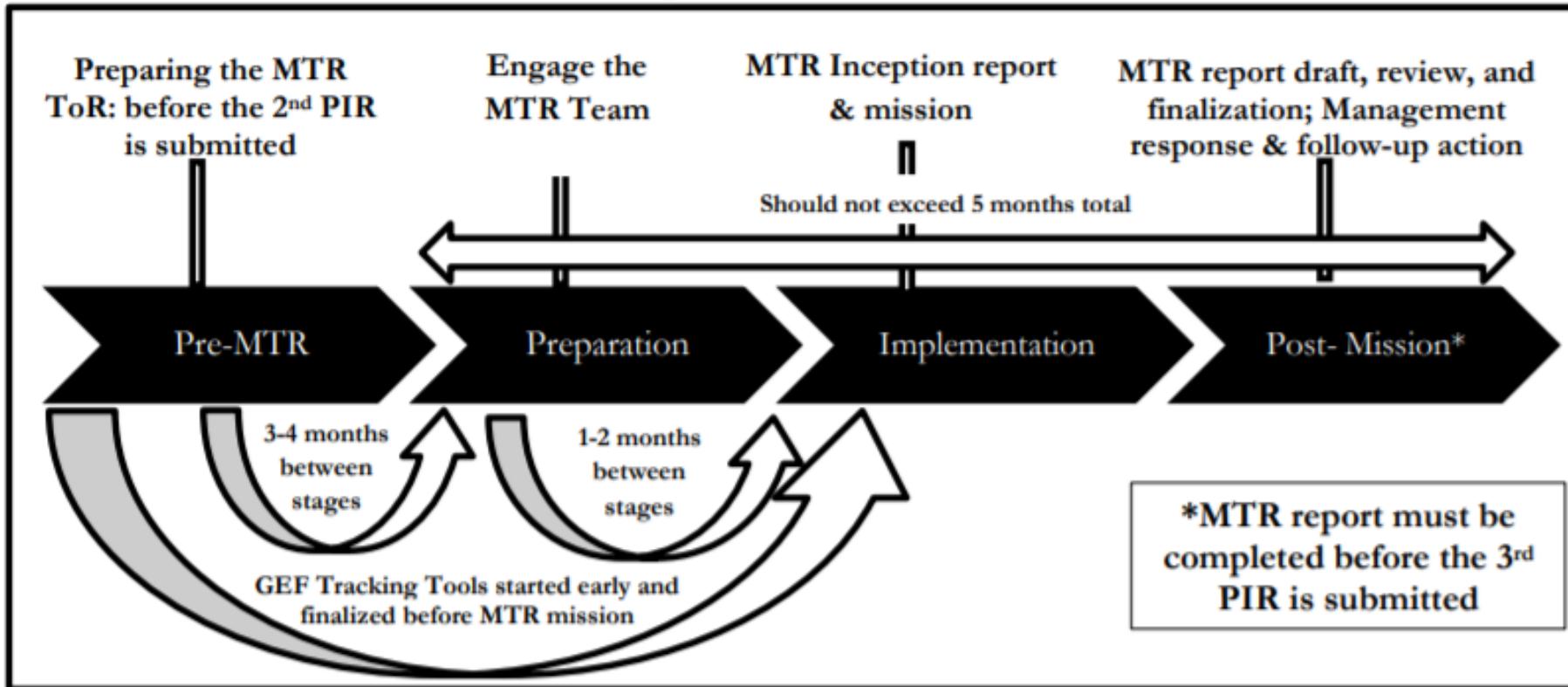
- *Deliverables:*

- ❑ Inception Report
  - ❑ PowerPoint of Preliminary Observations,
  - ❑ Draft Evaluation Report
  - ❑ Final Evaluation Report + Audit Trail.

- *Limitations:*

- ❑ MTR is being conducted entirely in a virtual environment and without field visits as originally intended.

# MTR Phases



## Purpose of M&E

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# Monitoring and Evaluation in the GEF

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## Two overarching objectives:

- Promote **accountability** for the achievement of GEF objectives through the assessment of *results, effectiveness, processes, and performance* of the partners involved in GEF activities.
- Promote **learning, feedback, and knowledge sharing** on results and lessons learned among the GEF and its partners as a basis for decision making on policies, strategies, program management, programs, and projects; and to improve **knowledge and performance**.



# Why Does “Use” Matter?

- Evaluations are not just about producing reports;
- Evaluation is done for and with a specific audience in mind and intended primary users;
- It utilizes stakeholder inputs to suggest improvements in a programme, or help make decisions about future programmes;
- Ultimately, it should facilitate decision making amongst the people who will use its findings.



## Criticality of the MTR

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# The Importance of the Midterm Review

UNDP-GEF Regional Technical Advisers often say to project teams:

*“The Terminal Evaluation is important for the GEF to see what was achieved for their investment.*

*The Midterm Review is important for you – and for UNDP – because if performance is poor, we can still turn things around.”*

# What makes the MTR different from other M&E requirements?

- Independent and holistic assessment;
- Gives a fresh, unbiased view of the project;
- Identifies gaps and potential areas for improvement;
- Produces actionable, realistic, results-oriented and concrete recommendations;
- Completed when the project still has time to recover and improve;
- Presents a learning opportunity for all involved.

# Who benefits from the MTR and how?

- All stakeholders – it could be the difference between make-or-break;
- The project team – MTR as a learning exercise for improving performance and achieving results;
- The Government – providing specific policy guidance, promoting efficiency and informing decision-making;
- The project partners – rethinking their role and contribution to project results;
- The GEF agency – as a tool for institutional learning and identification of needed solutions.

# How can the MTR catalyze change in a project?

- Reviewing project design/assumptions in light of changed circumstances and adjusting design accordingly;
- Inspiring the project team and partners through recognition of the project's relevance;
- Proposing concrete and actionable recommendations;
- Outlining how those recommended changes have the potential to improve the project's results.

# What questions should you expect from the Consultants?

- Are there signs of advances towards the outcomes?
- What progress does the midterm GEF Tracking Tool show?
- What challenges are causing delays?
- What has changed in the context?
- Is the project still relevant?
- Are there new opportunities?
- How can the challenges be overcome?
- Is it feasible to complete with the remaining resources and the existing context?
- Are activities being delivered in the most efficient way possible?

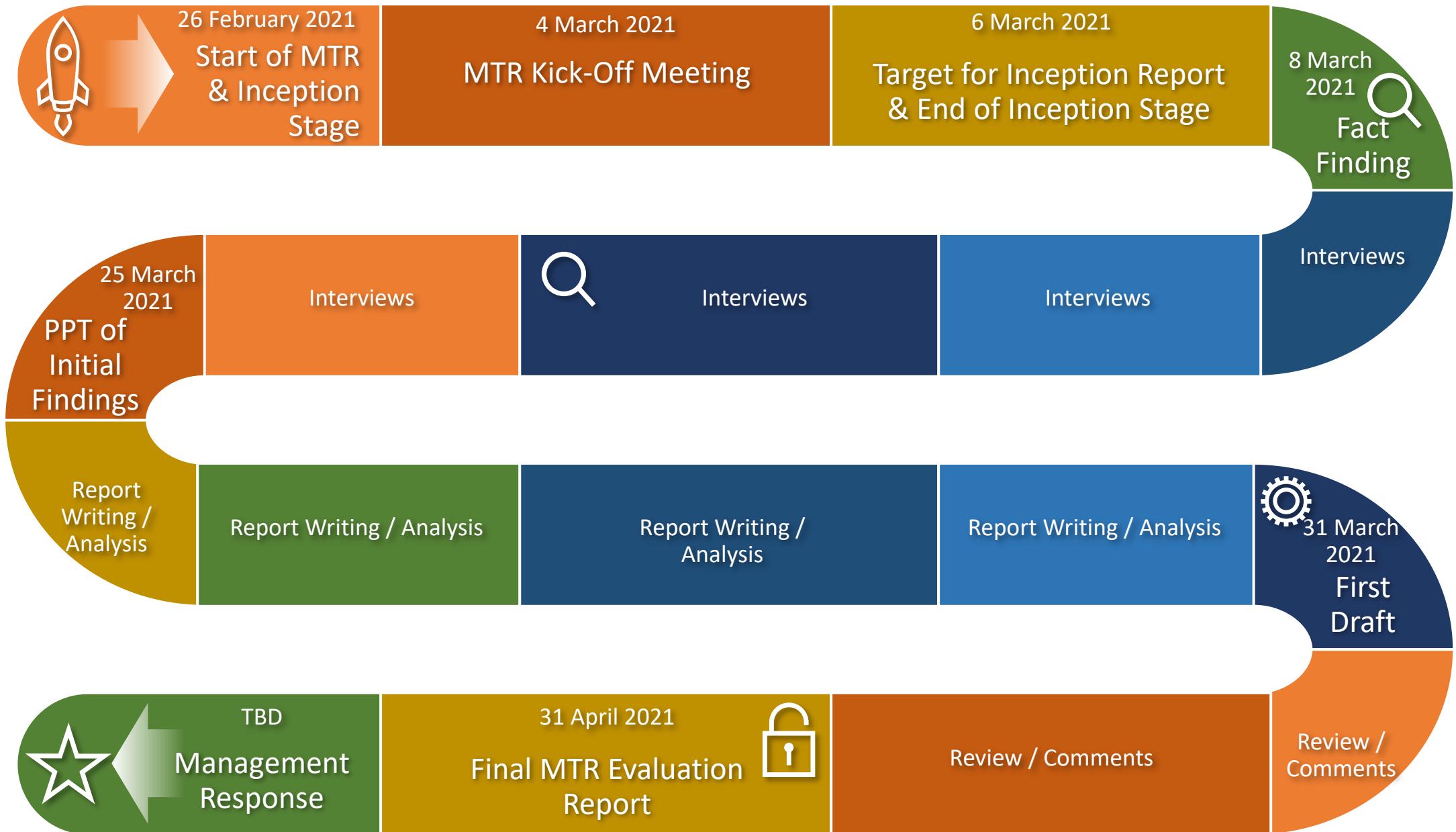
## Beyond the scope the CIWT project, how can MTR reports be used?

- **Learning:** to reveal trends across a portfolio from which overarching lessons can be extracted and change thereby promoted;
- **Results:** to summarize mid-point results, which can be aggregated at the portfolio level;
- **Knowledge:** to advance our understanding of the hurdles faced by projects during implementation.

## Timeline & Key Milestones

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**Thank You!**



## ANNEX C: INCEPTION REPORT



## Midterm Review Inception Report

*UNDP-Supported GEF-Financed  
Full Size Project:  
“Combating Illegal and Unsustainable Trade  
in Endangered Species in Indonesia”*

PIMS# 5391

**Evaluation Team:**

Camillo Ponziani  
Team Leader  
Email: camillo\_ponziani@yahoo.ca

Wishnu Sukmantoro  
Technical Expert  
Email: wishnubio74@gmail.com

Version: 2.0  
Date: 13 March 2021

**Inception Report**  
*Midterm Review CIWT Project*

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**This Document is Confidential &  
Not For Distribution**

This document presents an initial outline of the proposed approach, methodologies and work plan for the assignment, and is intended for discussion purposes only and to inform subsequent phases of the Midterm Review of the UNDP-GEF Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia (CIWT) Project.

When finalized, this document will be used as an input to guide both the fact-finding stage and draft/final evaluation report(s).

**Inception Report**  
*Midterm Review CIWT Project*

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## Document Sign-off

This Inception Report, version 1.0, dated 8 March 2021, for the UNDP-Supported GEF-Financed Full Size Project "**Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia**" has been reviewed and approved by the following signatories.

Signoffs:

<b>Name:</b> Muhammad Yayat Afianto Monitoring and Reporting Officer	<hr style="width: 100px; vertical-align: middle;"/> <i>Dated</i> <hr style="width: 100px; vertical-align: middle;"/> (dd-mm-yyyy)
<b>Name:</b> Achmad Pribadi National Project Manager	<hr style="width: 100px; vertical-align: middle;"/> <i>Dated</i> <hr style="width: 100px; vertical-align: middle;"/> (dd-mm-yyyy)

Contact Information:

If you wish to discuss this document, please contact:

**Name:** Camillo Ponziani  
**Role:** Lead Evaluator  
**Location:** Toronto, Canada  
**Phone Number:** +1 647 389 6944  
**Email:** camillo\_ponziani@yahoo.ca

**Inception Report**  
*Midterm Review CIWT Project*

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## Document Revision History

Document Version Number	Version Release Date	Summary of Changes	Changed By
1.0	8 March 2021	First Draft	Camillo Ponziani
2.0	13 March 2021	Final Draft	Camillo Ponziani

**Inception Report**  
*Midterm Review CIWT Project*

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## Reference Documents for Inception Report

Number	Document Name
1	5391_Indonesia-Wildlife Trade GEF-6 PIF FINAL.pdf
2	PIMS 5391_IWT Indonesia_Prodoc_Final_signed 17Nov17.pdf
3	2019-GEF-PIR-PIMS5391-GEFID9150.pdf
4	2020-GEF-PIR-PIMS5391-GEFID9150.pdf
5	5391 INCEPTION REPORT IWT ver-3 TD-YA-April 2019-clean
6	PAR 2020_S2_00094636 WEF IWT.pdf

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### I. Consolidated List of Project Acronyms

AGO	AGO Attorney General's Office
APR/PIR	APR/PIR Annual Project Review/ Project Implementation Reports
ASEAN-WEN	ASEAN-WEN Association of South East Asian Nations – Wildlife Enforcement Network
AWG-CITES WE	AWG-CITES WE ASEAN Working Group on CITES and Wildlife Enforcement
BAPPEDA	BAPPEDA Badan Perencanaan Pembangunan Daerah (Regional Development Planning Agency)
BAPPENAS	BAPPENAS Badan Perencanaan Pembangunan Nasional (National Development Planning Agency)
BKSDA	BKSDA Natural Resources Conservation Agency
BPPS	Bureau for Policy and Programme Support
CBD	Convention on Biological Diversity
CBO	Community Based Organization
CID	Criminal Investigation Division (of the Indonesian National Police)
CITES	Convention on International Trade in Endangered Species
CMS	Convention on the Conservation of Migratory Species of Wild Animals
CO	Country Office
COSS	Country Office Support Services
CPAP	Country Programme Action Plan
CSO	Civil Society Organization – used interchangeably with local NGO
DG	Directorate General
Dishut	Dinas Kehutanan (Forestry Agency)
EOP	End of Project
ERC	Evaluation Resource Center (of UNDP Evaluation Office)
E-PASS	UNDP/GEF project - Enhancing the Protected Area System in Sulawesi
FFI	Fauna & Flora International
FGD	Focus Group Discussion
FPIC	Free Prior and Informed Consent
FSP	Full Sized Project
Gakkum	Directorate General of Law Enforcement on Environment and Forestry (MoEF)
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
Gol	Government of Indonesia
GTI	Global Tiger Initiative
GWP	Global Wildlife Program
Ha	Hectare
HWC	Human wildlife conflict
IBSAP	Indonesian Biodiversity Strategy and Action Plan
ICCWC	International Consortium on Combatting Wildlife Crime
ICITAP	International Criminal Investigative Training Program (US Department of Justice)
IDR	Indonesian Rupiah
INGO	International Non-Governmental Organization
INP	Indonesian National Police
IUCN	International Union for Conservation of Nature (World Conservation Union)
IUU	Illegal, Unreported and Unregulated
IP	Implementing Partner
IPB	Institut Pertanian Bogor
IW	(Project) Inception Workshop

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IWT	Illegal wildlife trade
JAAN	Jakarta Animal Aid Network
KSDAE	Directorate of Conservation of Natural Resources and Ecosystems
KPK	Komisi Pemberantasan Korupsi (Corruption Eradication Commission)
KUHAP	Indonesian Code of Criminal Procedures
LIPI	Indonesian Institute of Science (CITES scientific authority)
LoA	Letter of Agreement
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MMAF	Ministry of Marine Affairs and Fisheries
MoEF	Ministry of Environment and Forestry
MoHA	Ministry of Home Affairs
MoU	Memorandum of Understanding
MTR	Mid-Term Review
NGO	Non-Governmental Organization (used interchangeably with CSO)
NIM	National Implementation Modality
NP	National Park
NPD	National Project Director
NTRP	National Tiger Recovery Plan
OPDAT	Overseas Prosecutorial Development, Assistance and Training (US Dept of Justice)
PA	Protected Area
PAC	Project Appraisal Committee
PB	Project Board
PIF	Project Identification Form (for GEF)
PIMS	Project Information Management System
PIR	GEF Project Implementation Report
PIU	Project Implementation Unit
PM	Project Manager
PMC	Project Management Cost
PMU	Project Management Unit
POLAIR	Directorate of Coast and Sea Guarding Police
POPP	Programme and Operation Policies and Procedures
PortMATE	Port Monitoring & Anti-Trafficking Evaluation tool
PPATK	Pusat Pelaporan dan Analisis Transaksi Keuangan (Indonesian Financial Transaction Reports and Analysis Centre)
PPG	Project Preparation Grant (for GEF)
PPH	Pencegahan dan Pengamanan Hutan (Forest Protection and Surveillance)
PPNS	Penyidik Pegawai Negeri Sipil (Civil Service Investigator)
PPR	Project Progress Report
PusDikLat	Pusat Pendidikan dan Pelatihan (Training and Education Centre)
RBM	Resort Based Management (for National Parks)
RF	Results Framework
RP	Responsible Party
RTA	Regional Technical Advisor (of UNDP)
SA WEN	Southern Africa Wildlife Enforcement Network
SATKER	Satuan Kerja
SESP	UNDP Social and Environmental Screening Procedure
SMART	Spatial Monitoring and Reporting Tool (patrolling and reporting system)
SPORC	Satuan Polhut Reaksi Cepat (Rapid Response Forest Police Unit)
STAP	GEF Scientific Technical Advisory Panel
TE	Terminal Evaluation
TOR	Terms of Reference

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TRACE	Tools and Resources for Applied Conservation and Enforcement – Wildlife Forensics Network
UN	United Nations
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
UNPDF	United Nations Partnership for Development Framework
UNDP	United Nations Development Programme
UNDP-CO	UNDP Country Office
UNEP	United Nations Environment Programme
UNOCD	United Nations Office on Drugs and Crime
UPT	Unit Pelaksanaan Teknis (Technical Implementation Unit)
US\$	United States Dollar
USAID	US Agency for International Development
USAID-ARREST	Asia's Regional Response to Endangered Species Trafficking, 2010-2016
WCS	Wildlife Conservation Society
WCU	Wildlife Crimes Unit
WRU	Wildlife Response Unit
WT	Wildlife trade
WWF	World Wide Fund for Nature
YIARI	Yayasan Inisiasi Alam Rehabilitasi Indonesia

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## 1 Executive Summary

### 1.1 Core Project Information Table

1. The source of the information contained in tables 1 and 2 below is the official Project Document. Any deviation or changes therein, to any partners, participating stakeholders, implementation arrangements or to any financial contribution(s), will be articulated in the final Midterm Review (MTR) report in the relevant sections addressing both implementation arrangements and project financing during project execution.

<b>Table 1: Core Project Information</b>	
Title	Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia
Project Type	Full Size
GEF Period	GEF-6 (July 1, 2014 to June 30, 2018)
GEF Operational Program / Strategic Program	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)
Child Project Under GWP	Yes
Official Start	17 November 2017
Planned Duration	72 months
Planned Operational Closure Date	17 November 2023
Date(s) of Mid-Term Review	February to April 2021
<b>Project IDs</b>	
UNDP PIMS ID	5391
GEF ID	9150
Atlas Award ID	00094636
Atlas Project ID	00098732
<b>Regional and Countries Included in the Project</b>	
Region:	Asia and the Pacific
Country(ies)	Indonesia
<b>Executing and Implementing Agency</b>	
GEF Implementing Agency	UNDP
GEF Executing Agency	UNDP and assigned to the Ministry of Environment and Forestry (Directorate General of Law Enforcement on Environment and Forestry) through NIM arrangements
Executing Entity / Implementing Partner	Ministry of Environment and Forestry (Directorate General of Law Enforcement on Environment and Forestry)
Implementing Entities / Responsible Partner(s)	WCS, WWF, JAAN and YIARI (micro grant partners)
UNDP-GEF Technical Team	Ecosystems and Biodiversity

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### 1.2 Project Financial Table(s)

<b>Table 2: Project Financial Information</b>		
<b>Source of Financing</b>	<b>Amount at CEO Endorsement</b>	<b>Amount at MTR (April 2021)</b>
GEF Trust Fund	US\$ 6,988,853.00	US\$ TBD
<b>GEF Sub-Total</b>	<b>US\$ 6,988,853.00</b>	<b>US\$ TBD</b>
Government (in-kind)	US\$ 42,848,742.00	
NGO - Wildlife Conservation Society (in-kind)	US\$ 2,000,000.00	US\$ TBD
UNDP (in-kind)	US\$ 100,000.00	TBD
<b>Co-Financing Sub-Total</b>	<b>US\$ 44,948,742.00</b>	<b>US\$ TBD</b>
<b>Project Total Project Value</b>	<b>US\$ 51,937,595.00</b>	<b>US\$ TBD</b>

### 1.3 Country Context

2. The Republic of Indonesia - a diverse archipelago nation of more than 300 ethnic groups - is a large country in Southeast Asia that comprises more than 17,000 islands making it the largest archipelagic nation in the world with more than 95,000 km<sup>2</sup> of coastline. The islands of Indonesia include (parts of) the second (New Guinea), third (Borneo) and sixth (Sumatra) largest islands in the world; in addition to numerous smaller and larger islands. The total land area of Indonesia is 1,919,440 square kilometers with an average population density of 134 people per square kilometer making it the fourth most populous country in the world as per the most recent national census undertaken in 2020.<sup>1, 2</sup>
3. It is the largest economy in Southeast Asia, Indonesia and has charted impressive economic growth since overcoming the Asian financial crisis of the late 1990s. The Republic of Indonesia is the world's 10th largest economy in terms of purchasing power parity, and a member of the G-20. Furthermore, it has made enormous strides forward in poverty reduction, cutting the poverty rate by more than half since 1999, to 9.78% in 2020. Prior to the COVID-19 crisis, Indonesia was able to maintain a consistent economic growth, recently qualifying the country to reach the upper middle-income status.<sup>3</sup>

<sup>1</sup> "Hasil Sensus Penduduk 2020" Statistics Indonesia. 21 January 2021. p. 9. Archived from the original on 22 January 2021. Retrieved 21 January 2021.

<sup>2</sup> The population is, not evenly distributed with the island of Java having a population of 940 people per square kilometer while other areas, such as Kalimantan (Indonesian Borneo) and parts of Sulawesi, have densities below 50 people per square kilometer. In Irian Jaya (Indonesian New Guinea), the population density was only 6 people per square kilometer in 2000.

<sup>3</sup> World Bank Country Overview: <https://www.worldbank.org/en/country/indonesia/overview>

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#### 1.4 Environment Context and Macro Level Challenges

4. Due to its tropical setting and geological complexity, Indonesia is one of the most biologically diverse nations with very high levels of both terrestrial and marine diversity and a high level of endemism. Its insular character and complex geological history led to the evolution of a megadiverse fauna and flora on the global scale and Indonesia's biological diversity is among the richest in the world and is widely recognized as one of 17 mega-diversity countries on earth.
5. It is also home to 2 of the world's 25 "hotspots", has 18 World Wildlife Fund's "Global 200" ecoregions and 24 of Bird Life International's "Endemic Bird Areas". The country possesses 10% of the world's flowering species (estimated 25,000 flowering plants, 55% endemic) and ranks as one of the world's centers for agrobiodiversity of plant cultivars and domesticated livestock. For fauna diversity, about 12% of the world's mammals (515 species) occur in Indonesia, ranking it second, after Brazil, at the global level. About 16% of the world's reptiles (781 species) and 35 species of primate place Indonesia fourth in the world. Further, 17% of the total species of birds (1,592 species) and 270 species of amphibians place Indonesia in the fifth and sixth ranks, respectively, in the world.<sup>4</sup> Indonesia has 566 national parks covering 36,069,368.04 million ha which consist of 490 terrestrial protected areas (22,540,170.38 ha) and 76 marine protected areas (13,529,197.66 ha).
6. Unhappily, the country's transition to become a middle-income - and rapid rate of industrialization associated with it - has exerted various pressures on its biodiversity and resource endowments, leaving many species vulnerable; some even facing threats of extinction. The high population density of Indonesia combined with a rapid rate of growth pose a serious threat to its natural environment. Corruption and poverty, furthermore, combine to make it even more difficult to address this threat in an adequate fashion and have impeded attempts to protect and restore natural areas and species.
7. The most recognized factors affecting biodiversity loss and species extinction in Indonesia are habitat degradation and fragmentation, landscape changes, over-exploitation, pollution, climate change, alien species, forest and land fires, and the economic and political crises occurring in the country.
8. However, and perhaps the most insidious threat to the country's biodiversity is the illegal wildlife trade as southeast Asia plays an important source and gateway role. Illegal wildlife trafficking are complex multi-dimensional phenomenon, often resulting from the interplay of a multitude of factors and can involve a wide variety of state and non-state actors.
9. At the heart of the illegal wildlife trade are criminal networks that operate throughout the region using highly developed trade infrastructure and strong integration into the global economy. Organized criminal groups leverage loosely affiliated networks of familial ties, corrupt officials and intimidation of publicly registered companies to buy,

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<sup>4</sup> [Convention on Biological Diversity](http://www.cbd.int/countries/profile/?country=id). www.cbd.int/countries/profile/?country=id

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sell, poach and export illegal wildlife with lack of detection. They may use major airports and seaports as hubs for globally sourced illegal wildlife. The borders of countries with many islands such as Indonesia are difficult to monitor and control, which facilitates transit of both domestic and internationally sourced illegal wildlife and wildlife products.

10. To achieve an effective response and monitoring regime, monitoring needs to be addressed via a coordinated approach across the entire trade chain. The complexity inherent to illegal wildlife trafficking issues also makes it challenging for governments and international organizations, as well as the Multilateral Environmental Agreements to which they belong, to identify the gaps in, existing monitoring, legislative, administrative, enforcement and preventive systems<sup>5</sup>.

### ***1.5 Project Description***

11. Indonesia is home to numerous protected wildlife, Indonesia has long been recognized as one of the most significant origins of illegal wildlife trade, targeting tigers, sun bears, various primates, elephants, rhinos, helmeted hornbill, various birds in particular middle and eastern part of Indonesia, and pangolins. The value of the illegal trade in Indonesia alone is estimated at up to US\$ 1 billion per year but when one factors in the unsustainable legal trade of species, the value increases exponentially, representing an enormous economic, environmental, and social loss.
12. Combatting illegal wildlife trade in Indonesia is hindered by a lack of interest and poor collaboration between law enforcement agencies, lack of understanding regarding laws and enforcement procedures, and regulatory loopholes and inconsistencies that prevent successful prosecutions. For example, inside Indonesia the “domestic” trade and sale of African ivory and non-native tiger or rhino parts is legal. Regulatory reform is critical to address these issues. The underlying socio-economic factors contributing to these threats include population growth and poverty in rural and protected area boundary zones, which reduce the ability of local communities to practice sustainable agriculture and natural resource use. Productive job opportunities – which might provide local residents with an alternative source of livelihood – are limited, driving some to engage in illegal poaching activities.
13. The UNDP-supported and GEF-financed full-sized project entitled “Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia” or CIWT (PIMS 5391) is a six-year (72 months) project implemented by the Directorate General of Law Enforcement on Environment and Forestry, of the Ministry of Environment and Forestry, supported by UNDP. The project has a total budget of US\$ 51,937,595.00 comprised of US\$ 6,988,853.00 of GEF-financed support and US\$ 44,948,742.00 in co-financing from the Indonesian Government, Wildlife Conservation Society (WCS), and UNDP. The Project Document was signed on 17 November 2017 and the project has a planned operational closure date of 17 November 2023.

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<sup>5</sup> [Wildlife and Forest Crime Analytic Toolkit \(2012\). International Consortium on Combating Wildlife Crime. UNODC](#)

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14. The **objective** of the project is to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia. Interventions to achieve this objective are structured into three outcome / components.

**Outcome 1:** Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade. This component aims to enhance the legal and policy environment by creating subsidiary regulations and removing loopholes and inconsistencies that prevent enforcement of measures to combat IWT. Appropriate institutional frameworks will be put in place to ensure inter-agency coordination domestically and internationally. Information systems will be established for accurately tracking and sharing legal trade volumes and revenues, enforcement effectiveness, reliable intelligence on illegal trade and its impacts across sectors, and on the in-situ status of traded species. Economic valuation of IWT and the feasibility of a cost recovery system from regulation of wildlife trade will be assessed. The project will support establishment of the National Wildlife Crime Taskforce.

**Outcome 2:** Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels. Under this component, the project will support key law enforcement institutions to ensure that institutional capacity, including development of tools to support continued effective actions for combatting IWT. Increased capacity will be gauged using the ICCWC Indicator Framework related to wildlife trade control, increased rate of inspections, seizures, arrests and successful prosecution of wildlife crime cases. Increased and more effective enforcement cooperation between Indonesia and other key states (e.g. Vietnam and China) will be developed.

**Outcome 3:** Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems. This component will focus on scaling-up on-the-ground implementation of improved enforcement capacity and strategies supported under components 1 and 2, including the Wildlife Crime Unit (WCU) approach for two critically important IWT subnational demonstration regions – northern Sumatra centered on the Leuser ecosystem and northern Sulawesi centered on the Bogani Nani Wartabone ecosystem and their respective seaport and airport. The project will support coordinated intelligence analysis to determine wildlife trade chains across these regions, including source areas, markets and ports, joint enforcement operations, and community awareness raising, engagement in information networks, and livelihood support in source areas. The project will also support systematic assessment and capacity building for enforcement at five key wildlife trade ports.

**Outcome 4:** Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming. The fourth project component closely links with and underpins the other three, by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in

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Indonesia, and also globally through the GEF Global Wildlife Programme and other wildlife crime law enforcement networks.

15. Taken together, the project's package of interventions is designed to address and remove the key gaps to accomplishing the long-term solution to this challenge, namely to conserve key wildlife species in Indonesia and East and South East Asia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country. Specifically, the key barriers to be lifted are:
  - i. **weak policy and regulatory framework**, including inaequate legislation, policy and frameworks, as well as insufficient information and tools to understand, regulate and combat illegal wildlife trade;
  - ii. **suboptimal institutional capacity** for compliance monitoring and enforcement among police and customs agencies, made worse by inadequate coordination among key institutions;
  - iii. **insufficient incentives on the part of the state government to invest in PA management** due to the perception that they are foregoing revenue generation opportunities through other forms of land use; and
  - iv. **sub-optimal capacity** at the PA management agencies for site management and PA system management.
16. Left to continue, an uncoordinated response to illegal wildlife trade will undermine conservation for myriad vulnerable and threatened species, and put increasing pressure on biodiversity. A lack of inter-agency coordination, sub-optimal legislative framework and sub-optimal capacity will mean that threats will grow unabated, resulting in local declines and the increased likelihood of extinctions of key Indonesian wildlife species, including elephants, tigers and rhinos. Even biodiversity within the PA system will not be shielded from poaching to supply the domestic and international illegal wildlife trade. Illegal wildlife trade will continue to operate as organized crime, while legal wildlife trade will remain poorly regulated, raising few revenues for the state, and acting as a cover behind which illegal trade can flourish.

### 1.6 Global Wildlife Programme

17. One of the largest concerted efforts to conserve wildlife and combat IWT is the Global Wildlife Program (GWP) funded by the Global Environment Facility (GEF) which includes 32 countries across Africa, Asia, and Latin America. This US \$230 million investment includes funds from GEF's sixth and seventh replenishment cycles (GEF-6 and GEF-7) and leverages over \$1.2 billion of donor co-financing.
18. As a child project under the GWP, the CIWT project forms part of a foundational GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Programme Global Partnership on Wildlife Conservation and

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Crime Prevention For Sustainable Development, and will operate via tight coordination through the programme steering committee, facilitating coordinated knowledge management and cross-pollination of participating individual regional and national projects.

### *1.7 Purpose of the Midterm Review*

19. The MTR is being conducted three years following the Project's Inception Workshop held on March 06 & 07, 2018 in Century Park Hotel – Jakarta. It will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the [UNDP Evaluation Guidance](#), as well as [Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed projects](#).
20. The objective of the Mid Term Review is to assess:
  - progress towards the achievement of the project objectives and outcomes, as specified in the Project Document; and,
  - 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.
21. The MTR also reviews the project's strategy and the risks to its sustainability. In line with the United National Development Programme - Global Environment Facility (UNDP-GEF) Guidance on MTRs, this MTR was initiated before the submission of the third Project Implementation Report (PIR).
22. On 4 March 2021 a kick-off meeting was organized by the UNDP-CO in Indonesia and Project Coordination Unit staff, with broad participation from key CIWT project stakeholders and the MTR consulting team in order to align on expectations, key milestones and scope of the evaluation.

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## 2 Introduction

### 2.1 Purpose and Objectives of the Midterm Review

23. This document presents the inception report for the Midterm Review of the UNDP-GEF project "**Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia**" (hereafter called "**CIWT project**") containing a thorough review of the project context, approach and methodologies, the evaluation framework and a tentative evaluation schedule.
24. The MTR is being carried out in line with the UNDP/GEF "*Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*" (2014). In accordance with this guidance, the MTR assesses:
  - (i) the project's strategy;
  - (ii) the effectiveness of project implementation and adaptive management;
  - (iii) the risks to project sustainability; and
  - (iv) early signs of project success or failure, as an indication of progress made towards achieving the intended results.
25. The assessment to be carried out in this review will be based upon factual evidence which is credible, reliable and useful. Most importantly, the MTR will identify and recommend changes that may need to be made during the final implementation phase, in order to set the project on-track to achieve its intended results.
26. In line with the core goals of the GEF's updated monitoring policy to help the GEF to become more effective in its pursuit of global environmental benefit, the evaluation has the following two overarching objectives:
  - (i) To promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes, and performance of the partners involved in GEF-financed activities; GEF results are evaluated for their contribution to global environmental benefits;
  - (ii) To promote learning, feedback, and knowledge sharing on results and lessons learned among the GEF and its partners as a basis for decision making on projects, programs, program management, policies, and strategies; and to improve performance.<sup>6</sup>
27. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation (especially for any subsequent phases of the project or follow-up investments, if applicable).

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<sup>6</sup> <http://www.gefieo.org/sites/default/files/ieo/council-documents/files/c-56-me-02-Rev.01.pdf> (page 5)

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## 2.2 *Updates to GEF Evaluation Policy and Minimum Requirements*

28. In June 2019, the Global Environment Facility approved a [new evaluation policy](#) establishing new minimum requirements evaluations and benchmarks on how these assignments should be conducted, based on international good practice standards among organizations including global partnerships and multilateral development banks.<sup>7</sup> The main updates to the GEF Evaluation Policy include:

- Introducing the principle that evaluation in the GEF should apply a gender-responsive approach;
- Introducing the requirement that evaluations of GEF projects and programs should report on the GEF's additionality using the evaluative approach provided by the GEF IEO;
- Introducing the requirement that program evaluation should assess the coherence between program and "child project"<sup>8</sup> theories of change, indicators, and expected/achieved results;
- Establishing the principle that program evaluation should measure and demonstrate program value added over the same level of investment made through comparable alternatives;
- Introducing a requirement to collect (1) socio-economic co-benefits data, (2) sex-disaggregated and gender sensitive data, and (3) geographic coordinates of project sites whenever available/possible.

29. In this new policy, the GEF has also updated the following minimum requirements for an MTR to which the consulting team will adhere:

- The OFPs will be informed of midterm reviews and terminal evaluations and will, where applicable and feasible, be briefed and debriefed at the start and at the end of evaluation missions. They will receive a draft report for comment, will be invited to contribute to the management response (where applicable), and will receive the final evaluation report within 12 months of project or program completion;
- As per the updated GEF Policy on Cofinancing, Agencies provide information on the actual amounts, sources, and types of cofinancing and investment mobilized in their midterm reviews and terminal evaluations;
- The evaluation will assess at a minimum:
  - Achievement of outputs and outcomes, and provide ratings for targeted objectives and outcomes, for projects. For programs, aggregated results will be reported;
  - Likelihood of sustainability of outcomes at termination for projects and the overall program;
  - Whether Minimum Requirements 1 and 2 noted above were met;
  - An assessment of GEF additionality

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<sup>7</sup> [http://www.gefieo.org/sites/default/files/ieo/evaluations/files/gef-me-policy-2019\\_2.pdf](http://www.gefieo.org/sites/default/files/ieo/evaluations/files/gef-me-policy-2019_2.pdf)

<sup>8</sup> A child project is a project that forms part of a program, as set out in a program framework document. In other words, a program may have coherent set of interventions designed to attain specific global, regional, country, or sector objectives consisting of a variable number of child projects.

objectives, consisting of a variable number of child projects

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- An assessment of whether and how men and women are affected differently by changes to natural resource use and decision making resulting from GEF outcomes.

### 2.3 Guiding Principles

30. Evaluation in the GEF context is guided by internationally recognized principles. The principles below are internationally recognized professional standards that should be applied in all evaluations of GEF-financed activities:

- **Independence.** Evaluations must be conducted independently from both the policymaking process and from the delivery and management of assistance. Evaluation team members should not have been personally engaged in the activities to be evaluated or have been responsible in the past for the design, implementation, or supervision/midterm review of the project, program, or policy to be evaluated.
- **Credibility.** Evaluations must be credible and based on reliable data and observations. Evaluation reports should reflect consistency and dependability in data, findings, judgments, and lessons learned, with reference to the quality of the instruments, procedures, and analysis used to collect and interpret information.
- **Utility.** Evaluations must serve the information needs of intended users. Partners, evaluators, and units commissioning evaluations should endeavor to ensure that the work is well informed, relevant, and timely, and that it is clearly and concisely presented so as to be of maximum benefit to intended users. Evaluation reports should present the evidence, findings, issues, conclusions, and recommendations in a complete and balanced way. They should be both results- and action-oriented.
- **Impartiality.** Evaluations must give a comprehensive and balanced presentation of the strengths and weaknesses of the project, program, policy, strategy, or organizational unit being evaluated. The evaluation process should reflect impartiality at all stages and consider the views of all stakeholders. Units commissioning evaluations should endeavor to ensure that the selected evaluators are impartial and unbiased.
- **Transparency.** An essential feature at all stages of the evaluation process, transparency involves clear communication concerning decisions for the program of work and areas for evaluation, the purpose of the evaluation, the criteria applied, the evaluation approach and methods, and the intended use of the findings. Documentation related to evaluations must be freely available, easily accessible, and readable for transparency and legitimacy.
- **Integrity.** Evaluations must provide due regard to the welfare, beliefs, and customs of those involved or affected, avoiding or disclosing any conflict of interest. Evaluators must respect the right of institutions and individuals to provide information on the facts confidentially, as well as be sensitive to local contexts.
- **Participation.** GEF evaluations must be inclusive, so that the diverse perspectives and the values on which they are based as well as the types of power and consequences associated with each perspective are represented.
- **Gender equality.** Gender equality and women's empowerment is a strategic and operational imperative for the GEF. As a gender-responsive approach is applied

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throughout the GEF project cycle, it also applies to evaluations, as clearly stated in the 2017 GEF Policy on Gender Equality.

- **Competencies and capacities.** GEF evaluations require a range of expertise that may be technical, environmental, cultural, or within a social science or the evaluation profession. Units commissioning evaluations are responsible for selecting evaluators with sufficient experience and skills in the appropriate field/s, and for adopting a rigorous methodology for the assessment of results and performance. Evaluations of GEF activities shall make the best possible use of local expertise, both technical and evaluative.

## 2.4 Responsibilities and Deliverables as per TOR

31. As per the TORs (**Ref: Appendix A**), the scope of work for the assignment will include the following activities:

- Definition and division of workload between a Team Leader and Technical Expert to jointly execute and facilitate activities associated with the MTR to be articulated in this Inception Report.
- A thorough document review of relevant documents to be provided by UNDP Indonesia Country Office and Project Coordination UNIT, *inter alia*: PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, 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 Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.
- Consultation with partners and relevant stakeholders including but not limited to:
  - Directorate General of Law Enforcement on Environment and Forestry Ministry of Environment and Forestry;
  - National Project Director (NPD) CIWT Project;
  - Directorate of Forest Protection Ministry of Environment and Forestry;
  - Directorate of Biodiversity Conservation, Ministry of Environment and Forestry;
  - GEF Operational Focal Point of Indonesia;
  - **Head of BBKSDA North Sumatera\***;
  - **Head of BBKSDA Riau\***;
  - **Head of Balai Gakkum Sumatera\***;
  - **Head of Balai Gakkum Sulawesi\***;
  - **Head of Gunung Leuser National Park\***;
  - **Head of BKSDA Aceh\***;
  - **Head of Bogani Nani Wartabone National Park\*<sup>9</sup>**;
  - Relevant police and customs agencies and port management authorities;
  - Volunteer women investigators and rangers;
  - Executing agencies;

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<sup>9</sup> Given the limited time to conduct interview, the consultant will likely reduce the number of Interviewees on the positions marked with an asterix. Depending on availability the MTR consultant team will select approximately 4 out of the 7 Heads of regional offices as their answers and experiences will likely be similar in nature.

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- RTA (Regional Technical Advisor) UNDP
- Senior officials and task team/ component leaders;
- Key experts and consultants in the subject area;
- Project Board members;
- LIPI (Indonesian Science Agency)
- Academia;
- Local government, NGOs and CSOs, etc.
- Preparation and delivery of a PowerPoint presentation of preliminary observation and findings of the MTR.
- Assess the four categories of project progress based on the UNDP Guidelines for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects for requirements on ratings.
- Produce a draft MTR evaluation report in conjunction with the review team.
- Finalize and submit the final MTR report to the UNDP-CO in Indonesia.

### 2.5 Midterm Review Team Composition and Institutional Reporting Arrangements

32. The Midterm Review will be undertaken by a team consisting of a Team Leader and a Technical Expert. Since the MTR evaluation team share identical milestones in the TORs, they will be jointly responsible for the development, research, drafting and finalization of the Evaluation Report, in close consultation with the UNDP-CO in Indonesia. Roles and responsibilities related to data collection and analysis and reporting are reflected below. The Team Leader will leverage the respective strengths of the Technical Expert during the fact-finding stage. Please also refer to **Appendix B** for a short biography of each team member.

**Table 3: Team Division of Responsibilities**

Team Member	Indicative Activities
<b>Camillo Ponziani (Team Leader)</b>	
<b>Areas of Focus:</b>	
Engagement planning	
Track progress against work plan	
Lead weekly MTR team meetings and discussions	
Hold regular meetings with the client	
Compile Inception Report	
Assess “Project Strategy” (including project design, Theory of Change, Project Structure, results framework / logframe)	
Assess “Progress Towards Results” (including progress towards outcomes analysis)	
Assess “Project Implementation & Adaptive Management” (including management arrangements, relative	

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	effectiveness of the NIM mechanism to date, work planning, finance and co-finance, project level monitoring / M&E, stakeholder engagement, reporting (English)
	Assess "Sustainability" (including financial risks, socio-economic risks, institutional risks and environmental risks).  <i>Note: gender and community aspects will be addressed by the National Technical Expert. See responsibilities below.</i>
	Jointly formulate lessons and recommendations
	Draft PowerPoint slides
	Present key findings and preliminary observations at relevant meetings and workshops
	Compile draft Evaluation Report
	Integrate and address comments
	Compile Final Report
<b><i>Wishnu Sukmantoro (Technical Expert)</i></b>	
<b>Areas of Focus:</b>	Participate in weekly evaluation team meetings
	Participate in regular meetings with the client
	Review and augment Inception Report
	Review project materials in Bahasa and compile summary of key points in English
	Translate Evaluation Matrix in Bahasa
	Assist with language barrier in key interviews
	Compile minutes / summaries of interviews
	Assess "Project Design" (gender and community considerations)
	Assess "Progress Towards Results" (GEF Tracking Tools <sup>10</sup> and Progress

<sup>10</sup> The Technical Expert will compare the data in the midterm TT with data provided in the GEF TT submitted to the GEF for CEO endorsement. The results reported therein should be reviewed by the MTR team during the MTR mission, and any trends should be analysed. The MTR team should also comment on progress made or lack thereof, and make recommendations for the completion of the GEF TT at project closure.

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	<p>Towards Outcomes with emphasis on community and gender).</p> <p><b>Note:</b> <i>to the extent possible it will take stock of and review implementation in the field through interviews with local stakeholders and collection of any relevant evidence; also bearing in mind this MTR is being undertaken virtually.</i></p>
	<p>Assess “Project Implementation &amp; Adaptive Management” (including capacity building activities, stakeholder engagement and whether the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders, and communications)</p>
	<p>Present, where appropriate, key findings and preliminary observations at relevant meetings and workshops</p>
	<p>Review and augment draft Evaluation Report</p>

33. The Monitoring and Reporting Officer from the UNDP-CO in Indonesia and/or their designate will provide guidance on the overall evaluation approach and quality assure the evaluation deliverables. The PCU team will ensure coordination and liaison with all concerned units and other key agencies and stakeholders. The UNDP-CO in Indonesia will be ultimately accountable for submitting the final MTR evaluation report to the Regional Technical Advisor for technical clearance and formal submission to the UNDP Independent Evaluation Office.
34. The principal responsibility for managing this evaluation resides with the UNDP CO in Indonesia in accordance with internal protocols and procedures.
35. As per the TOR of the engagement the methodology should employ a range of investigative, analytical and consultative methods and tools to complete the tasks, such as:
  - Virtual interviews using online tools;
  - Short questionnaire through the Survey Monkey platform<sup>11</sup>;
  - Review, analyse and update information and data in the Logical Framework;
  - Recommended changes to the Logical Framework, TOC, strategic plan, outputs and activities, as well as sustainability strategy / exit plan;
  - Facilitate stakeholder consultations and engagements, if necessary.

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<sup>11</sup> The MTR consulting team may customize the questions for different target audience and deploy different sets of questions for specific stakeholders.

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### 3 Proposed Approach and Methodology

36. The evaluation will be executed using a framework for evidence-based information that is credible, reliable and useful. The MTR team will follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP-CO in Indonesia, PCU team, UNDP-GEF Regional Technical Adviser and key stakeholders and partners.

37. An assessment of project performance will be carried out, based against expectations set out in the Logical Framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency and sustainability**. This is consistent with the recently updated GEF Monitoring Policy (2019) on page 13. These will have to be “mapped” to the four areas outlined in the standard MTR ToR template: **(A) Project Strategy, (B) Progress Towards Results, (C) Project Implementation and Adaptive Management, and (D) Sustainability**.

**Table 4: Evaluation Criteria**

<b>1. Relevance</b>	
<ul style="list-style-type: none"> <li>• The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.</li> <li>• The extent to which the project is in line with the GEF Operational Programs or the strategic priorities under which the project was funded.</li> </ul>	<p><b>Note:</b> Retrospectively, the question of relevance becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.</p>
<b>2. Effectiveness</b>	
<ul style="list-style-type: none"> <li>• The extent to which an objective has been achieved or how likely it is to be achieved.</li> </ul>	
<b>3. Efficiency</b>	
<ul style="list-style-type: none"> <li>• The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.</li> </ul>	
<b>4. Sustainability</b>	
<ul style="list-style-type: none"> <li>• The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.</li> </ul>	
<p><b>Note:</b> Projects need to be environmentally, as well as financially and socially sustainable.</p>	

38. The MTR will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Detailed project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will be assessed and explained to the extent possible and be aligned to the granularity of the documentation provided. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the UNDP-CO in Indonesia and PCU team to obtain financial data with evidence to complete the GEF co-financing template (**Ref. Appendix C**), which will be included in the MTR report.

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39. Financial sustainability is more than just about budgets and therefore, annual budgets at all levels reflecting the change in **direct operational funds** allocated for provisioning of the capacity required to address financial sustainability of the PAs will be assessed. This will also shed light on the finance gap to maintain optimal operations.

40. UNDP supported GEF-financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender mainstreaming. Country Programme Action Plan between Government of the Republic of Indonesia and UNDP, and the [Independent Country Programme Evaluation 2019](#) shall be referred.

### 3.1 Approach

41. This inception report, its approach and proposed methodology have been informed by:

- A desk review of foundational project documentation, including:
  - PIF (5391\_Indonesia-Wildlife Trade GEF-6 PIF FINAL.pdf);
  - Project Document (PIMS 5391\_IWT Indonesia\_Prodoc\_Final\_signed 17Nov17.pdf);
  - Project Inception Report (5391 INCEPTION REPORT IWT ver-3 TD-YA-April 2019-clean);
  - GEF 2019 PIR (2019-GEF-PIR-PIMS5391-GEFID9150.pdf);
  - GEF 2020 PIR (2020-GEF-PIR-PIMS5391-GEFID9150.pdf);
  - PAR 2<sup>nd</sup> Semester (PAR 2020\_S2\_00094636 WEF IWT.pdf);
- Informal discussion(s) with the UNDP-CO PCU team;
- Information gleaned from the MTR kick-off meeting on 4 March 2021;
- Preliminary interview with the PCU's Knowledge Management Officer and Project Assistant on 5 March 2021.

42. A repository of documentation has been uploaded on [Google Drive](#) and will be reviewed incrementally and in parallel given the aggressive timelines. Additional documents will be requested along the way as they have been already.

43. The MTR will set-up a collaborative and participatory process in order to ensure intermittent check points throughout the duration of the assignment, as well as to ensure commitment and joint ownership with the UNDP-CO, PCU team, government counterparts and other key stakeholders through regular communication.

44. The MTR will be conducted in three stages, as follows:

**1 - Inception:** this will largely involve a detailed review and analysis of key project documentation, preliminary interviews and development of an inception report and work plan based on the TOR and the MTR evaluation team's understanding of the assignment from any preliminary discussions.

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**Table 5: Inception Phase: Objectives, Approach and Deliverables**

<b>Objectives:</b>	<p>To develop common understanding between the consultant and client regarding:</p> <ul style="list-style-type: none"> <li>• Reasons the MTR is being undertaken;</li> <li>• Scope and objectives of the evaluation;</li> <li>• Any timing constraints;</li> <li>• Sensitive areas;</li> <li>• Ascertaining team and stakeholder dynamics;</li> <li>• The organization and planning of the engagement approach and methodology;</li> <li>• Collection, organization and review all relevant documents;</li> <li>• Evaluability assessment of the Results Framework;</li> <li>• Conducting a stakeholder mapping and visualization;</li> <li>• Support validation of Theory of Change;</li> <li>• Support preparation of evaluation matrix;</li> <li>• Support drafting of Inception report ensuring all feedback from the UNDP-CO and peer reviewers has been integrated and tracked for transparency.</li> </ul>
<b>Approach:</b>	<p>The MTR evaluation team meets with the designated client focal point one or more times to collect some key program artefacts for preliminary analysis and to confirm areas of concern.</p> <p>During this stage it is essential to elicit and document exactly what the assignment hopes to accomplish and what are the main priorities. Based on the above, the consultant / review team will develop a preliminary inception report with an indicative work plan for review and approval.</p>
<b>Deliverables:</b>	<ol style="list-style-type: none"> <li>1. Key project documentation reviewed, including:           <p><b>PROJECT DOCUMENTS:</b></p> <ul style="list-style-type: none"> <li>• Project Document and Log Frame Analysis;</li> <li>• GEF Project Information Form (PIF);</li> <li>• Project Implementation Plan (PIP);</li> <li>• Implementing/executing partner arrangements;</li> <li>• List and contact details for project staff, key project stakeholders, including Project Boards, and other partners to be consulted;</li> <li>• Project sites, highlighting suggested visits (if required by the TOR);</li> <li>• Any other relevant evaluations and assessments (i.e. HACT);</li> <li>• Annual Project Implementation Reports (PIR);</li> <li>• Project budget, broken out by outcomes and outputs;</li> <li>• Project Tracking Tool;</li> <li>• Financial Data;</li> <li>• Sample of project communications materials, i.e. press releases, brochures, documentaries, videos etc.</li> </ul> <p><b>UNDP DOCUMENTS:</b></p> <ul style="list-style-type: none"> <li>• Development Assistance Framework (UNDAF);</li> <li>• Country Programme Document (CPD);</li> <li>• Country Programme Action Plan (CPAP).</li> </ul> <p><b>GEF DOCUMENTS:</b></p> <ul style="list-style-type: none"> <li>• GEF focal area strategic program objectives</li> </ul> </li> </ol>

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	<ol style="list-style-type: none"> <li>2. Preliminary interviews held with PCU and UNDP-CO;</li> <li>3. Approved Inception report, including:           <ol style="list-style-type: none"> <li>a. Confirmed scope and objectives for the engagement;</li> <li>b. Documented priorities;</li> <li>c. Consolidated list of key stakeholders;</li> <li>d. List of engagement constraints;</li> <li>e. List of engagement risks;</li> <li>f. Actionable work plan and detailed mission itinerary (if relevant).</li> </ol> </li> </ol>
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**2 - Fact-Finding:** this stage will commence with preparatory activities for both the forthcoming virtual interviews. It is anticipated that introductory tone-setting discussion(s) with key project stakeholders, as well as deployment of a short questionnaire will also be undertaken during this stage (**Ref. Appendix E for a consolidated list of project stakeholders**), deeper document reviews and documentation of interview findings.

**Table 6: Fact-Finding Phase: Objectives, Approach and Deliverables**

<b>Objectives:</b>	<ul style="list-style-type: none"> <li>• Support evaluation tool design (i.e. interview guides, surveys);</li> <li>• To gauge attitudes and perceptions on the project through an initial online questionnaire;</li> <li>• Support interviews and consultations by taking detailed notes;</li> <li>• Support case study analyses as needed;</li> <li>• Conduct results mapping and analyze;</li> <li>• Undertake qualitative and quantitative data analysis (including survey analysis) and produce summary reports;</li> <li>• Create data visualizations, tables and graphs and early findings presentations as necessary.</li> </ul>
<b>Approach:</b>	<p>This stage involves gathering detailed information about the project in two steps. The first is an initial online questionnaire followed by a series of interviews with key program staff and stakeholders, conducted to develop a deeper understanding of the 'on the ground' operation and results of the project to assess its overall status impact towards results using the UNDP-GEF criteria of relevance, effectiveness, efficiency and sustainability.</p> <p>The second pillar of this phase is a detailed review of key artefacts (Logical Framework, all types of progress reports, Tracking Tools) to assess extent to which end of project targets have been achieved.</p> <p>Interview preparation entails having a clear understanding of what information should be elicited and understanding which stakeholders need to be involved in the interviews. The goal of the interviews is to obtain as detailed as possible information regarding the results of the project and plans thereafter. The information from these interviews provides specific evidence for further analysis into obstacles and barriers to performance by recording stakeholders' impressions about the scope, responsibilities, issues, governance / meeting cadence, concerns, interpersonal dynamics, turnover management style, etc.</p> <p>Each interview will last approximately 60 minutes depending on the number of participants and the risk / priority areas to be covered. If the stakeholders have further artefacts or more recent versions of artefacts previously shared, the consultant will obtain a copy for review and compare these with baseline information received by the PCU.</p>

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	During the fact-finding stage special attention will be placed on uncovering issues related to business value, leadership, ownership, governance & meeting cadence, resources' skills set, execution capabilities (including at remote sites), availability of resources, known constraints at the execution level and any communication flows erected / lack thereof.
<b>Deliverables:</b>	<ul style="list-style-type: none"> <li>• Updated list of program stakeholders to be interviewed;</li> <li>• Interview schedule;</li> <li>• Online questionnaire;</li> <li>• Tailored list of face-to-face interview questions based on the Evaluation Matrix;</li> <li>• Kick-off meeting agenda and minutes, including next steps;</li> <li>• PowerPoint Presentation articulating initial / preliminary findings and lessons learned.</li> </ul>

**3 - Reporting:** this stage will analyze and synthesize findings into a draft and final report. The final report will identify key themes, opportunities and recommendations of new approaches and solutions and consolidate these into an “action plan” for future learnings relevant to both the GEF and UNDP-CO in Indonesia.

**Table 7: Reporting Phase: Objectives, Approach and Deliverables**

Objectives:	<ul style="list-style-type: none"> <li>• Support the drafting of the synthesis evaluation report (provide substantive input to findings, conclusions and recommendations) and annexes.</li> <li>• Support editing (maximum 2 rounds of revision) of draft report including annexes, ensuring all feedback from the UNDP-CO and peer reviewers has been integrated and tracked for transparency in an audit trail;</li> <li>• To communicate the recommendations for the review and the supporting information that led to the recommendations;</li> <li>• To consolidate the engagement findings and articulate underlying root causes for the areas of concern;</li> <li>• To identify opportunities for improvement and make recommendations based on engagement objectives, findings and conclusions.</li> </ul>
Approach:	<p>The MTR evaluation team will validate and organize the information collected during the fact-finding stage, together with the documentation review. The summary information can then be analyzed to develop key findings, lessons and conclusions. The key findings will become the basis for recommendations and resulting post-project action plan for inclusion in the final report.</p> <p>The recommendations which evolve out of the MTR process, will be grouped into two categories: corrective, and augmentative. The <b><u>corrective</u></b> recommendations are those which are meant to provide a means for strengthening or putting back on track those aspects of the project which have shown deficiencies, or which have met persistent obstacles that have hampered successful implementation. The <b><u>augmentative</u></b> recommendations are those which are intended to expand upon, strengthen, or replicate project actions which have shown relative success thus far in achieving project results (or leading in that direction).</p> <p>The MTR focal point from the UNDP-CO will need to be briefed at this stage to avoid surprises or unwelcome information in the final report. The focal point will have the added sensitivity to guide the consultant in how to use and report</p>

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	on the findings.
Deliverables:	<p>The deliverables from this activity are:</p> <ul style="list-style-type: none"> <li>• Draft Final Report;</li> <li>• Final Report which includes a post-project action plan in an easy-to-understand format that can be referenced following the engagement. As noted above the short-term adaptive management plan shall be divided into both “corrective” and “augmentative” recommendations.</li> </ul>

45. While not a formal phase of the evaluation, the MTR team will aim to have a formal engagement exit interview to ensure that all details and elements pertaining to the MTR have been wrapped up to both the client's and the consulting review team's satisfaction. This will be facilitated by the MTR / Evaluation Report Self-Assessment (**Ref. Appendix G**).

### 3.2 Methodology and Data Collection

46. The evaluation will collect and analyze data from a range of sources to triangulate and deepen understanding. The MTR evaluation team expects to use the following tools for mixed methods of primary and secondary data collection:

**Desk review:** A review of secondary resources will be carried out largely during the inception stage to analyze the UNDP-GEF CIWT Project, including strategic documents, external GEF and UNDP documents thematically related to the assignment, internal monitoring information and activity reports and project outputs.

**Interviews:** Virtual interviews are expected to be held with all UNDP-CO staff, government entities (including law enforcement agencies such as the National Police and Attorney General), local authorities, CSOs and major groups such as NGOs, as well as any other entities deeply involved in the planning and execution of the project to date which also includes volunteer women investigators / rangers. The interview protocol will be designed and tailored in accordance with each stakeholder profile, considering their respective role in the project and accountability in delivering key pieces of work. In general, in each interview will be a deeper dive into various aspects of the stakeholders' overall understanding and role in project implementation. The MTR evaluation team will ensure it takes a balanced approach, highlighting the context/dynamics/complexities, link to the Logical Framework, assess strengths/opportunities/ lessons learned, and explore future implications.

The interview schedule below is provisional and will be updated regularly based on interviewee's availability.

<b>Table 8: Proposed Interview Schedule</b>		
<b>No.</b>	<b>Stakeholder</b>	<b>Proposed Date</b>
<b>Week 1: 1-5 March 2021</b>		
1	Meeting with PCU (National Project Manager, Knowledge Management Officer and Project Assistant) <b>COMPLETED</b>	4 March 2021
2	Meeting with PCU (Knowledge Management Officer and Project Assistant) <b>COMPLETED</b>	5 March 2021

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<b>Week 2: 8-12 March 2021</b>		
3	Ir Achmad Pribadi (National Project Manager CIWT)	9 March 2021
4	Ir Laksmi Dewanti MA (GEF Focal Point Indonesia)	10 March 2021
5	DR Drs Rasio Ridho Sani MCom MPM (Director General of Law Enforcement on Environment and Forestry)	10 March 2021
6	DR Agus Prabowo (Head of Environment Unit Indonesia Indonesia)	11 March 2021
7	Mr. Tashi Dorji, Regional Technical Advisor (RTA) in Bangkok	11 March 2021
8	Ir Sustyo Iriyono MSi (Director of Forest Protection/National Project Director)	11 March 2021
9	Iwan Kurniawan Programme Manager for NRM Cluster, Environment Unit, UNDP Indonesia	11 March 2021
10	Sofi Mardiah. Wildlife Policy Programme Manager at Wildlife Conservation Society	11 March 2021
11	Mr. Richard Moore (International Animal Rescue)	12 March 2021
12	DR Sugeng Priyanto MSi (Secretary of Directorate General of Law Enforcement on Environment and Forestry)	12 March 2021
13	<b>Weekly Debrief:</b> Project Coordination Unit + Monitoring and Reporting Officer UNDP: Muhammad Yayat Afianto	12 March 2021
<b>Week 3: 15-19 March 2021</b>		
14	1. Benvika (Jakarta Animal Aid Network) 2. Dr Noviar Andayani / Dwi N. Adhiasto (WCS Indonesia) 3. Sulis Diah (WWF Indonesia) 4. Tantyo Bangun Wirupati (YIAR Indonesia) 5. Nafsir Fauzi Rizkian (Staff at Directorate of Forest Protection) & Saptawi Sunarya (Forest Ranger) Technology Intelligence Training Participants)	15 March 2021
15	1. Ir Ardi Risman SHut MT MPsc (Sub-directorate Head of Sumatra Area Directorate of Forest Protection/Commitment Maker Official) 2. Ir Dadang Suganda (Sub-directorate Head of Kalimantan Area Directorate of Forest Protection) 3. Taqiuuddin SHut MP (Sub-directorate Head of Java and Bali Area Directorate of Forest Protection) 4. Rudianto Saragih (Sub-directorate Head of Sulawesi and Papua Area Directorate of Forest Protection) 5. Damayanti Ratunanda (Secretariat of The Directorate General of Law Enforcement) 6. Nining Ngudi Purnamaningtyas (Sub-directorate Head of International Conventions Directorate of Biodiversity and Conservation DG KSDAE)	16 March 2021
	No interview(s) planned - document review and data analysis.	17 March 2021
16	1. Pipit Rismanto (Criminal Investigation Agency Indonesian Police Force) <b>(Board Member)</b> 2. Cahyo Ramadi/Taufiq Purna Nugraha (The Indonesian Institute of Sciences) <b>(Board Member)</b> 3. Firdi Trijuliyono (Directorate of Prosecution and Investigation, Directorate General of Customs, Ministry of Finance) <b>(Board Member)</b>	18 March 2021

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	4. Purnoto Directorate of Loans and Grants (Directorate General of Budget Financing and Risk Management, Ministry of Finance) <b>(Board Member)</b>	
17	1. Ersa Herwinda (Directorate of Environment, Deputy for Maritime Affairs and Natural Resources, Ministry of Development Planning) <b>(Board Member)</b> 2. DR Ir Hotmauli (Sianturi MSc For Head of The Natural Resources Conservation Agency of North Sumatera) 3. Suharyadi (Head of The Natural Resources Conservation Agency of Riau) 4. Ir Jusman (Head of Lore Lindu National Park) 5. Jeffry Susyafrianto (Head of Gunung Leuser National Park)  <b>Weekly Debrief:</b> Project Coordination Unit + Muhammad Yayat Afianto	19 March 2021
<b>Week 4: 22-26 March 2021</b>		
18	1. Drh Supriyanto (Head of Bogani Nani Wartabone National Park) 2. Agus Iriyanto (Head of The Natural Resources Conservation Agency of Aceh) 3. Yakub Ambagau (The Natural Resources Conservation Agency of North Sulawesi) 4. Wiwied Widodo (The Natural Resources Conservation Agency of East Java)  <b>Note:</b> relevant customs and port management authorities are expected to be interviewed during the third week, as available.	22 March 2021
19	1. Eduard Hutapea (Head of The Law Enforcement Agency of Sumatera Region) 2. William Tengker (The Law of Enforcement Agency of North Sulawesi) 3. Prima Uswati Rosalina S.Psi. Psi (Human Resources Development Agency Ministry of Environment and Forestry) 4. Dr. Suryadi (Chairman of Indonesia Forest Rangers Association)	23 March 2021
20	1. Irene B (Team Intelligence Centre at DG Law Enforcement, MoEF) & Bayu Gagat (Forest Ranger) Oxygen Forensic Training Participants 2. Arif Widarto (Forest Ranger) & Bagus Rama Primadian (Forest Ranger) Animal Handling Training Participants 3. Ebiprila Hasan & Wiwin Bobihu Women of Forest Rangers Partner Bogani Nani Wartabone National Park 4. Ibnu Arifin (Forest Ranger – BKSDA Kalimantan Tengah) & Arizano Harun (Forest Ranger – Gakkum Wilayah Sumatera) Basic Intelligence Training Participants  <b>Note:</b> the MTR evaluation team will include interviews with women as part of the group above. As this list has been provided by the PMU, it is incumbent on them to advise availability of women stakeholders, including those from local communities.	24 March 2021

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	No interview(s) planned - document review and data analysis.	25 March 2021
21	1. Dini Wahyu Sondag Ginting (BKSDA Kalimantan Barat) Animal Handling Training Participants 2. Bobbie J (Forest Ranger – Gakkum Jabalnusra) & Kries Coni S (Forest Ranger) Training: Collecting and Handling of Evidence Samples for DNA Forensic Analysis  <b>Weekly Debrief:</b> Project Coordination Unit + Muhammad Yayat Afianto	26 March 2021

**Online Survey:** The evaluation considers carrying an online questionnaire to gauge overall perceptions and thoughts about the results and impact of the UNDP-GEF CIWT project, degree of engagement and consultation, relevance and alignment with national priorities and policies and expectations for the future sustainability of efforts. Anonymity is especially pertinent to distilling perceptions regarding the Project. Questions will be customized / tailored to different audiences and multiple surveys will be deployed.

**Participant Observation:** The MTR evaluation team may request to participate in scheduled project meetings as observer status. This methodology may help the evaluation to gain a better sense of the UNDP-GEF CIWT project's context/dynamics/complexities, including behavioural dynamics.

### 3.3 Special Areas of Focus for the Midterm Review

47. There are several areas in which the TE team will hone its efforts:

1. ***Whether or not efforts were made to close or mitigate risks identified during the PIRs.***  
 Proper risk management implies the control of possible future events and is proactive rather than reactive. The MTR evaluation team will determine whether risk management was embedded in the project planning process.
2. ***The extent to which the singular objective to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia is on track and if not, what are the factors and barriers preventing this.***  
 What causal pathways in the Project's Theory of Change ought to be revisited to close any gaps in achieving the core objective.
3. ***What was the project's added value; the additional results brought in by the GEF funding towards the Global Wildlife Programme?***  
 How is the CIWT project adding to the body of knowledge and advancing the goals of the GWP.
4. ***What is the Global Environment Facility “additionality”?***

## Inception Report

### Midterm Review CIWT Project

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Was the GEF really needed as catalyst for this project or could it have been implemented through other means and financial investments? A central concern for the GEF, as it is for other development institutions, is the attribution of its support to environmental impact. In other words, did its investment displace (crowd out) other funding that could have materialized? Equally important, what outcomes can truly be attributed to the additional funding, and what part of the outcomes would have happened even without additional funding?

**5. *To what extent has gender and local community considerations been included since inception?***

Following recognition of inadequate gender representation at design stage, have actions and/or adaptive management efforts been taken to ensure greater gender equity and local community considerations are adequately taken into account. In light of the heightened awareness of gender equality within the 2030 Agenda and goal of “leaving nobody behind”, gender equality, women’s empowerment and indigenous representation is a strategic and operational imperative for the GEF.

**6. *How has COVID-19 disrupted and opened up opportunities for the Project?***

### 3.4 Key Evaluation Deliverables

48. This **Inception Report** is the first deliverable prepared by the MTR evaluation team. The Inception Report will first be reviewed by the UNDP-CO. Comments from the UNDP-CO will be addressed until this report can be baselined.
49. Following completion of majority of interviews and online survey **Preliminary Findings** will be prepared in PowerPoint and presented to the UNDP-CO via a debrief at the end of the fact finding stage.
50. The **Draft and Final Evaluation Report** will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report will be presented in a way that makes the information accessible and comprehensible.
51. The draft report will be submitted to the UNDP-CO who will share the draft for comment. When found acceptable, the UNDP-CO may then share the report with key stakeholders, who will review the report and provide feedback on any factual errors or omissions. The UNDP-CO will then collate all review comments and provide them to the consultant in preparing the final version of the report. The MTR evaluation team will draft a response to any comments that contradict its own findings and could therefore not be accommodated in the final report. This response will be shared by the Evaluation Office with the interested stakeholders to ensure full transparency.
52. The final report will be submitted to the UNDP-CO. Consistent with standard Quality Assurance processes, the UNDP-CO will prepare quality assessments of the draft and final reports, which are tools for providing structured feedback to the evaluation consultant.

## **Inception Report** *Midterm Review CIWT Project*

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### **3.5 Evaluation Communication Plan**

53. A kick-off meeting at the outset of the mission to the UNDP-CO is envisaged to ensure that all parties are aware of the plan, expectations and division of responsibilities to ensure that both the mission and workshop are a success.
54. The MTR evaluation team will meet regularly with the PMU on a weekly basis to triangulate information and follow up on threads which have emerged from interviews.
55. The MTR evaluation team will itself meet weekly to track progress against the work plan, jointly plan activities, share feedback and observations and work on the evaluation report incrementally when appropriate.
56. Evaluation recommendations will be developed in close consultation with the UNDP-CO and core staff.
57. The final evaluation report will be widely shared with partners and stakeholders. Innovative ways of disseminating evaluation findings and recommendations.
58. Following the engagement, the consultancy recommendations should be discussed with a broad range of project partners, before finally being submitted to the Project Board for consideration.
59. Finally, an exit questionnaire will be used as a mechanism for learning and to provide feedback on the experience with the MTR evaluation team.

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### Midterm Review CIWT Project

## 4 Evaluation Framework Matrix

60. The following evaluative matrix provides a clear and logical guide of the core MTR line of questioning. Some of the questions identified herein may change as more information and documentation is digested during the fact finding stage and may even be formed into questionnaire questions.

<b>Table 9. Evaluation Matrix</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<b>Questions Related to the Review of Project Indicators</b>			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
What monitoring data has been / is being collected to support the project's results indicators?	Evidence of active and ongoing collection of monitoring data and not post-facto.	Document review, stakeholder interviews	Desk review and interviews
What links have been developed with Thailand GEF-6 project in the Global Wildlife Program (GWP)?	Evidence of distillation of lessons and communication with GWP on two-way information sharing.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 1:</b> Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.			
What progress has been made on the revision of UU5/1990 and PP7/1999 to reflect IWT issues?	Evidence of progress on revision of legislation.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 2:</b> Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.			
Have the tracking tools and GEF7 scorecards shown improvements from inception of the project through the midterm?	Improved scoring from respective tracking tools	Tracking tools, stakeholder interviews	Desk review and interviews

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<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
At least 1000 personnel have improved knowledge on IWT (500m/500f); At least 300 local people in project demo areas benefit directly from project intervention (150m/150f);	Collection of data on an ongoing basis.	Document review, stakeholder interviews	Desk review and interviews
<i><b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b></i>			
How has the end of project already been achieved?	Coherence of calculation.	Document review, stakeholder interviews	Desk review and interviews
<i><b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b></i>			
To what extent is the project succeeding in being a show case for new initiatives and how are lessons being captured and disseminated?	Lessons learned being filtered to other projects / initiatives.	Document review, stakeholder interviews	Desk review and interviews
<i><b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b></i>			
<i><b>Project Objective: to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.</b></i>			
Do you believe the project is still relevant to the Indonesian context and what has been the impact realizing thus far, if any?	Consistency with national strategies and policies. Participation of national/state agencies in proposal development	Project document, meeting minutes, national policy documents	Desk review, questionnaire and interviews
Were lessons from other projects incorporated into the project strategy?	Reference of lessons learned from other project captured	Project document and stakeholder interviews	Desk review, questionnaire and interviews
How was the project goals and objectives used to update the CPAP (2021-2025)?	Consistency with updated CPAP	Comparison between CPAP (2016-2020) and CPAP (2021-2025)	Desk review, questionnaire and interviews

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### Midterm Review CIWT Project

<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Is the project aligned to the GWP (i.e.: programme elements and theory of change)?	Consistency with GWP	GWP TOC and best practices documents	Desk review and interview with UNDP-CO and RTA
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
Was the project strategy developed cognizant of national/state sector development priorities?	Consistency with national strategies and policies. Participation of national/state agencies in proposal development	Project document, meeting minutes, national policy documents	Desk review, questionnaire and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Did persons who would potentially be affected by the project have an opportunity to provide input to its design and strategy?	Level of participation of persons potentially affected by the project	Project document, inception report, stakeholder interviews SESP	Desk review and interviews
Were gender and social inclusiveness considered in developing the project strategy?	Active stakeholder involvement from both men and women	Project document, inception report, stakeholder interviews	Desk review, questionnaire and interviews
<b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b>			
Did persons who would potentially be affected by the project have an opportunity to provide input to its design and strategy?	Level of participation of persons potentially affected by the project	Project document, inception report, stakeholder interviews SESP	Desk review and interviews
<b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b>			
If you had the opportunity to redesign the project what changes would you make?	Documentation of any lessons learned to date	PIR, stakeholder interviews	Questionnaire and interviews
<b>Progress Towards Results:</b> To what extent have the expected outcomes and objectives of the project been achieved thus far?			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and			

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### Midterm Review CIWT Project

<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<i>East and South-East Asia.</i>			
What remaining barriers exist, to achieving the project objective, within the time remaining until project completion?	Identification of barriers and strategies to address the barriers	Progress reports, meeting minutes, stakeholder interviews	Desk review, questionnaire and interviews
How is the workload divided among the PCU?	Equal division of labour relative to project components.	Org chart, meeting minutes and stakeholder interviews	Desk review, questionnaire and interviews
<i>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</i>			
Based on identified successes, how can the project further expand these benefits?	Replication of successful outputs and evidence of enhanced PA management	Progress reports, meeting minutes, stakeholder interviews	Desk review, questionnaire and interviews
<i>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</i>			
Have the tracking tools and GEF7 scorecards shown improvements from inception of the project through the midterm?	Improved scoring from respective tracking tools	Tracking tools, stakeholder interviews	Desk review and interviews
How have the scorecards been managed (via expert consultant or by the PCU)?	Evidence of who is overseeing the scorecard and data collection	Tracking tools, stakeholder interviews	Desk review and interviews
What capacity improvements - human and institutional - have been achieved? What additional improvements do you foresee before eop?	Evidence of who is overseeing the scorecard and data collection	Tracking tools, stakeholder interviews	Desk review and interviews
<i>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</i>			
How has COVID-19 impacted the project's outcome and objectives?	Identification of obstacles to meeting objectives and outcomes as a result of COVID-19	Project Implementation Review (PIR), Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews
<i>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</i>			

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<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
How has COVID-19 impacted the project's outcome and objectives?	Identification of obstacles to meeting objectives and outcomes as a result of COVID-19	Project Implementation Review (PIR), Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews
<b><i>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?</i></b>			
<b><i>Project Objective: to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.</i></b>			
Have changes in management arrangements been needed, due to changing conditions?	Results from M&E are used to adjust and improve management decisions	Project Implementation Review (PIR), Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff
Have changes been made in management arrangements, and were they effective?	Adaptation and reflection characterize the project's management	Project Implementation Review (PIR), progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
What support has been required by the UNDP-CO over and above its mandate in a NIM implementation?	Leadership of the UNDP-CO and RTA and active role of UNDP in project activities and to the project implementation	Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
Were delays encountered in project start-up/implementation, disbursement of funds, or procurement?	Compliance with schedule as planned and deviation from it is duly addressed	Annual workplan, project audits, project outputs, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
How have constraints to implementation been addressed and what key challenges remain (e.g. in terms of disbursements, implementation, work-planning)?	Identification of barriers and strategies to address the barriers	Progress reports, meeting minutes, stakeholder interviews	Desk review, questionnaire and interviews
Is work planning for the project (i.e., funds disbursement, scheduling, etc.) effective and efficient?	Responsiveness to significant implementation problems	Annual workplan, project audits, project outputs, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders

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### Midterm Review CIWT Project

<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Have changes been made to the project results framework?	Variances between initial and existing project results framework	Project Implementation Review, progress reports, stakeholder interviews	Desk review, field visits and interviews
Are the project M&E tools adequate to guide ongoing project management and adaptive processes?	Sufficient budget and fund allocated to M&E and tools aid in its actual undertaking	Tracking tools, stakeholder interviews	Desk review and interviews
How is risk managed in the project?	Regular updates made to risk register	Risk log	Desk review and interviews
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
Has the IP been effective in guiding the implementation of the project?	Leadership of the National Project Director and ownership of other Directorate officials	Project Implementation Review (PIR), progress reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
Have executing partners fulfilled their obligations and been effective in the implementation of the project?	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project procurement, METT and reporting	Desk review, questionnaire and interviews with project staff and other stakeholders
Have changes been made to the TOC?	Variances between initial TOC and any updated version	TOC	Desk review and interviews
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
How is risk managed in the project?	Regular updates made to risk register	Risk log	Desk review and interviews
What has been the most challenging and rewarding aspects of the project that you have encountered thus far?	Enthusiasm of project results linked to the project objective and constructive criticism	Stakeholder interviews and questionnaire results	Questionnaire and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Have executing partners fulfilled their obligations and been	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project procurement, METT and reporting	Desk review, questionnaire and interviews with project staff and other stakeholders

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<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
effective in the implementation of the project?			
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
<b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b>			
Have executing partners fulfilled their obligations and been effective in the implementation of the project?	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project procurement, METT and reporting	Desk review, questionnaire and interviews with project staff and other stakeholders
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
<b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b>			
Has UNDP been effective in providing support for the project?	Quality and timeliness of support	Stakeholder interviews, project procurement, disbursement and METT	Desk review, questionnaire and interviews with project staff and other stakeholders
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, questionnaire and interviews with project staff and other stakeholders
How has the project responded to COVID-19 challenges?	Change in project scope and/or delivery channels and special planning	Project Board and PCU minutes, progress reports, stakeholder interviews	Desk review and interviews
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
<b>Project Objective:</b> to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia.			
Following conclusion of the project, what is the likelihood that adequate financial resources will be in place to sustain the project's outcomes?	Opportunities for financial sustainability from multiple sources exist	Project Document, Annual Project Review/PIR	Project Document, Annual Project Review/PIR

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<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
What handover / exit strategies have been developed?	Opportunities for Institutional sustainability from multiple sources exist	Project Document, Annual Project Review/PIR	Project Document, Annual Project Review/PIR
<b>Outcome 1: Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.</b>			
Are legal frameworks, policies, and institutional arrangements favourable for sustaining the project's outcomes following conclusion of the project?	Exit strategies available with policies, legal frameworks, and institutional capacity put in place	Progress reports, meeting minutes, stakeholder interviews, review of legislative framework and questionnaire data	Desk review, questionnaire and interviews
How confident are you that the government partners will enact the necessary legislative changes recommended by the Project?	Exit strategies available with policies, legal frameworks, and institutional capacity put in place	Progress reports, meeting minutes, stakeholder interviews, review of legislative framework and questionnaire data	Desk review, questionnaire and interviews
<b>Outcome 2: Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>			
Is it expected that, upon conclusion of the project, stakeholder ownership will be sufficient to sustain the project's outcomes?	Identification and involvement of champions at different levels of the project	Progress reports, meeting minutes, stakeholder interviews and questionnaire results	Desk review, questionnaire and interviews
<b>Outcome 3: Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.</b>			
How is repatriation of flagship species affecting the conservation status of those species?	Comparison of repatriated species with trend levels.	Document review, stakeholder interviews	Desk review and interviews
<b>Outcome 4: Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.</b>			
Are there any environmental risks that could jeopardize the sustainability of the project's outcomes?	Environmental factors or negative impacts are foreseen and mitigation measures are planned	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews
What progress is being made on sustainable finance mechanisms	Financial factors or negative	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews

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<b>Table 9. Evaluation Matrix</b>			
<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
and how will activities at the project site be financed after the project is ended?	impacts are foreseen and mitigation measures are planned		

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## *Midterm Review CIWT Project*

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## 5 Risks

### 5.1 Risks

**Table 10: Risks**

<b>Risk</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Mitigation</b>
This is the Technical Expert's / National Consultant's first evaluation. There is a risk that timelines may shift due to the need for on-the-job training and helping them get up to speed with the methodology.	High	High	Ensure regular meetings and secure backstopping to support the Team Leader.
Given the relatively short interview time-frame there is a risk that people's availability may shift out timelines.	High	High	Accept risk and mitigate as the situation unfolds and international travel is affected. Accommodate interviews of those who are available earlier than the provisional schedule wherever possible.
Government personnel at the highest level where this project operates may not be available for key interviews at the last minute due to competing priorities.	High	High	Make contingency plans for interviews with key government entities where possible.
Due to changes in government partners and personnel, not all interview participants will be knowledgeable on the project since inception.	High	Moderate	Ensure that the personnel are primed on the scope of the MTR and receive questions in advance.
The UNDP-CO is overseeing the organization of interviews as opposed to the MTR evaluation consultants reaching out directly. Delays may incur with people's availability and not keep pace with the evaluation schedule herein.	High	Moderate	Ensure there is a cross-section and balance of interviewees in the event the MTR team cannot speak to all individuals.

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### **Annexes:**

**Appendix A:** Terms of Reference

**Appendix B:** Short Profile and Biographies of Evaluation Team

**Appendix C:** Co-Financing Table

**Appendix D:** PowerPoint Presentation for MTR Kick-Off

**Appendix E:** List of Potential Interviewees

**Appendix F:** Strategic Results Framework

**Appendix G:** Project Midterm Review / Evaluation Report – Self Assessment

**Appendix H:** Translated Questions

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## Appendix A: Terms of Reference

### BASIC CONTRACT INFORMATION

**Location:** Indonesia

**Application Deadline:** 23:59 PM GMT +7 on 09 October 2020

**Type of Contract:** Individual Contract

**Post Level:** International Consultant

**Languages Required:** English (Knowledge of Bahasa Indonesia would be an asset)

**Starting Date:** March 2021

**Duration of Initial Contract:** 35 working days

**Expected Duration of Assignment:** March 2021 – April 2021

### BACKGROUND

#### A. Project Title

**Combatting illegal and unsustainable trade in endangered species in Indonesia**

#### B. Project Description

This is the Terms of Reference (ToR) for the Midterm Review (MTR) of the full-sized UNDP-supported GEF-financed project titled *Combatting illegal and unsustainable trade in endangered species in Indonesia* (PIMS-5391) implemented through the Directorate General of Law Enforcement on Environment and Forestry Ministry of Environment and Forestry which is to be undertaken in 7 years. The project started on the 12 November 2017 and is in its third year of implementation. 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%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_EN_2014.pdf)).

The development challenge that the project seeks to address concerns the devastating impact of unsustainable and illegal wildlife trade (IWT) on wildlife populations in Indonesia and SE Asia. The value of the illegal trade in Indonesia alone is estimated at up to US\$ 1 billion per year. Factoring in the unsustainable legal trade, the value rockets, representing an enormous economic, environmental, and social loss. This trade has already caused the decline and local extinction of many species across SE Asia. Much of the trade is highly organized, benefits a relatively small criminal fraternity, whilst depriving developing economies of billions of dollars in lost revenues and development opportunities.

Within SE Asia, a significant amount of this trade starts from Indonesia, one of the world's top 10 'megadiverse' countries and the largest supplier of wildlife products in Asia, both 'legal' and illegal. The IWT and associated bushmeat trade are an immediate threat to the existence of key endangered species such as the Sumatran and Javan Rhinoceros, Sumatran Tiger, Asian Elephant and Sunda Pangolin amongst a wide range of less prominent species. Indonesia is also becoming an important transit point for IWT from Africa to East Asia, such as African Ivory. The consequence of the unsustainable trade is a massive threat to globally important wildlife.

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The project aims to remove the barriers to accomplishing the long term solution to this challenge, namely to conserve key wildlife species in Indonesia, by ensuring that the legal wildlife trade is ecologically and economically sustainable, while reducing the scale and impact of illegal wildlife trafficking, both from Indonesia and in transit through the country.

The Project Objective is to reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia. The four outcomes of the project are:

**Outcome 1:** Strengthened national policy, legal and institutional framework for regulating legal commercial wildlife trade and combating illegal wildlife trade.

**Outcome 2:** Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.

**Outcome 3:** Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems.

**Outcome 4:** Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming.

This project is part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention For Sustainable Development which is led by the World Bank.

The total allocated resources for this project is US \$ USD 6,988,853. In addition, in-kind Parallel Funding is US \$ 51,937,595 from the Government of Indonesia and NGO partners. Directorate General of Law Enforcement on Environment and Forestry under the Ministry of Environment and Forestry is the Implementing Partner for the project.

As of 30 August 2020, there were 172,053 confirmed cases of Covid-19 in Indonesia, of which 7,343 were fatalities and 124,185 persons recovered. Covid-19 has spread in 34 provinces and 487 regencies/cities across Indonesia. Some regions implemented large social restrictions to prevent Covid-19 pandemics. Covid-19 pandemics have affected the implementation of the project. Based on the assessment, some works can continue on-schedule, while some are deferred and likely to delay and some may need readjustment to adapt to the new normal.

#### **C. MTR Purpose**

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 and its risks to sustainability.

The MTR will also look at any project interventions that have contributed directly or

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indirectly to government's effort of COVID-19 recovery both at the national level and project sites.

### **DUTIES AND RESPONSIBILITIES**

#### **D. MTR Approach & Methodology**

The MTR report 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 Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, 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 Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Directorate General of Law Enforcement on Environment and Forestry Ministry of Environment and Forestry; National Project Director (NPD) CIWT Project; Directorate of Forest Protection Ministry of Environment and Forestry; Directorate of Biodiversity Conservation Ministry of Environment and Forestry; GEF Operational Focal Point of Indonesia; Head of BBKSDA North Sumatera, Head of BBKSDA Riau; Head of Balai Gakkum Sumatera; Head of Balai Gakkum Sulawesi; Head of Gunung Leuser National Park; Head of BKSDA North Sumatera, Head of Bogani Nanti Wartabone National Park; 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 may require conducting field missions to Surabaya, East Java; Pekanbaru, Riau; Kotamobagu, North Sulawesi; Manado, North Sulawesi.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since 03/2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the MTR mission then the MTR team should develop a methodology that takes this into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires.

International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. A short validation mission may be considered if it is

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confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

If all or part of the MTR is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final MTR report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. Equally, qualified and independent national consultants can be hired to undertake the MTR and interviews in country as long as it is safe to do so.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. Considering the COVID-19 situation, the MTR team should consider flexibility in using technologies and tools to effectively engage stakeholder virtually. The MTR team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report. The final methodological approach including interview schedule, field visits and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

The final MTR report must 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.

#### **E. 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.

##### **1. Project Strategy**

###### **Project Design:**

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- 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.
  - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?

### **Results Framework/Logframe:**

- 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 sex-disaggregated indicators and indicators that capture development benefits.

## **2. Progress Towards Results**

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in 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 the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red);
- Compare and analyse the GEF Tracking Tool/Core Indicators 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.

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- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

### **3. 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.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

#### **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 cost-effectiveness 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 by the Commissioning Unit and project team, provide commentary on co-financing: 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?
- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file)

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#### **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?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines.

#### **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?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

#### **Social and Environmental Standards (Safeguards)**

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  - The project's overall safeguards risk categorization.
  - The identified types of risks<sup>3</sup> (in the SESP).
  - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

#### **Reporting**

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- 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 & Knowledge Management**

- 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.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

#### **4. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register 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:**

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- 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 consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. 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. The MTR consultant/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 the TOR Annexes for the Rating Table and ratings scales.

### **F. Expected Outputs and Deliverables**

The MTR team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: **March 2021**
- Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: **March 2021**
- Draft MTR Report: MTR team submits the draft full report with annexes within 3 weeks of the MTR mission. Completion date: **March 2021**
- Final Report\*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Completion date: **April 2021**

\*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.

### **G. Institutional 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

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Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team and will provide an updated stakeholder list with contact details (phone and email). 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.

### **H. Duration of the Work**

The total duration of the MTR will be approximately 35 of days over a period of 5 weeks starting March 2021 and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- 09 October 2020: Application closes
- February 2021: Selection of MTR Team
- February 2021: Prep the MTR Team (handover of project documents)
- March 2021 02 days (r: 2-4): Document review and preparing MTR Inception Report
- March 2021, 03 days: Finalization and Validation of MTR Inception Report- latest start of MTR mission
- March 2021 14 days (r: 7-15): MTR mission: online stakeholder meetings, online interviews
- March 2021: Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- March 2021 05 days (r: 5-10): Preparing draft report
- March 2021 01 day (r: 1-2): Incorporating audit trail on draft report/Finalization of MTR report
- March 2021: Preparation & Issue of Management Response
- April 2021: (optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
- April 2021: Expected date of full MTR completion The date start of contract is 26 February 2021.

### **I. Duty Station**

- a) The contractor's duty station will be home-based with possibility of travel to Jakarta, Aceh Province, Riau Province, East Java Province and North Sulawesi Province during field visit to project sites, subject to the approval from RR or Head of Unit.
- b) The consultant is working on the output-based, thus no necessity to report or present regularly

### **Travel:**

- International travel may require to Indonesia during the MTR mission, if the travel is permitted; The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: <https://training.dss.un.org/courses/login/index.php>
- These training modules at this secure internet site is accessible to Consultants, which allows for registration with private email.
- Individual Consultants are responsible for ensuring they have vaccinations / inoculations when travelling to certain countries, as designated by the UN Medical Director.

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- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents (travel expense facilitated by CIWT project).

### **REQUIRED SKILLS AND EXPERIENCE**

#### **J. Qualifications of the Successful Applicants**

A team of two independent consultants will conduct the MTR - one International Consultant as team leader and one National Consultant as technical expert. The team leader will be responsible for the overall design and writing of the MTR report. The team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the MTR itinerary. The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Indonesia. If the international travel restriction continues and, in-country mission is not possible, the MTR team will use alternative means of interviewing stakeholders and data collection (i.e. Skype interview, mobile questionnaires, etc.) including the field visit by the National Consultant under the International Consultant's guidance.

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. The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

- a) Responsive/compliant/acceptable, and
- b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

\* Technical Criteria weight; 70%

\* Financial Criteria weight; 30%

Only candidates obtaining a minimum of 70 point would be considered for the Financial Evaluation

#### **Education**

A Master's degree in forestry, biodiversity studies, wildlife management or other closely related field.

#### **Experience**

- Master with more 10 years of professional experience in forestry management, biodiversity, wildlife management and others related field.
- Relevant experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- in adaptive management, as applied to Illegal Wildlife Trade/Biodiversity;
- Experience in evaluating projects;

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- Experience working in Asia Pacific;
- Experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and Illegal Wildlife Trade/Biodiversity; experience in gender sensitive evaluation and analysis.
- Experience with implementing evaluations remotely will be considered an asset.
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset.

### **Language**

- Fluency in written and spoken English.
- Knowledge of Bahasa would be an asset.

### **K. Ethics**

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

### **L. Schedule of Payments**

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and of completed TE Audit Trail Criteria for issuing the final payment of 40%
- The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

## **APPLICATION PROCESS**

### **M. Recommended Presentation of Offer**

- a) **Letter of Confirmation of Interest and Availability** using the [template4](#) provided by UNDP;
- b) **CV and a Personal History Form (P11 form5);**

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- c) **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)
- 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 to the address UNDP Indonesia Procurement Unit Menara Thamrin 7-9th Floor Jl. MH Thamrin Kav. 3 Jakarta 10250 in a sealed envelope indicating the following reference:

“Consultant for Combatting illegal and unsustainable trade in endangered species in Indonesia Midterm Review” or by email at the following address ONLY: (bids.id@undp.org) by **(23:59 PM GMT +7 on 09 October 2020)**. Incomplete applications will be excluded from further consideration.

#### **N. Criteria for Selection of the Best Offer**

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.

#### **O. Annexes to the MTR ToR**

Annexes include: (reference ToR Annexes in Annex 3 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

- List of documents to be reviewed by the MTR Team
- Guidelines on Contents for the Midterm Review Report
- Midterm Review Evaluative Matrix Template
- UNEG Code of Conduct for Evaluators/Midterm Review Consultants
- MTR Required Ratings Table and Ratings Scales
- MTR Report Clearance Form
- Audit Trail Template
- Progress Towards Results Matrix
- GEF Co-Financing Template (in Word)

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## Appendix B: Short Profile and Biographies of Evaluation Team

### **Team Leader: Camillo Ponziani**

Camillo Ponziani is a motivated leader and program management professional with a proven talent in bridging the gap between strategy and execution. Camillo is genuinely passionate about understanding the big picture and helping organizations map out their current and desired business goals and assisting clients towards realizing their full potential.

Camillo has held various senior management roles within the United Nations system. Camillo has worked and consulted for UN organizations and specialized agencies including the Global Environment Facility, UNDP Drylands Development Centre, UN Environment, UNOCHA and UNOPS, as well as the Secretariats of the Convention on Biological Diversity, Convention on Migratory Species and African-Eurasian Waterbird Agreement. He has also led consulting assignments within the public and private sectors including at eHealth Ontario and the Greater Toronto Airports Authority, where he led teams through a myriad of business and information technology transformation initiatives that have driven impact across multiple business units.

While at the Secretariat of the Convention on Biological Diversity, Camillo was responsible for helping set the strategic direction of the post-2020 Global Biodiversity Framework, managed a technical and scientific cooperation portfolio and established a Program Management Office. He also helped internalize the Secretary General's management and development reforms to scale-up the delivery of the 2030 Agenda for Sustainable Development within the Secretariat.

With over fifteen years' experience within the UN international system, Camillo brings a wealth of biodiversity, protected area and natural resource management experience and knowledge of UN practices and has also led the design, management and evaluation of numerous GEF-financed projects throughout his career.

### **Technical Expert: Wishnu Sukmantoro**

Wishnu Sukmantoro is a conservationist who has dedicated his life to protecting species and their ecosystems since 1994, especially in Indonesia. He is a project manager who is skilled in developing design, methodology, management and building team and organizational capacity in species conservation management. He is active in communication and has a high ability to build relationships with government, companies and the communities.

Wishnu's last education was a Phd at the Bogor Agricultural Institute (Bogor Institute of Agriculture). His working career first was as a part-time volunteer and researcher at Wetland International from 1994 - 1998 on wetland ecosystem issues including peat-land, waterbird and the white wing-duck assessment. In bird conservation, he was also active as a bird banding or bird ringing volunteer in 1994 - 1997 in collaboration between Yamashina Institute of Japan and Padjadjaran University. In 2001 - 2006, he was active

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as a project coordinator for migratory raptor census in Indonesia and as a Indonesia Ornithologist' Union member.

Wishnu is also active in the conservation of mammals - asian elephant, tiger and orangutan conservation since 2000 through the Wildlife Conservation Society, Conservation International Indonesia, PILI NGO Movement - animal rescue centre program (supported by the Gibbon Foundation) and WWF Indonesia.

Currently, Wishnu works in the Indonesian elephant association as project manager for elephant conservation in Riau and North Kalimantan, as Vise Chairman of Forest - Wildlife Society for elephant conservation in Aceh and South Sumatra and member of IUCN SSC for Asian elephant conservation specialist. Then, he also helps in the human-elephant conflict reduction project by encouraging intensively monitoring of elephant and developing elephant-friendly agroforestry systems with the support of Chevron Pacific Indonesia, TFCA and Hutama Karya.

For publication, eight of scientific journals for birds, elephants, tigers, dhole and wildlife connectivity has been produced as author and co-author. He has also produced more than 11 books in the context of natural resource conservation within the scope of Indonesia.

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## Appendix C: Co-Financing Table

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
UNDP		In-kind	100,000		
Government	DG-Law Enforcement, MoEF	In-kind	42,848,742		
NGO	Wildlife Conservation Society	In-kind	2,000,000		
<b>TOTAL</b>			<b>44,948,742</b>		

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**Appendix D: PowerPoint Presentation for MTR Kick-Off**



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## Appendix E: List of Potential Interviewees

<b>GEF Focal Point</b>		
1	Ir Laksmi Dewanti MA	GEF Focal Point Indonesia
<b>Ministry of Environment and Forestry</b>		
1	DR Drs Rasio Ridho Sani MCom MPM	Director General of Law Enforcement on Environment and Forestry
2	DR Sugeng Priyanto MSi	Secretary of Directorate General of Law Enforcement on Environment and Forestry
3	Ir Sustyo Iriyono MSi	Director of Forest Protection/National Project Director
4	Ir Ardi Risman SHut MT MPsc	Sub-directorate Head of Sumatra Area Directorate of Forest Protection/Commitment Maker Official
5	Ir Dadang Suganda	Sub-directorate Head of Kalimantan Area Directorate of Forest Protection
6	Taqiuddin SHut MP	Sub-directorate Head of Java and Bali Area Directorate of Forest Protection
7	Rudianto Saragih	Sub-directorate Head of Sulawesi and Papua Area Directorate of Forest Protection
8	Damayanti Ratunanda	Secretariat of The Directorate General of Law Enforcement
9	Nining Ngudi Purnamaningtyas	Sub-directorate Head of International Conventions Directorate of Biodiversity and Conservation DG KSDAE
<b>UNDP Indonesia</b>		
1	DR Agus Prabowo	Head of Environment Unit Indonesia
2	Iwan Kurniawan	Programme Manager for NRM Cluster, Environment Unit, UNDP Indonesia
3	Mohammad Yayat Afianto	Technical Officer for NRM
4	Ir Achmad Pribadi	National Project Manager CIWT
5	Project Management Unit CIWT	
<b>Stakeholders (National and Regional)</b>		
1	Pipit Rismanto	Criminal Investigation Agency Indonesian Police Force (Board Member)
2	Cahyo Ramadi/Taufiq Purna Nugraha	The Indonesian Institute of Sciences (Board Member)
3	Firdi Trijuliyono	Direktorate of Prosecution and Investigation, Directorate General of Customs, Ministry of Finance (Board Member)
4	Purnoto	Direktorate of Loans and Grants, Directorate General of Budget Financing and Risk Management, Ministry of Finance (Board Member)

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5	Ersa Herwinda	Directorate of Environment, Deputy for Maritime Affairs and Natural Resources, Ministry of Development Planning (Board Member)
6	DR Ir Hotmauli Sianturi MSc For	Head of The Natural Resources Conservation Agency of North Sumatera
7	Suharyadi	Head of The Natural Resources Conservation Agency of Riau
8	Ir Jusman	Head of Lore Lindu National Park
9	Jeffry Susyafrianto	Head of Gunung Leuser National Park
10	Drh Supriyanto	Head of Bogani Nani Wartabone National Park
11	Agus Iriyanto	Head of The Natural Resources Conservation Agency of Aceh
12	Yakub Ambagau	The Natural Resources Conservation Agency of North Sulawesi
13	Wiwied Widodo	The Natural Resources Conservation Agency of East Java
14	Eduard Hutapea	Head of The Law Enforcement Agency of Sumatera Region
15	William Tengker	The Law of Enforcement Agency of North Sulawesi
16	Prima Uswati Rosalina S.Psi. Psi	Human Resources Development Agency Ministry of Environment and Forestry
17	DR Suryadi	Chairman of Indonesia Forest Rangers Association
<b>Partners (Microgrant)</b>		
1	Benvika	Jakarta Animal Aid Network
2	Dr Noviar Andayani / Dwi N. Adhiasto	WCS Indonesia
3	Sulis Diah	WWF Indonesia
4	Tantyo Bangun Wirupati	YIAR Indonesia
<b>Beneficiaries</b>		
1	Nafsir Fauzi Rizkian (Staf at Directorate of Forest Protection)	Technology Intelligence Training Participants
2	Saptawi Sunarya (Forest Ranger)	Technology Intelligence Training Participants
3	Irene B (Team Intelligence Centre at DG Law Enforcement, MoEF)	Oxygen Forensic Training Participants
4	Bayu Gagat (Forest Ranger)	Oxygen Forensic Training Participants
5	- Arif Widarto (Forest Ranger) - Bagus Rama Primadian (Forest Ranger)	Animal Handling Training Participants
6	Dini Wahyu Sondag Ginting (BKSDA Kalimantan Barat)	Animal Handling Training Participants

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7	Bobbie J (Forest Ranger – Gakkum Jabalnusra)	Training: Collecting and Handling of Evidence Samples for DNA Forensic Analysis
8	Kries Coni S (Forest Ranger)	Training: Collecting and Handling of Evidence Samples for DNA Forensic Analysis
9	Ibnu Arifin (Forest Ranger – BKSDA Kalimantan Tengah)	Basic Intelligence Training Participants
10	Arizano Harun (Forest Ranger – Gakkum Wilayah Sumatera)	Basic Intelligence Training Participants
11	Ebiprila Hasan	Women of Forest Rangers Partner Bogani Nani Wartabone National Park
12	Wiwin Bobihu	Women of Forest Rangers Partner Bogani Nani Wartabone National Park

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## Appendix F: Strategic Results Framework

### Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
<b>Objective: To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</b>						
0.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems. (IRRF Output 2.5 indicator 2.5.1)	UU5/1990 need to be revised (the current law has not specifically addressed IWT issue; PP7/1999 has not been revised	At least 3 additional policies/laws under review;  Policy and institutional framework with specification on articles related to IWT PP7/1999, PP8/1999, Permen 447/2003  Working procedure of DG Gakkum and DG KSDAE, as well as MoEF and Ministry of Marine and Fisheries are developed.	At least 2 additional laws/policies completed  Articles on IWT are accommodated in the revised UU 5/90  National strategy for combating IWT developed	a. Policy and institutional framework:  - UU no. 5/1990: consultation with stakeholders has been carried out both by the Ministry of Environment and Forestry (MoEF), NGOs and other CSOs.  Due to various interest at different levels from stakeholders, it is difficult to move forward with completion of the law. Therefore, the MoEF decided to delay the revision process.  In line with the revision process of Law 5/1999, CIWT project initiative to		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>facilitate the preparation of the National Strategy and Action Plan for IWT Indonesia.</p> <p>PP7/1999: List of Protected Plants and Animals.</p> <p>Accommodating the current dynamics of protected animal populations, MoEF has revised the PP twice, through P.20/2018 which was revised to P.92/2018.</p> <p>The project was not much involved in the revision process because they have already done the intensive process using government funds.</p> <p>For PP 8/2019 and its derivative Permen 447, a ToR is being prepared to review the regulation from the perspective of law enforcement. The activity will be carried out in 2020.</p> <p>While initiating a review of the above regulations, the project is facilitating SOPs as a guiding need for PP8</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>and Permen 477 such as DNA sampling techniques, Animal Handling, Animal Repatriation.</p> <p>b. Currently CIWT law enforcement has never been comprehensively addressed and well synchronized. So, the best legal umbrella for national level protection would be through establishing National Strategic road map and presidential decree to implement CIWT intervention.</p> <p>In addition, the regulation revision would require the completion of National Strategy Document</p> <p>To overcome the problem of crime against protected wildlife, it is necessary to develop a National Strategy and Action Plan to Combatting Illegal Wildlife Trade as a long-term guideline for the Indonesian Government. National Strategy is a planning document that outlines the vision, direction of goals /</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>objectives, strategies and work programs through external and internal evaluations based on the current state of hunting and circulation of wildlife.</p> <p>c. Substantial information have been collected through collaboration studies with partners as science-based approach for policy revision. The following is the complete list of studies:</p> <p>(1) WCS, 2018, Report on Economic Assessment of Illegal and Legal Wildlife Trade, Wildlife Conservation Society.</p> <p>(2) WCS, 2018, Report on Capacity Need Assessment for Law Enforcement related to Illegal Wildlife Trafficking at the Operational Level</p> <p>(3) WCS, 2018, Standard Operational Procedures (SOPs) and protocol on preventing illegal wildlife</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>trafficking in port</p> <p>(4) WCS, 2018, The establishment of multi-stakeholder network on Combatting Wildlife Trade in northern Sumatra and northern Sulawesi demonstration regions.</p> <p>(5) WCS, 2018, The engagement of local community group on combating illegal wildlife trade and HWC in northern Sumatra and/or northern Sulawesi demonstration regions.</p> <p>Through CIWT's microgrant, the project initiated a collaboration with The Indonesian Financial Transaction Reports and Analysis Centre (PPATK/Pusat Pelaporan dan Analisis Transaksi Keuangan) developed a Guidelines on how to use money laundering regime to combat wildlife crime.</p> <p>To promote and localize national Fatwa of</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Indonesian Ulama Council (MUI) on Combatting Wildlife Crime, several activities using religious approach has been conducted in several cities such as Jakarta, Medan and Surabaya.</p> <p>d. Economic Assessment:</p> <p>The study on economic assessment of illegal and legal wildlife trade at the national scale has provided valuable information on cost of recovery to sustain animal protection in their habitat. The study estimated that the cost recovery system to protect Sumatran tigers through patrolling and camera trapping ranges from IDR 7.9 billion (under a moderate protection strategy) to IDR 14.5 billion (under a high protection strategy). This information is valuable for formulating regulation in the future particularly related to fine and penalty of wildlife related-crime. The study</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>also found that the government potential loss from illegal trade of reticulated python was around IDR 1,3 to 6,4 billion IDR.</p> <p>This assessment is still limited only for 2 species (sumatran tiger and python).</p>		
0.2: Number of direct project beneficiaries: - Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local people in project demonstration areas benefiting from engagement in conservation activities, reduced HWC impacts and improved livelihoods (m/f)	0	At least 1000 personnel have improved knowledge on IWT (500m/500f); At least 300 local people in project demo areas benefit directly from project intervention (150m/150f);	At least 2100 personal have improved knowledge on IWT (1050m/1050f); At least 600 local people in project demo areas benefit directly from project intervention (300m/300f);	a. 294 personnel (29.4%) have improved knowledge on IWT through trainings, focus group discussions and workshops. Then on 2020, 530 personnel (53% against midterm target level or 25% against the end of target level) have improved their knowledge of IWT through training, focus group discussions, and workshops. b. Trainings were organized to cover different topics including Sample collection for forensic DNA analysis, Oxygen software and SPARTAN training		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Note: in terms of quantitative trained personnel have not reached the target of 1,000 people this year due to changes in priorities in the type of training. This year Dit. PPH wants incentive training with substantial funding, such as intelligence training, animal handling training and DNA sampling technique. This year's training budget is fully absorbed where number has to be reduced instead focus on quality with high effectiveness.</p> <p>127 people (from 300 people as a target to involve) were involved in training conducted in the Aceh region for human wildlife conflict (HWC) conducted by WWF and West Java for the protection of Slow Lorises through the community patrol in Mount Sawal and its surroundings and the livelihood system program in the area (Mount Syawal Wildlife Reserve) , West Java.</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				Gender equality has not been fulfilled because of the limited availability of personnel (especially female forest police).		
0.3: Expert evaluation of IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database	4666 wild animals are seized from 34 protected species.  Source: Lakip, Gakkum 2016	Increasing number of cases prosecuted	Increasing number of settled cases on IWT	The CIWT Project and WCS has conducted a collaborative work to calculate the annual volume of illegal trade animal, particularly for Sumatran Tiger and reticulated python. The study found that the volume of Sumatran tiger illegal trade from 2014-2016 as full individual, body part and product was 60, 12 and 53 respectively. It is estimated that reticulated python was illegally sold as full individual, body part and product of 119, 5297 and 3035 respectively. Full final report has been submitted by WCS (WCS, 2018, Report on Economic Assessment of Illegal and Legal Wildlife Trade, Wildlife Conservation Society)		<b><u>To be completed in draft MTR report</u></b>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				Data of prosecution since 2016 until 2019 was 51, 55, 41 and 65 (Totally was 212 cases (Ev7-LAKIP DG of Law Enforcement 2019)).		
0.4: Number of individuals of IWT flagship species (Sumatran Tiger, Sumatran Rhinoceros, Sumatran Elephant, Black-crested macaque, Anoa and Babirusa) killed by poachers annually in the 2 project demonstration areas	2015: Tiger (5 poached); Elephant (7 poached); Rhino (1 poached); Anoa (10 poached), Babirusa (12), Black-crested macaque (~200)	>20% reduction from baseline	>40% reduction from baseline	<p>There has been an increasing rate of flagship species due to changes in regulation.</p> <p>Law enforcement operations have been carried out since 2005 until now. Some activities are funded by the government and some by the project.</p> <p>To respond to the midterm target, one consultant will be involved to collect and make a review / analysis to see the level of achievement of activities and how significant the project has contributed to it.</p> <p>The project identified that the challenge of developing new indicators are necessary solutions by focusing more on input such as protecting government assets with certain range of value</p>		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				instead of focusing only on output.		
<b>Outcome 1: Effective national framework for managing wildlife trade. Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade</b>						
1.1: The following key legislation gaps are addressed by improved IWT legislation documents approved by Government:  -Minimum fines and sentences increased to provide deterrent effect;  - Non-native endangered species including elephant, rhinoceros, big cat and pangolin species given legal protection  - Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species  - Authority of forestry civil investigators improved	0	-Minimum fines increase by 25%  Average  Sentences increase by 10% on baseline. Indonesian protected species list updated to include all CITES Appendix 1 and globally threatened species, including non-native species	All key gaps incorporated in the issued legislation and be implemented.	Substantial progress on the key legislation gaps that will be addressed by the project has not been achieved. However, project has conducted series of studies to understand recent condition of IWT in Indonesia. List of studies has been provided in 0.1.  During the past year, there has been an increasing number of seizures/operations as a result of improved patrol activities. However, based on current regulation, no fine can be applied since the act is categorized as criminal instead of civil act.  Referring there is no baseline and legal umbrella for violations of wildlife, the project will propose indicators that are more		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
<ul style="list-style-type: none"> <li>- Detention/prison evaluation for creating deterrent effect and rehabilitation for criminals.</li> <li>- Online trade regulation to address online wildlife trafficking.</li> </ul>				<p>measurable with FGD in Q4 2019.</p> <p>Some of the steps achieved in 2018 - 2020, there was the development of a National Strategy to Combat Illegal Wildlife Trafficking Documents to the Indonesian government, in this case the DG GAKKUM and its partners. The document is still finalization periods.</p> <p>With the economic assessment, it will be very useful for investigators (Indonesian National Police and Ministry of Environment and Forestry), prosecutors, and the panel of judges who process court cases related to wild animal crimes in the process of preparing case files, prosecutions, and passing judgement.</p>		
1.2: Inter-agency taskforce in place and operational as indicated/measured by the signing of an inter-	0	<p>Inter-agency taskforce in place and operational;</p> <p>1 inter agency collaboration</p>	<p>Inter-agency taskforce operational;</p> <p>1 formal inter agency</p>	Mid and end of project target level have been achieved (100%). One (1) interagency task force between law enforcement agencies and the operation		<u><a href="#">To be completed in draft MTR report</a></u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
agency agreements targeting IWT		agreement	collaboration agreements	<p>of investigative networks for the project target areas of northern Sulawesi has been established.</p> <p>We first focus the establishment of the government initiated and led task force for Bitung port of North Sulawesi as the major trading hub for eastern Indonesia and a major exit point for wildlife trafficking to Philippines and beyond.</p> <p>The interagency task force was established under Major Decree, consisting of relevant stakeholder including Gakkum, BKSDA, Customs, Animal Quarantine, Marine Police (Polair), State Prosecutor's Office, Pelindo and other related stakeholders.</p> <p>The project also initiated similar task force in East Java since 2018. Stakeholders have agreed to develop task force which involve MoEF, Police, custom office and</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>quarantine office. During the process, the project has witnessed a better coordination between stakeholders.</p> <p>Although task forces in East Java and Medan have not yet been formalized, but joint operations have been carried out.</p> <p>Thus, we have exceeded the EOP target of the project.</p>		
<b>Outcome 2: Institutional capacity for implementation and enforcement at the national and international levels. <u>AND</u> Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels.</b>						
<p>2.1: Strengthened institutional capacity to combat IWT as indicated by</p> <p>i) The ICCWC Indicator Framework (note – baselines to be determined in year 1)</p> <p>ii) UNDP Capacity Development Scorecard for Gakkum (see Annex 18)</p> <p>iii) Operational status of Gakkum's Information</p>	<p>i) ICCWC Indicator Framework – Baseline scores TBD</p> <p>ii) UNDP CD Scorecard Baseline Score: 60%</p> <p>iii) Operational database within Gakkum</p>	<p>i) ICCWC Indicator Framework – Midterm targets TBD</p> <p>ii) UNDP CD Scorecard Midterm Target: 70%</p> <p>iii) Data sharing agreements enacted between government agencies</p>	<p>i) ICCWC Indicator Framework – Project Completion targets TBD</p> <p>ii) UNDP CD Scorecard EOP Target: 80%</p> <p>iii) Information System is fully operational and operated by trained staff</p>	<p>- Series of workshops to strengthen the capacity of Gakkum have been conducted.</p> <p>- At least 250 personnel have improved knowledge on IWT.</p> <p>- The TOR for the framework and scorecard has been developed. The consultant recruitment for reviewing and analyzing has been recruited. The achievement for this activity is 30% for law enforcer and</p>		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
System				<p>police development capacity assessment.</p> <p>Series of workshops to enhance capacity of Directorate General of Law Enforcement on Environment and Forestry has been conducted. The project also compiled a series of SOP's on animal handling and a syllabus on combatting illegal wildlife trade.</p> <p>The project has compiled TOR's to update ICCWC Indicator Framework, and CD Scorecard. The activities has to be postponed due to Covid-19 pandemics. The project will continue to update the scorecards in the second semester of 2020.</p> <p>Related Gakkum's Information System, the project has contributed to the setup of Gakkum's Operation Room and enhance the capacity of the Gakkum's staffs on advanced intelligence</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>training on online wildlife trade. Based on online patrols, the Directorate of Forest Protection found 1.513 online wildlife trade activities between October 2017-December 2019.</p> <p>In mid-2018, a training series was conducted to build a new toolkit and investigative software for the national database. Purchase of oxygen software and training of the software was carried out in Bandung.</p> <p>Meeting series for SPARTAN and the application socialization in Jakarta, Bogor and Palu (2018). Then an investigative training series was carried out in Bandung until 2019.</p> <p>2018, coordination between Indonesian and Malaysian law enforcers was carried out to stop the smuggling of orangutans to Malaysia from Aceh Tamiang (Indonesia).</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Basic investigative training for law enforcement staff involving 115 participants in Pekanbaru, Palangkaraya, Makassar, Manokwari and Bogor. 60 people passed the psychological test to participate in the training.</p> <p>Involving women in forestry crime investigation training and rangers activities in Jojakarta, Medan, Makassar and Bogani Nani Wartabone National Park.</p>		
2.2: - Annual number seizures/arrests - Annual number of successful prosecutions	Official national statistics on seizures/arrests and prosecutions  From mid-2015 to mid-2016: The WCU facilitated law enforcement operations for 31 cases with 55 people arrested and taken to court. Of those with a known outcome, 41 were prosecuted	Official national statistics on seizure/arrests and prosecutions  >10% increase in seizures/arrests from baseline  >50% cases prosecuted	Official national statistics on seizures/arrests and prosecutions  >25% increase in seizures/arrests from baseline  >75% cases prosecuted	<p>Since 2017-2018 the project has facilitated Directorate of PPH to conduct wildlife handling operations.</p> <p>Number of wildlife and its parts of body seized from trafficking during 2017-2018:</p> <ul style="list-style-type: none"> <li>- part of body (pieces) = 49</li> <li>- wildlife (live) = 3,251</li> <li>- skin (sheet) = 45</li> </ul>		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
	(100% prosecution). This is for terrestrial species in Sumatra and Java.			<ul style="list-style-type: none"> <li>- wildlife (dead) = 2</li> <li>- full offset (pieces) = 11</li> <li>10% increase in seizure and prosecutions</li> </ul> <p>Referred to data from Directorate of Criminal Law Enforcement, Directorate General of Law Enforcement on Environment and Forestry, MoEF on 2016, as a baseline, showed 51 cases prosecuted. For 2019, the number of cases prosecuted showed 65. It is showed a 27,5% increases compared to baseline (Ev7-LAKIP DG of Law Enforcement 2019).</p>		
2.3: - Annual number of joined up transnational counter-IWT operations - Annual number of seizures as a result of transnational counter-IWT operations	No transnational operations	1 transnational operation/seizure	3 transnational operations/seizures	From the end of 2018 until February 2019, coordination has been conducted with Malaysian government as the follow to transnational smuggling seizure of Orangutan from Aceh Tamiang (Indonesia) to Malaysia. The disclosure of this case is likely to halt the smuggling network in Indonesia.		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Project also facilitated related officers to conduct a follow-up investigation related to the illegal trade of souvenir items of protected species body part involving Dutch citizens. Investigation was carried out in collaboration with Dutch prosecutors and Dutch police to examine two witnesses and the evidence seized in the Netherlands.</p> <p>August 2019, the case has been included in P21 (i.e. the surrender of the suspect and evidence)</p>		
<b><i>Outcome 3: Scaling-up improved enforcement strategy at key trade ports and connected ecosystems. Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems</i></b>						
3.1: Enforcement effectiveness at 5 key trade ports (Jakarta, Surabaya, Bitung, Belawan and Kualanamu airport), indicated by:  - Annual PortMATE assessment tool scores (average score for KSDA, Customs, Port	PortMATE Baseline scores:  Surabaya (Tg Perak):17.00  Belawan: 18.67	25% increase over baseline score	50% increase over baseline score	Pre PortMATE assessment has been done in Tanjung Perak in 2018. The complete assessment will be done as soon as we have support from UNDP's other project related to port assessment, and will advance the portmate assessment.  WCS has conducted		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
Management Authority at each port)				<p>PortMATE assessment in Bitung port. This port is located in North Sulawesi province and was chosen due to its strategic position as the transit route for illegal trafficking of protected wildlife both from within Indonesia, especially from eastern Indonesia, and to neighboring countries, particularly the Philippines. The port is considered to be a hub for smuggling reptile, birds and parrots originated from Papua, Maluku, and Sulawesi, to the Philippines.</p> <p>The result of PortMATE was 20.7 out of a possible score of 63. This means an increase of 11% from the baseline assessment. The study has provided the target score for Bitung Seaport as 52. It provides recommendations for achieving the target. The first assessment was done by WCS, thus it is expected that the next assessment will engage port managers. In phase 3 port management authority is</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				expected to implement the proposed recommendations. Planning for other targeted ports are underway.		
3.2: Effective enforcement of two subnational regions known to include significant wildlife trade routes, measured by:  - annual number of IWT seizures at the project sites  - annual number of IWT investigations leading to arrests at the project sites;  - annual number of successful IWT prosecutions at the project sites	4666 wild animals seized from 34 protected species  Source: Lakip, Gakkum 2016	Increasing number of cases prosecuted (c.10%)	Increasing number of settled cases on IWT by ...%	The project is developing work plan to assess the increasing of the prosecuted cases. (will hire Individual Contract in Q1 2020).		<u>To be completed in draft MTR report</u>
<b>Outcome 4: Knowledge Management, M&amp;E and Gender Mainstreaming. Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming</b>						
4.1: number of project lessons documented and used by other national and international projects.	0	At least 3 project lessons used by other national and international projects	At least 5 project lessons used by other national and international projects	This project is in early implementation. Some of the lessons learned has been collected will be documented by the end of		<u>To be completed in draft MTR report</u>

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>the year 2019, such as:</p> <ul style="list-style-type: none"> <li>- Animal evacuation training,</li> <li>- practical examples of technic forensic for forest rangers</li> <li>- civil investigators.</li> </ul> <p>The project, with YIARI, developed a SOP for translocation, habituation, and post-release monitoring for slow lorises. To learn about slow-loris management, a Malaysian nongovernment organization, 1stop Borneo Wildlife, conducted a learning session for habituation and post-release management. They have the plan to build a slow loris rehabilitation center in Sabah, Malaysia. YIARI, through microgrant funded by CIWT, also collaborated with other NGOs on the implementation of SOP for translocation, habituation, and post-release monitoring</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>for slow lorises. The outcome of slow lorises handling procedures has been carried out by PPS Takoki. The animals came from confiscated animals of illegal wildlife operations. While with SOCP (Sumatera Orangutan Conservation Program) in the handling and release of seized four slow lorises and two langurs (Ev6-YIARI Microgrant Final Report)</p> <p>To reach out to more institutions and personnel on improving knowledge of combatting illegal wildlife trade, the project has the plan to set up a knowledge management system for e-learning. For the first step, the project has produced a video series on collecting and handling biological material from wild animals and plants by morphological and DNA analysis. The production is expected by August 2020.</p> <p>The project also conducted a Knowledge, Attitude, and</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Practice (KAP) Survey to support communication strategy for a social marketing campaign on IWT. The survey implemented by Lembaga Demografi, University of Indonesia. The survey is aimed to understand the current situation on the IWT -related issues, challenges, and opportunities in Indonesia to combat IWT, as well as the knowledge, attitude, and practices of the campaign's target audience groups. Due to Covid</p> <ul style="list-style-type: none"> <li>-</li> <li>- 19 Pandemics, the survey has been slightly off -track from the schedule.</li> </ul> <p>Some of the lessons learned has been collected will be documented by the end of the year 2020, such as:</p> <ul style="list-style-type: none"> <li>- SOP of Animal Handling</li> <li>- SOP of DNA Forensic;</li> <li>- SOP wildlife morphology analysis.</li> </ul> <p>SOP of animal handling:</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>target: Forest Rangers, Airport Authorities, Port Authorities, NGO</p> <p>In the second semester of 2020, The project produced a serial video training on Standard Operating Procedures for Collecting and Handling Material from Wild Animals and Plants for Morphological and DNA Analyses. This video was made in collaboration with the Biology Research Center, Indonesian Institute of Sciences.</p> <p>The project also produced 2 tutorial videos for SPARTAN (Forest Security Vulnerability Monitoring System). Directorate of Forest Protection, Directorate General of Law Enforcement, Ministry of Environment and Forestry developed SPARTAN, also with support by the project since 2018. SPARTAN is a spatial-data-based platform</p> <p>FGD "Campaign Plan for Social Behavior Change</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Communication" for CIWT Jakarta, 21 February 2019. Conduct focused discussions with relevant parties to find out the right communication strategies in disseminating information, awareness, care and ownership, as well as changing people's behavior towards the trade in protected wildlife.</p> <p>WWF: One set material for Public Services Announcement on combatting wildlife crime to be announced in Cinema.</p> <p>MoU with local MUI to promote and localize national Fatwa MUI on combatting wildlife crime by using religious approach (promote the MUI Fatwa No.4 of 2014 regarding protection of endangered species for the balancing of ecosystem to reduced demand of wildlife trade)</p> <p>Climate Corner (Pojok</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Iklim):</p> <p>Discussion related Illegal Wildlife Trade (Jakarta, 28 November 2018). This activity is intended for:</p> <ol style="list-style-type: none"> <li>1. Increase knowledge, up-to-date information, and stakeholder understanding of Illegal Wildlife Trade (IWT) and illegal logging in Indonesia;</li> <li>2. The creation of understanding and closer cooperation and synergy between law enforcers in counteracting IWT practices and illegal logging to eradicate climate change.</li> <li>3. Seek input from various parties in supporting the eradication of wildlife trade and illegal logging.</li> </ol> <p><b>Women activities:</b></p> <p>Establish Sub Pokja Gender on Directorate Forest Protection, supported by the project.</p> <p>The project successfully engaged to facilitate the Training of Inspiring</p>		

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Description of Indicator	Baseline Level	Midterm Target Level	End-of-Project Target Level	Mid-Term Level & Assessment (as per latest PIR / PAR)	Achievement Rating	MTR Consultants' Justification for Rating
				<p>Women for forest rangers' partners at Bogani Nani Wartabone National Park on 8 October 2020-14 October 2020. The training gave positive feedback and support from the local government and covered by 20 national and local online media</p> <p>In cooperation with the Human Resources Agency of the Ministry of Environment and Forestry, the project engaged Forest Rangers Competencies Mapping Assessment related to gender issues.</p>		

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**Appendix G: Project Midterm Review / Evaluation Report – Self Assessment**

**Project Name:**

**Type of Project Evaluation:**

**International Consultant (Team Leader):**

**National Consultant (Technical Expert):**

CRITERIA <sup>12</sup>	Score (in the scale of 1 to 6)
<b>6.10.2. Evaluation report structure, methodology and data sources</b>	
Are the evaluation report's objectives, criteria, methodology and data sources fully described and are they appropriate given the subject being evaluated and the reasons for carrying out the evaluation?	
<b>STRUCTURE</b>	
2.1. Is the evaluation report well-balanced and structured? - With sufficient but not excessive background information? - Is the report a reasonable length? - Are required annexes provided?	PLEASE SELECT
2.2. Does the evaluation report clearly address the objectives of the evaluation as outlined in the TOR?	PLEASE SELECT
<b>METHODOLOGY</b>	
2.3. Is the evaluation's methodological approach clearly outlined? - Any changes from the proposed approach are detailed with reasons why	PLEASE SELECT
2.4. Are the nature and extent of the role and involvement of stakeholders in the project/programme explained adequately?	PLEASE SELECT
2.5. Does the evaluation clearly assess the project's/programme's level of relevance?	PLEASE SELECT
2.6. Does the evaluation clearly assess the project's/programme's level of effectiveness?	PLEASE SELECT
2.7. Does the evaluation clearly assess the project's/programme's level of efficiency?	PLEASE SELECT

<sup>12</sup> UNDP Evaluation Guidelines, Section 6 – Quality Assessment of Decentralized Evaluation, page 8.  
[\(\[http://web.undp.org/evaluation/guideline/documents/PDF/UNDP\\\_Evaluation\\\_Guidelines.pdf\]\(http://web.undp.org/evaluation/guideline/documents/PDF/UNDP\_Evaluation\_Guidelines.pdf\)\).](http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf)

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## Midterm Review CIWT Project

CRITERIA <sup>12</sup>	Score (in the scale of 1 to 6)
2.8. Does the evaluation clearly assess the project's/programme's level of sustainability?	PLEASE SELECT
<b>DATA COLLECTION</b>	
2.9. Are data-collection methods and analysis clearly outlined? - Data sources clearly outlined (including triangulation methods)? - Data analysis approaches detailed? - Data-collection methods and tools explained?	PLEASE SELECT
2.10. Is the data-collection approach and analysis adequate for the scope of the evaluation? - Comprehensive set of data sources (especially for triangulation) where appropriate? - Comprehensive set of quantitative and qualitative surveys, and analysis approaches where appropriate? - Clear presentation of data analysis and citation within the report? - Documented meetings and surveys with stakeholders and beneficiary groups, where appropriate?	PLEASE SELECT
2.11. Are any changes to the evaluation approach or limitations in implementation during the evaluation mission clearly outlined and explained? - Issues with access to data or verification of data sources? - Issues in availability of interviewees? - Outline how these constraints were addressed	PLEASE SELECT
<b>REPORT CONTENT</b>	
2.12. Does the evaluation draw linkages to the UNDP country programme strategy and/or UNDAF?	PLEASE SELECT
2.13. Does the evaluation draw linkages to related national government strategies and plans in the sector/area of support? - Does the evaluation discuss how capacity development or the strengthening of national capacities can be addressed?	PLEASE SELECT
2.14. Does the evaluation detail project funding and provide funding data (especially for GEF)? - Variances between planned and actual expenditures assessed and explained? - Observations from financial audits completed for the project considered?	PLEASE SELECT
2.15. Does the evaluation include an assessment of the project's M&E design, implementation and overall quality?	PLEASE SELECT
2.16. Does the evaluation identify ways in which the programme/project has produced a catalytic role and has demonstrated: (a) the production of a public good; (b) demonstration; (c) replication; and/or (d) scaling up (GEF evaluations)?	PLEASE SELECT
2.17. Are indicators in the results framework assessed individually, with final achievements noted?	PLEASE SELECT
<b>6.10.3 Cross-cutting issues</b>	
<b>Does the evaluation report address gender and other key cross-cutting issues?</b>	

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## Midterm Review CIWT Project

CRITERIA <sup>12</sup>	Score (in the scale of 1 to 6)
3.1. Are human rights, disabilities, minorities and vulnerable group issues addressed where relevant?	PLEASE SELECT
3.2. Does the report discuss the poverty/environment nexus or sustainable livelihood issues, as relevant?	PLEASE SELECT
3.3. Does the report discuss disaster risk reduction and climate change mitigation and adaptation issues where relevant?	PLEASE SELECT
3.4. Does the report discuss crisis prevention and recovery issues as relevant?	PLEASE SELECT
3.5. Are the principles and policy of gender equality and the empowerment of women integrated in the evaluation's scope and indicators as relevant?	PLEASE SELECT
3.6. Do the evaluation's criteria and evaluation questions specifically address how gender equality and the empowerment of women have been integrated into the design, planning and implementation of the intervention and the results achieved, as relevant?	PLEASE SELECT
3.7. Are a gender-responsive evaluation methodology, methods, tools and data analysis techniques selected?	PLEASE SELECT
3.8. Do the evaluation findings, conclusions and recommendations take aspects of gender equality and the empowerment of women into consideration?	PLEASE SELECT
3.9. Does the evaluation draw linkages to the Sustainable Development Goals and relevant targets and indicators for the area being evaluated?	PLEASE SELECT
3.10. Does the terminal evaluation adequately address social and environmental safeguards, as relevant? (GEF evaluations)	PLEASE SELECT
<b>6.10.4 Evaluation results</b>	
<b>This section details all the evaluation results, findings, conclusions and recommendations. Both GEF and UNDP projects use the same questions for quality assessment.</b>	
Does the report clearly and concisely outline and support its findings, conclusions and recommendations?	PLEASE SELECT
<b>FINDINGS AND CONCLUSIONS</b>	
4.1. Does the evaluation report contain a concise and logically articulated set of findings?	PLEASE SELECT
4.2. Does the evaluation report contain a concise and logically articulated set of conclusions?	PLEASE SELECT
4.3. Does the evaluation report contain a concise and logically articulated set of lessons learned?	PLEASE SELECT
4.4. Do the findings and conclusions relate directly to the objectives of the project/programme? - Are the objectives of the evaluation as outlined in the TOR?	PLEASE SELECT
4.5. Are the findings and conclusions supported with data and interview sources? - Are constraints in access to data and interview sources detailed?	PLEASE SELECT

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CRITERIA <sup>12</sup>	Score (in the scale of 1 to 6)
4.6. Do the conclusions build on the findings of the evaluation? - Do the conclusions go beyond the findings and present a balanced picture of the strengths and limitations of the evaluation's focus?	PLEASE SELECT
4.7. Are risks discussed in the evaluation report?	PLEASE SELECT
<b>RECOMMENDATIONS</b>	
4.8. Are the recommendations clear, concise, realistic and actionable? - A number of recommendations are reasonable given the size and scope of the project/programme - Recommendations link directly to findings and conclusions	PLEASE SELECT
4.9. Are recommendations linked to country programme outcomes and strategies and actionable by the country office? - Is guidance given for implementation of the recommendations? - Do recommendations identify implementing roles (UNDP, government, programme, stakeholder, other)?	PLEASE SELECT

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### Appendix H: Translated Questions

<b>Tabel 9. Matriks Evaluasi</b>			
Pertanyaan Untuk Evaluasi	Indikator	Sumber Informasi	Metodologi
<b>Strategi Proyek: Sejauh mana strategi proyek relevan dengan prioritas negara, kepemilikan negara, dan rute terbaik menuju hasil yang diharapkan? results?</b>			
Apakah Anda yakin proyek tersebut masih relevan dengan konteks Indonesia dan sejauh ini dampak apa yang disadari, jika ada?	Konsistensi dengan strategi dan kebijakan nasional. Partisipasi badan-badan nasional / negara bagian dalam pengembangan proposal	Dokumen proyek, catatan hasil pertemuan	Desk review, kuesioner dan interview
Apakah pelajaran dari proyek lain dimasukkan ke dalam strategi proyek?		dokumen kebijakan nasional	
Bagaimana tujuan dan sasaran proyek digunakan untuk memperbarui CPAP (2021-2025)?	Konsistensi dengan CPAP yang diperbarui	Perbandingan antara CPAP (2016-2020) dan CPAP (2021-2025)	Desk review, kuesioner dan interview
Bagaimana tujuan dan sasaran proyek digunakan untuk memperbarui CPAP (2021-2025)?	Konsistensi dengan GWP	GWP TOC dan dokumen praktik terbaik	Desk review dan interview dengan UNDP-CO dan RTA
Apakah strategi proyek yang dikembangkan disadari olehmu?	Konsistensi dengan strategi dan kebijakan nasional. Partisipasi badan-badan nasional / negara bagian dalam pengembangan proposal	Dokumen proyek dan catatan pertemuan	Desk review, kuesioner dan interview
Apa prioritas pembangunan sektor nasional /provinsi/kabupaten?		dokumen kebijakan nasional	
Apakah orang-orang yang berpotensi terkena dampak proyek memiliki kesempatan untuk memberikan masukan untuk rancangan dan strateginya?	Tingkat partisipasi orang berpotensi terkena dampak proyek	dokumen proyek, laporan inception SESP interview untuk pemangku kepentingan	Desk review dan interview

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Apakah gender dan inklusivitas sosial dipertimbangkan dalam mengembangkan strategi proyek?	Keterlibatan aktif pemangku kepentingan dari laki-laki dan perempuan	dokumen proyek, laporan inception	Desk review, kuesioner dan interview
		SESP interview untuk pemangku kepentingan	
Jika Anda memiliki kesempatan untuk mendesain ulang proyek, perubahan apa yang akan Anda buat?	Dokumentasi pelajaran apa pun yang dipetik hingga saat ini	PIR, Interview pemangku kepentingan	Kuesioner dan interview
<b>Kemajuan Menuju Hasil: Sejauh mana hasil dan tujuan yang diharapkan dari proyek telah tercapai sejauh ini?</b>			
Apakah alat pelacakan dan kartu skor GEF7 menunjukkan peningkatan dari awal proyek hingga paruh waktu?	Peningkatan skor dari masing-masing alat pelacakan	Alat pelacakan, interview pemangku kepentingan	Desk review dan interview
Bagaimana kartu skor telah dikelola (melalui konsultan ahli atau oleh PCU)?	Bukti siapa yang mengawasi kartu skor dan pengumpulan data	Alat pelacakan, interview pemangku kepentingan	Desk review dan interview
Apa hambatan yang tersisa, untuk mencapai tujuan proyek, dalam waktu yang tersisa sampai proyek selesai?	Identifikasi hambatan dan strategi untuk mengatasi hambatan	Progress reports, meeting minutes, stakeholder interviews	Desk review, kuesioner dan interview
Berdasarkan keberhasilan yang teridentifikasi, bagaimana proyek dapat memperluas manfaat ini lebih jauh?	Replikasi Keluaran yang berhasil (sucessfully output) dan bukti pengelolaan PA yang ditingkatkan	Progress reports, meeting minutes, stakeholder interviews	Desk review, kuesioner dan interview
Bagaimana beban kerja dibagi di antara PCU?	Pembagian kerja yang sama relatif terhadap komponen proyek.	Org chart, meeting minutes and stakeholder interviews	Desk review, kuesioner dan interview
Bagaimana COVID-19 memengaruhi hasil dan tujuan proyek?	Identifikasi hambatan untuk memenuhi tujuan dan hasil sebagai akibat COVID-19	Review implementasi proyek (PIR), Project Board and catatan pertemuan PCU, laporan kemajuan, interview pemangku kepentingan	Desk review, kuesioner dan interview
<b>Pelaksanaan Proyek dan Manajemen Adaptif: Apakah proyek telah dilaksanakan secara efisien, hemat biaya, sejauh ini mampu menyesuaikan dengan kondisi yang berubah? Sejauh ini sistem pengelolaan dan evaluasi tingkat proyek, pelaporan, dan komunikasi</b>			

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<b>proyek mendukung pelaksanaan proyek? Sejauh mana sistem pemantauan dan evaluasi tingkat proyek, pelaporan, dan komunikasi proyek mendukung implementasi proyek?</b>			
Apakah perubahan dalam pengaturan manajemen diperlukan, karena perubahan kondisi?	Hasil dari M&E digunakan untuk menyesuaikan dan meningkatkan keputusan manajemen	Review implementasi proyek	Desk review, kuesioner dan interview dengan staff proyek
		(PIR), Project Board and catatan pertemuan PCU, laporan kemajuan, interview pemangku kepentingan	
Apakah ada perubahan dalam pengaturan manajemen, dan apakah efektif?	Adaptasi dan refleksi mencirikan pengelolaan proyek	Review implementasi proyek	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
		(PIR), Project Board and catatan pertemuan PCU, laporan kemajuan, interview pemangku kepentingan	
Apakah IP efektif dalam memandu implementasi proyek?	Kepemimpinan Direktur Proyek Nasional dan rasa memiliki dari staff Direktorat	Review implementasi proyek	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
		(PIR), Project Board and catatan pertemuan PCU, laporan kemajuan, interview pemangku kepentingan	
Dukungan apa yang telah dibutuhkan oleh UNDP-CO melebihi mandatnya dalam implementasi NIM?	Kepemimpinan UNDP-CO dan RTA dan peran aktif UNDP dalam kegiatan proyek dan pelaksanaan proyek	Project Board and catatan pertemuan PCU, laporan kemajuan, interview pemangku kepentingan	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
Apakah UNDP efektif dalam memberikan dukungan untuk proyek?	Kualitas dan dukungan ketepatan waktu	Wawancara pemangku kepentingan, proyek pengadaan, pencairan dana dan METT	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
Apakah mitra pelaksana telah memenuhi kewajibannya dan efektif dalam pelaksanaan proyek?	Peran aktif dalam kegiatan proyek dengan dukungan stimulus untuk pelaksanaan proyek	Wawancara pemangku kepentingan, proyek pengadaan, METT dan pelaporan	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
Apakah terjadi penundaan dalam permulaan / pelaksanaan proyek, pencairan dana, atau pembelian?	Kepatuhan dengan jadwal sebagai direncanakan dan penyimpangan darinya ditangani dengan benar	Annual workplan (laporan tahunan), audit proyek, keluaran proyek (project outputs), pemangku kepentingan	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain

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Apakah perencanaan kerja untuk proyek (mis., Pencairan dana, penjadwalan, dll.) Efektif dan efisien?	Responsivitas terhadap permasalahan signifikan dalam implementasi	Annual workplan (laporan tahunan), audit proyek, keluaran proyek (project outputs), pemangku kepentingan	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
Apakah ada perubahan pada kerangka hasil proyek?	Varians antara inisial dan kerangka hasil proyek yang ada	Review implementasi proyek, laporan kemajuan dan interview pemangku kepentingan	Desk review, kunjungan ke lapangan dan interview
Apakah TOC telah diubah?	Varians antara TOC awal dan versi yang diperbarui	TOC	Desk review dan interview
Apakah co-financing mitra telah memenuhi komitmen mereka terhadap proyek?	Mobilisasi sumber daya oleh mitra di luar pendanaan proyek	Laporan Co-financing, laporan CDR	Desk review, kuesioner, interview dengan staff proyek dan stakeholder yang lain
		interview pemangku kepentingan	
Apakah M&E tools proyek memadai untuk memandu manajemen proyek yang sedang berjalan dan proses adaptif?	Anggaran dan dana yang memadai dialokasikan untuk M&E dan alat bantu dalam pelaksanaannya yang sebenarnya	Alat pelacakan (transkit tools) dan interview pemangku kepentingan	Desk review dan interview
Bagaimana risiko dikelola dalam proyek?	Pembaruan rutin dilakukan pada daftar risiko	Risk log	Desk review dan interview
Aspek apa yang paling menantang dan bermanfaat dari proyek yang Anda temui sejauh ini?	Antusiasme hasil proyek terkait dengan tujuan proyek dan kritik yang membangun	Interview pemangku kepentingan dan hasil kuesioner	Kuesioner dan interview
Bagaimana proyek menanggapi tantangan COVID-19?	Perubahan dalam ruang lingkup proyek dan / atau konteks capaian dan perencanaan secara khusus	Meeting dengan Project Board and PCU, laporan kemajuan, interview pemangku kepentingan	Desk review dan interview
<b>Keberlanjutan: Sejauh mana ada risiko keuangan, kelembagaan, sosial-ekonomi, dan / atau lingkungan untuk mempertahankan hasil proyek jangka panjang? ulti?</b>			
Setelah penyelesaian proyek, kemungkinan besar sumber keuangan yang memadai akan tersedia untuk mempertahankan hasil proyek?	Peluang finansial	Dokumen proyek, review proyek tahunan/PIR	Dokumen proyek dan review proyek tahunan (PIR)
	Keberlanjutan dari berbagai sumber yang ada		

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Apakah diharapkan, setelah proyek selesai, kepemilikan pemangku kepentingan akan cukup untuk mempertahankan hasil proyek?	Identifikasi dan keterlibatan Champions di berbagai tingkat proyek	Laporan kemajuan, catatan pertemuan, interview pemangku kepentingan dan hasil kuestioner	Desk review, kuesioner dan interview
Apakah kerangka hukum, kebijakan, dan pengaturan kelembagaan menguntungkan untuk mempertahankan hasil proyek setelah proyek selesai?	Strategi keluar tersedia dengan kebijakan, kerangka hukum, dan kapasitas kelembagaan diberlakukan	Laporan kemajuan, catatan meeting, interview pemangku kepentingan dan legislatif review	Desk review, kuesioner dan interview
Apakah ada risiko lingkungan yang dapat membahayakan keberlanjutan hasil proyek?	Faktor lingkungan atau negatif dampak diramalkan dan langkah-langkah mitigasi direncanakan	Laporan kemajuan, laporan pertemuan dan interview pemangku kepentingan	Desk review, kunjungan ke lapangan dan interview

## ANNEX D: RATING SCALES

Ratings scales presented here are as per guidance in: UNDP-GEF Directorate. 2014. Project-Level Monitoring: Guidance for Conducting Mid-term Reviews of UNDP-Supported, GEF-Financed Projects.

Ratings for Progress Towards Results: (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.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all 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 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 components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (HU)	Implementation of some of the 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 components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the 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
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## ANNEX E: LIST OF RESOURCES AND INFORMATION CONSULTED FOR THE MTR

No	Document name
<b>Documents in Root</b>	
1	PIMS 5391_IWT Indonesia_Prodoc_Final_signed 17Nov17.pdf
2	CIWT's Project Document Progress as 31 Desember 2020_FX.pdf
3	10_Project Location Map_IWT Indonesia_Prodoc_Final_signed 17Nov17.pdf
4	10_Project Location Map_IWT Indonesia_Prodoc_Final_signed 17Nov17.doc
5	05_5391 INCEPTION REPORT IWT ver-3 TD-YA-April 2019-clean.pdf
6	04_SESP CIWT Project.pdf
7	01_5391_Indonesia-Wildlife Trade GEF-6 PIF FINAL.pdf
8	02_Signed IP Wildlife Trade 5 Aug 2015.pdf
9	Updated GEF-6 Tracking Tool_GWP_Indonesia- Tracking_Tool_V0504 2018v_2021_FX_As of 11022021.xlsx
10	ICWT MTR-Interview-Schedule.xlsx
11	1st version_GEF6-Tracking Tool_GWP_Indonesia- Tracking_Tool_V0504 2018v#2.xlsx
<b>Prodoc Annexes Folder</b>	
12	Risk Matrix_CIWT_Updated.pdf
13	Annexes.pdf
14	Annex 4 - GWP TT_v.15 Dec 2016.xlsx
15	Annex 7 - Design Appraisal Stage Quality Assurance Report.pdf
16	Annex 11 - Baseline Report on Landscape Profiles.pdf
17	Annex 14 - Baseline Report on Databases.pdf
18	Annex 15 - Baseline Report on Policy Legal and Regulatory Framework.pdf
19	Annex 17 - Baseline Assessments of Demonstration Ports.pdf
<b>Supporting Docs (PIP, PAC) Folder</b>	
20	Budrevcoverpage_2021_USD1159709_final.pdf
21	2019 budrev to change Impl Agent_18 Jan 2019.pdf
22	<b><i>Signed Project Documents and Revisions Subfolder</i></b>
23	UNDP Co Financing Letter IWT.pdf
24	Prodoc_full signed 17Nov2017.pdf
25	IWT COSS Agreement_Signed copy.pdf
26	5391_Indonesia-Wildlife Trade GEF-6 PIF FINAL.pdf
27	07-07-15 PPG Approved Letter INDONESIA.pdf
28	Annex 1 - Multi year Workplan_v.19 Dec 2016.xlsx
29	Annex 4 - GWP TT_v.15 Dec 2016.xlsx

30	Annex 7 - Design Appraisal Stage Quality Assurance Report.pdf
31	Annex 11 - Baseline Report on Landscape Profiles.pdf
32	Annex 14 - Baseline Report on Databases.pdf
33	Annex 15 - Baseline Report on Policy Legal and Regulatory Framework.pdf
34	Annex 17 - Baseline Assessments of Demonstration Ports.pdf
35	<b><i>Signed Project Initiation Plan (PIP) Subfolder</i></b>
36	Minutes PAC Meeting IWT.pdf
37	DIPK DUK_IWT_Gakkum.pdf
38	Signed IP Wildlife Trade 5 Aug 2015.pdf-
39	Surat Sekjen GEF-CITES-endorsement%27%27.pdf
40	LOE OFP on Illegal Wildlife Trade 2015.pdf
41	07-07-15 PPG Approved Letter INDONESIA.pdf
42	05-15-2017 CEO Endorsement.pdf
43	Surat Sekjen GEF-CITES-endorsement%27%27.pdf
44	5391_Indonesia-Wildlife Trade GEF-6 PIF FINAL.doc
45	PIMS 5391_IWT Indonesia_Prodoc_resubmission_April 5, 2017-Addressed DT'....docx
46	PIMS 5391 UNDP-GEF DOA Indonesia-Combatting Illegal 10 Aug2017.pdf
47	DOA_signed_by BEATE_04August2015.pdf
	<b><i>IPAC_PAC Minutes Subfolder</i></b>
48	Surat Tindak Lanjut Pemrosesan Proyek IWT.pdf
49	PPG_IWT 2015.pdf
50	Minutes PAC Meeting IWT.pdf
51	Ministry of Finance_agree to countersign the prodoc_11 September 2017.pdf
52	Letter to Director MoF_for IWT.pdf
53	IWT CEO Endorsement 15May2017.pdf
54	DIPK DUK_IWT_Gakkum.pdf
55	5391_Minutes PAC Meeting IWT.pdf
<b>PIR Folder</b>	
56	2020-GEF-PIR-PIMS5391-GEFID9150.pdf
57	2019-GEF-PIR-PIMS5391-GEFID9150.pdf
<b>QMRs and PARs Folder</b>	
	<b><i>QMR 2018 Subfolder</i></b>
58	QMR IPAR_Q1_IWT_2018.pdf
59	QMR IPAR_Q2_IWT_2018.pdf
60	QMR IPAR_Q3_IWT_2018.pdf
61	QMR IPAR_Q4_IWT_2018.pdf

	<b><i>QMR 2019 Subfolder</i></b>
62	QMR IPAR_Q1_IWT_2019.pdf
63	QMR IPAR_Q2_IWT_2019.pdf
64	QMR IPAR_Q3_IWT_2019.pdf
65	Project Assurance Report (PAR) version 1.0_CIWT_2019.pdf
	<b><i>PAR 2020 Subfolder</i></b>
66	PAR 2020_S1_00094636 GEF IWT.pdf
67	PAR 2020_S2_00094636 GEF IWT.pdf
<b>Combined delivery report Folder</b>	
68	2017_CDR_Signed.pdf
69	2018_CDR_Signed.pdf
70	2019_CDR_Signed.pdf
71	2020_CDR_Jan-Dec.PDF
<b>AWPs Folder</b>	
72	New_AWP 2018 Update.pdf
73	AWP 2017_19 February 2018.pdf
74	AWP 2019_signed 18 Jan 2019.pdf
75	AWP 2020_00098732 GEF IWT.pdf
76	AWP 2020_revised to USD950000_final_Signed.pdf
77	AWP 2021_signed_USD1159709.pdf
<b>GEF7 Core Sheet Folder</b>	
78	09_GWP_Indonesia- Tracking_Tool_V0504 2018v#2.xlsx
79	09_GWP_Indonesia- Tracking_Tool_V0504 2018v_2021_FX_As of 11022021.xlsx
<b>Co-Financing Folder</b>	
80	S.340 - Co-Financing Realization for the UNDP-GEF 6 Project CIWT.pdf
81	Recapitulation Co-Financing MoEF 2017-2020.pdf
82	Prodoc Annex 10. Co-Financing Letter.pdf
<b>Microgrant Contract and Deliverable Folder</b>	
	<b><i>Microgrant JAAN Subfolder</i></b>
83	Grant Agreement_UNDP-JAAN_fin.pdf
84	FINAL REPORT JAAN UNDP 2018-2019 (00).pdf
85	Komik Ciko.pdf
86	Komik Orangutan_Manusia.pdf
87	KomikCiko_DariKandangMenujuKebebasan_23062018.pdf
88	KomikPenyu_Final_12052020.pdf
89	KomikStopSirkusLumba 2019.pdf
90	KomikTopengMonyet.pdf

	<b><i>Microgrant WCS Subfolder</i></b>
91	WCS Micro-Grant Agreement-IWT-signed.pdf
<b><i>01. Technical Progress Reports Subfolder</i></b>	
92	1.1. WCS Progress Report on Economic Assessment_17Apr18.pdf
93	2.1. WCS Progress Report on Capacity Needs Assessment_Gakkum_17Apr18.pdf
94	2.2. WCS Report on wildlife campaign_17Apr18.pdf
95	3.1. WCS Progress Report on SOP for ports_17APR18.pdf
96	3.2. WCS Progress Report on Multistakeholder Network Establishment_17Apr18.pdf
97	3.3. WCS Report on combatting illegal wildlife trade and HWC_17Apr18.pdf
98	Brainstorming on training topics with participants.jpg
99	Presentation about illegal wildlife trade.jpg
100	ToR TNA Gakkum_UNDP.DOCX
<b><i>02. Technical final report Subfolder</i></b>	
101	1.1. Report on Economic Assessment of Illegal and Legal Wildlife Trade in Indonesia.pdf
102	2.1. WCS Report on Capacity Needs Assessment_Gakkum_Final.pdf
103	Appendix A - Self-assessment survey.pdf
104	Appendix B - Course Syllabus.pdf
105	2.2. WCS Report on wildlife campaign_17Apr18.pdf
106	Combating Illegal Wildlife Trade - Campaign.mp4
107	IWT Campaign_2.mp4
108	3.1 WCS Report on Port Assessment in Bitung.pdf
109	PortMATE Indonesia v2.5 (English Language).pdf
110	PortMATE Indonesia v2.5 (Indonesian Language).pdf
111	3.2. WCS Report on Multistakeholder Network Establishment_Final.pdf
112	3.3. WCS Report on combatting illegal wildlife trade and HWC_Final.pdf
113	Appendix A.pdf
<b><i>Microgrant WWF Indonesia Subfolder</i></b>	
114	WWF Indonesia agreement.pdf
115	Rencana Strategis Penegakan Hukum TSL di Sumut_edit.pdf
116	Pedoman TSL TPPU_18Des.pdf
117	NOTULENSI FOKUS GROUP DISKUSI MUI-MEDAN.pdf
118	Laporan Modul Pramuka_layout.docx
119	<b><i>Microgrant YIARI Subfolder</i></b>
120	3. Grant Agreement UNDP-YIARI_fin.pdf
121	YIARI_FINAL LAPORAN SOCIAL MAPPING.pdf
122	YIARI_Laporan Akhir Program CIWT April 2018 - November 2019

123	YIARI_Laporan Akhir_CIWT_Eng.pdf
124	YIARI_Proiscing Workshop Bandung.pdf
<b>CIWT documents, reports and MoM Folder</b>	
125	Ev 1 Nastra CIWT.pdf
126	Ev2 1st Draft Economic Value Assessment of Protected Wildlife to Support Legal Processes
127	Ev4 [Draft] Guidelines on How to use money laundering regime to combat wildlife crime
128	Ev5 WWF Microgrant Final Report.pdf
129	Ev6 YIARI Microgrant Final Report.pdf
130	Ev7 Lakip DG of Law Enforcement 2019.pdf
131	Ev8 MoM FGD Syllabus for illegal wildlife trade.pdf
132	Ev9 JAAN Microgrant Final Report.pdf
133	Ev10 Fact Sheet Snare Removal Patrols.pdf
134	Ev11 Fact Sheet SPARTAN.pdf
135	Ev12 SOP Animal Handling.pdf
136	Ev13 Guideline Morphological Analyses.pdf
137	Ev14 Guideline Genetics Analysis.pdf
<b>Additional information &amp; NASTRA IWT Folder</b>	
138	ENGLI~1.PDF
139	CDR Matrix_Jan to Dec 2020_rev.pdf
140	First_Risk CWT.pdf
141	National Strategy & Action Plan CIWT.pdf
142	Updated_Risk Matrix_CIWT.docx
143	1a UNPDF Indonesia 2016-2020.pdf
144	1b UNSDCF Indonesia 2021-2025.pdf
145	CPD_UNDP_INDP_2015-2020.pdf
146	CPD-UNDP INDO 2021-2025.pdf
<b>PBM MoM Folder</b>	
147	Minutes of Meeting PBM Tahun 2018.pdf
148	Kesimpulan Project Board Meeting CIWT 2019.pdf
149	Kesimpulan_PBM_CIWT_2020.pdf
<b>Modul E-learning on IWT Folder</b>	
150	159-Pengamanan Tumbuhan dan Satwa Liar.pdf
151	160-Operasi Pengamanan Tumbuhan dan Satwa Liar.pdf
152	161-Penegakan Hukum Tindak Pidana Satwa Liar.pdf
153	162 -Kerjasama Penegakan Hukum Tindak Pidana Satwa Liar.pdf
154	DELV3 ~1.pdf

155	Delv 2 Main Modul Konservasi Satwa Liar.pdf
<b>SOP in handling IWT</b>	
156	Buku Panduan Penanganan (Handling) Satwa-Aves_Final_ok.pdf
157	Pocket Book Guideline Morphological Analyses.pdf
158	Pocket Book SOP Genetic Analysis.pdf
<b>Gender Action Plan Folder</b>	
159	Final Report on Gender Action Plan in CIWT Project_revised
<b>Kick-off Meeting MTR, 4 March 2021 Folder</b>	
160	PPT CIWT for Inception Workshop MTR, 4 March 2021
161	UNDP-GEF CIWT MTR Kick-off_v2.0.pptx
<b>MoM of Interview - MTR Folder</b>	
162	MoM Interview Achmad Pribadi
163	MoM Interview Laksmi Dhewanthi
164	MoM Interview Muhammad Yayat Afianto
165	MoM Interview Richard Moore, Huda and Ode
166	MoM Interview Sofi Mardiah
167	MoM Interview Agus Prabowo
168	MoM Interview Iwan Kurniawan
169	MoM Interview Tashi Dorji
170	MoM Interview Ardi Risman
171	MoM Interview Supriyanto
172	MoM Interview Nining Ngudi Purnamaningtyas
173	MoM Interview Arif Widarto
174	MoM Interview Nafsir Fauzi Rizkian
175	MoM Interview Waldemar Hasiholan
176	MoM Interview Cahyo Rahmadi
177	MoM Interview Ebiprila Hasan
178	MoM Interview Lutfhi Susanto & Hendra
179	MoM Interview Damayanti Raturanda
180	MoM Interview Sugeng Irianto
181	MoM Interview Benvika
182	MoM Interview Sulis Diah
183	MoM Interview Haryono
184	MoM Interview Sustyo Iriyono

## ANNEX F: INTERVIEWS

## Mid-Term Review: "Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia" - Final MTR Report

Page 211

## Mid-Term Review: "Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia" - Final MTR Report

Page 212

## Mid-Term Review: "Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia" - Final MTR Report

Page 213

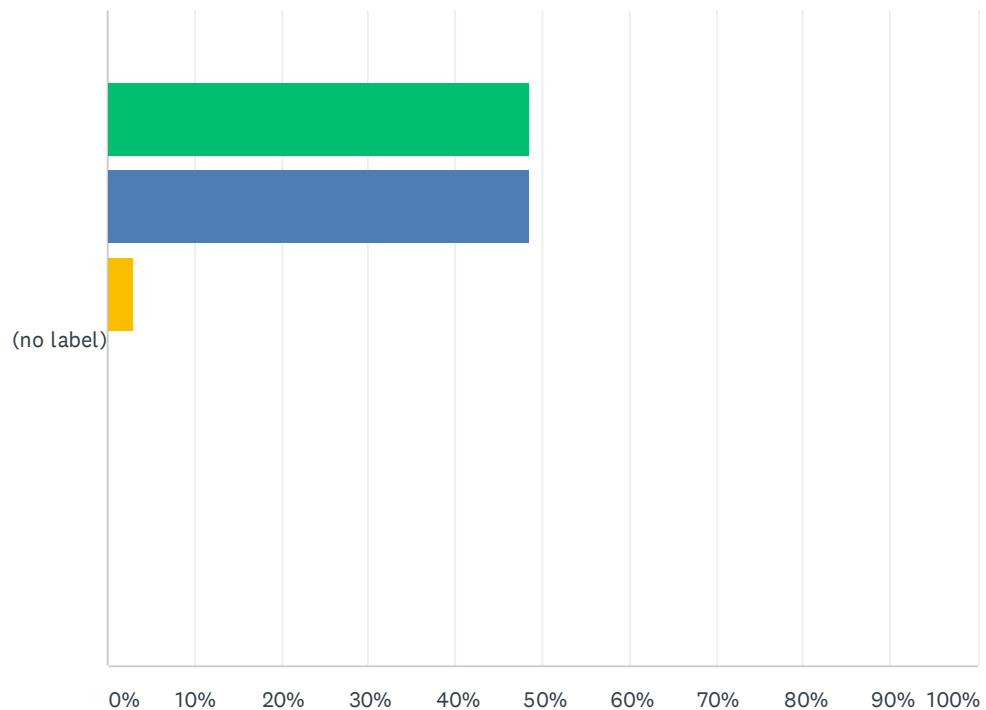
## Mid-Term Review: “Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia” - Final MTR Report

Page 214

## ANNEX G: ONLINE QUESTIONNAIRE RESULTS

**Q1 The CIWT project strategy to tackle the scale of illegal wildlife trade in Indonesia and the region is still relevant and consistent with national priorities. Strategi proyek CIWT untuk menanggulangi skala perdagangan satwa liar ilegal di Indonesia dan kawasan ini masih relevan dan konsisten dengan prioritas nasional.**

Answered: 33 Skipped: 0

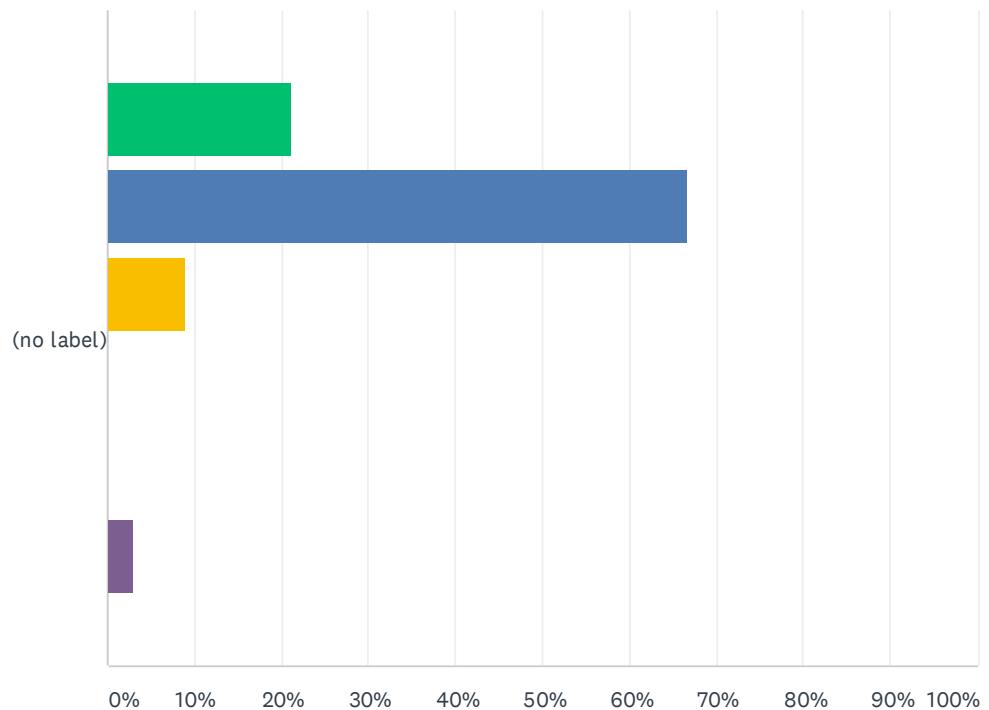


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	48.48% 16	48.48% 16	3.03% 1	0.00% 0	0.00% 0	0.00% 0	33	1.06

**Q2 The project approach and its four corresponding outcomes are appropriate to effectively address the core problem. Pendekatan dari proyek dan empat outcome yang tercantum dalam CIWT proDoc (dokumen proposal) sudah sesuai untuk secara efektif mengatasi inti masalah.**

Answered: 33 Skipped: 0



█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	21.21% 7	66.67% 22	9.09% 3	0.00% 0	0.00% 0	3.03% 1	33	1.66

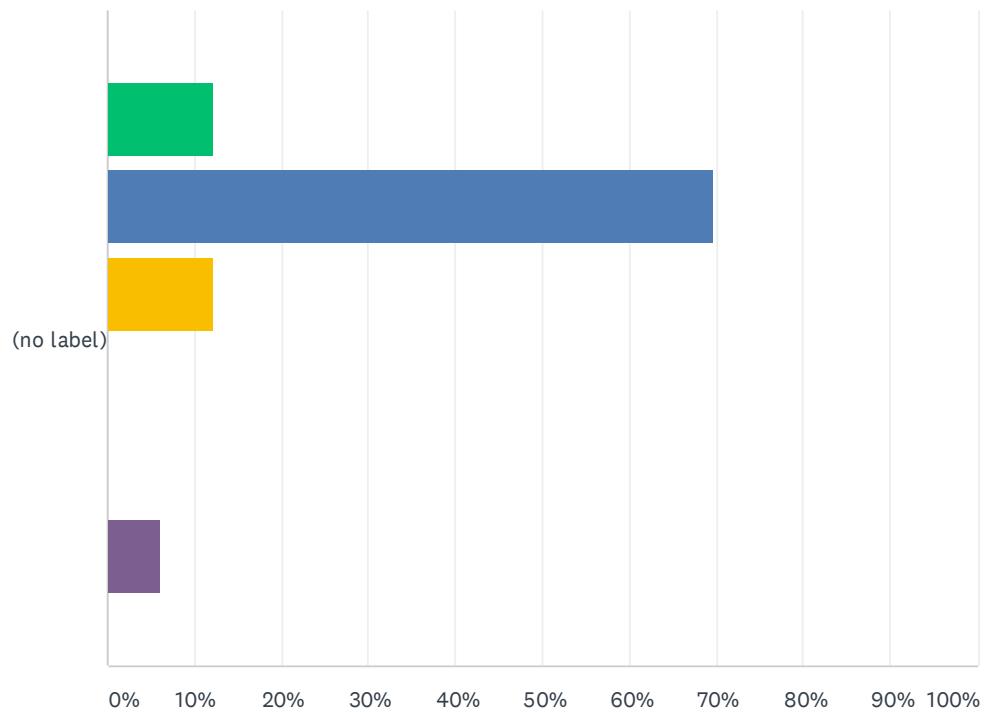
**Q3 Briefly describe the strengths and weaknesses of the CIWT project strategy and approach as you perceive them. Gambarkan secara singkat kekuatan dan kelemahan strategi dan pendekatan proyek CIWT saat anda mengetahui proyek ini?**

Answered: 33 Skipped: 0

ANSWER CHOICES	RESPONSES	
Strengths / Kekuatan	96.97%	32
Weaknesses / Kelemahan	93.94%	31
Suggested Improvements / Usulan untuk kemajuan proyek	87.88%	29

**Q4 The project's chosen performance indicators are specific, measureable, attainable, results focused, and time limited. Indikator kinerja yang dipilih dalam proyek CIWT sudah spesifik, dapat diukur, dapat dicapai, dan berdasarkan batasan waktu.**

Answered: 33 Skipped: 0

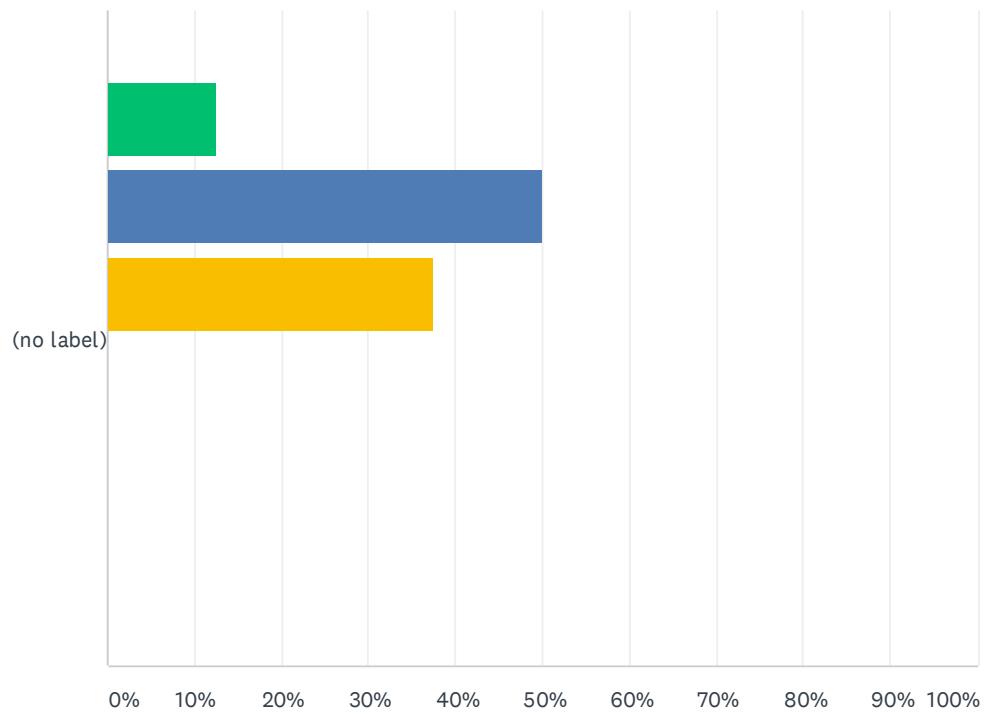


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.12% 4	69.70% 23	12.12% 4	0.00% 0	0.00% 0	6.06% 2	33	1.87

**Q5 The project has the right level of governance and support structure to achieve its objectives given its complexity. Proyek memiliki tingkat tata kelola dan struktur pendukung yang tepat untuk mencapai tujuan mengingat kompleksitasnya.**

Answered: 32 Skipped: 1

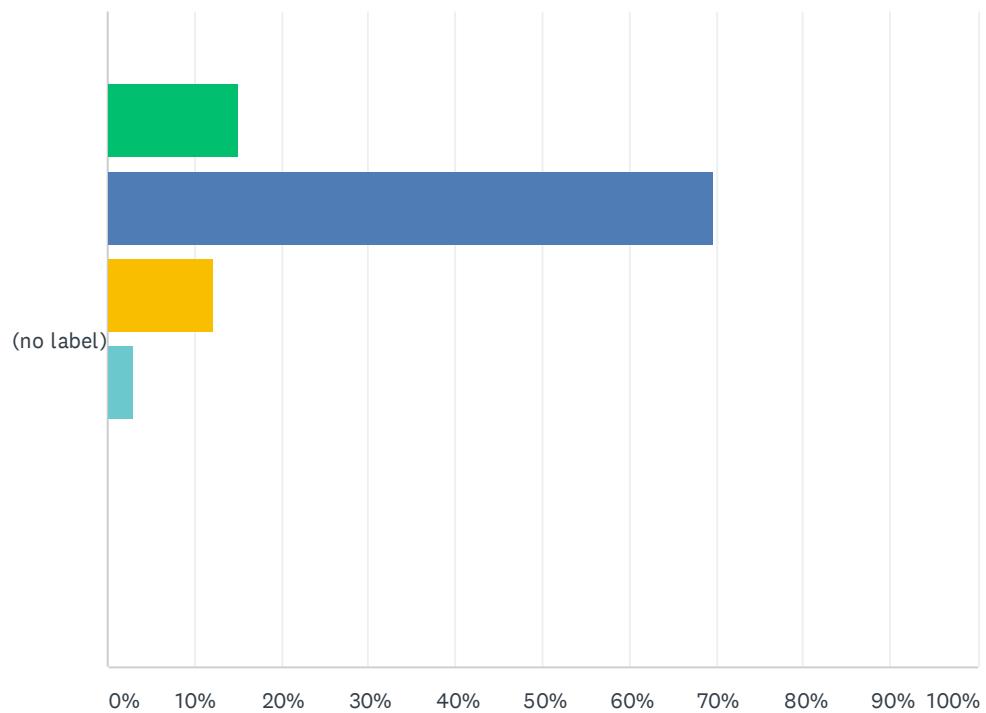


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
 █ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
 █ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.50% 4	50.00% 16	37.50% 12	0.00% 0	0.00% 0	0.00% 0	32	2.13

**Q6 The project has the right stakeholder involvement to achieve its objectives? Proyek CIWT memiliki keterlibatan pemangku kepentingan yang tepat untuk mencapai tujuannya.**

Answered: 33 Skipped: 0

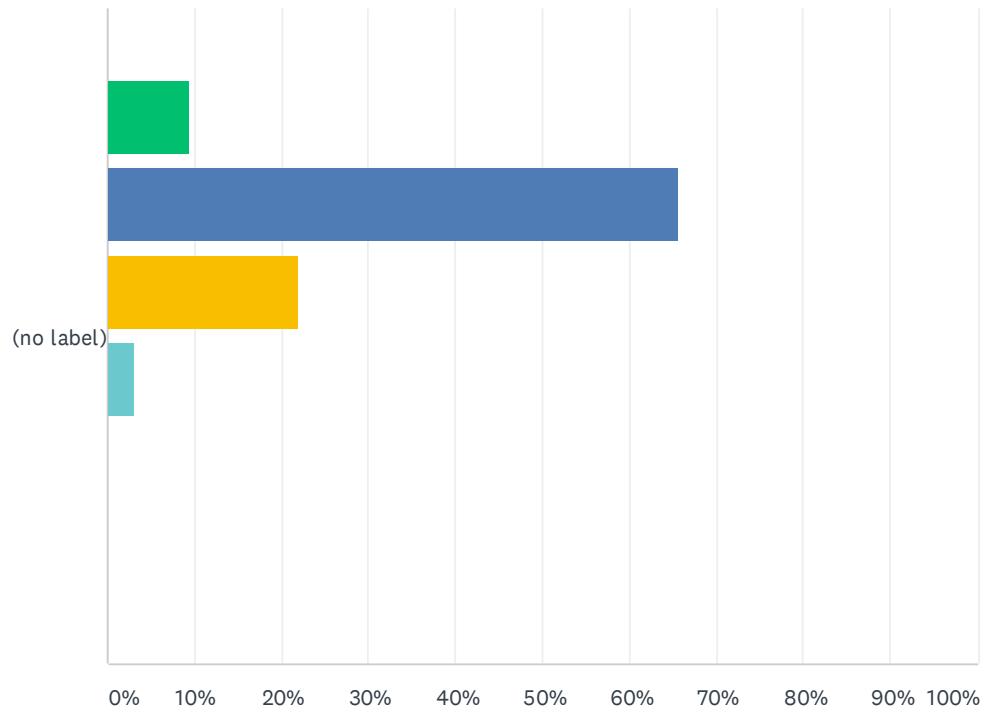


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.15% 5	69.70% 23	12.12% 4	3.03% 1	0.00% 0	0.00% 0	33	1.88

**Q7 Key project risks and constraints have been articulated by the stakeholders and included in the project documentation. Risiko dan kendala utama proyek telah diartikulasikan oleh para pemangku kepentingan dan dimasukkan dalam dokumentasi proyek.**

Answered: 32 Skipped: 1

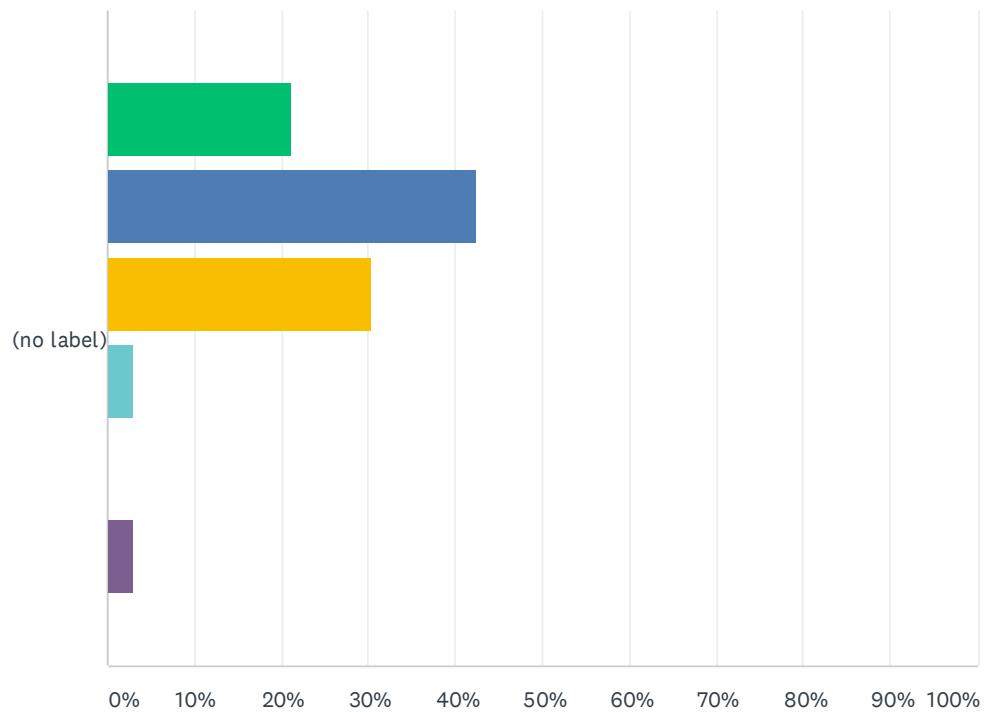


■ Strongly Agree / Sangat Setuju   ■ Agree / Setuju   ■ Neutral / Netral  
 ■ Disagree / Tidak setuju   ■ Strongly Disagree / Sangat Tidak Setuju  
 ■ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	9.38% 3	65.63% 21	21.88% 7	3.13% 1	0.00% 0	0.00% 0	32	2.09

## Q8 The project design and strategy prioritizes the needs and involvement of local communities and women. Rancangan dan strategi proyek telah memprioritaskan kebutuhan dan keterlibatan masyarakat lokal dan perempuan.

Answered: 33 Skipped: 0



█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
 █ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
 █ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	21.21% 7	42.42% 14	30.30% 10	3.03% 1	0.00% 0	3.03% 1	33	1.94

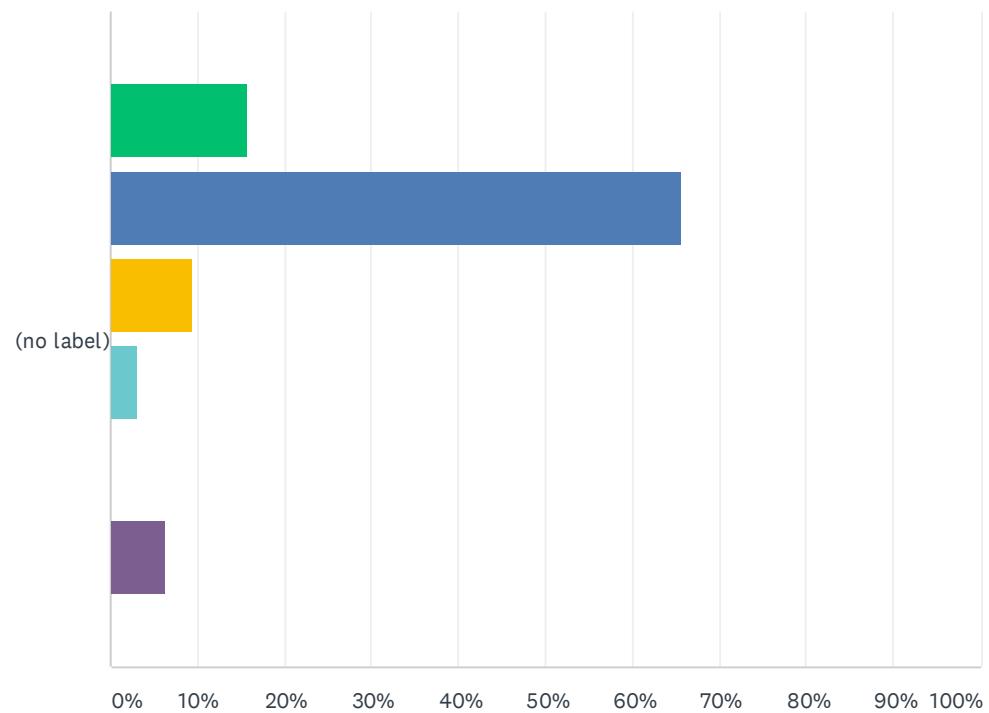
**Q9 Please provide suggestions for improving the project strategy and/or impact vis-à-vis the project's outcomes, outputs and activities. Mohon berikan saran untuk meningkatkan strategi proyek dan / atau dampak yang dihadapkan pada hasil, keluaran dan kegiatan proyek saat ini.**

Answered: 27 Skipped: 6

ANSWER CHOICES	RESPONSES	
Suggestion 1 / Saran 1	100.00%	27
Suggestion 2 / Saran 2	77.78%	21
Suggestion 3 / Saran 3	51.85%	14

**Q10 During the project design phase, tasks and division of responsibilities were adequately defined. Selama tahap desain proyek, tugas dan pembagian tanggung jawab diimplementasikan secara memadai.**

Answered: 32 Skipped: 1

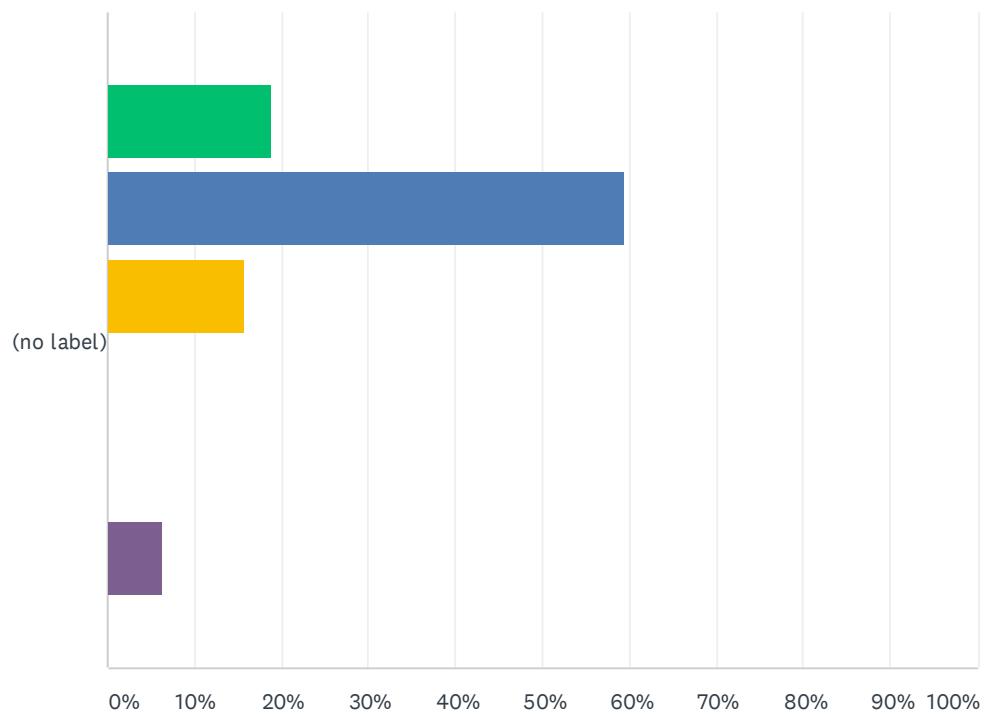


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ I was not involved at this stage / Saya tidak terlibat pada tahap ini

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	I WAS NOT INVOLVED AT THIS STAGE / SAYA TIDAK TERLIBAT PADA TAHAP INI	TOTAL	WEIGHTED AVERAGE
(no label)	15.63% 5	65.63% 21	9.38% 3	3.13% 1	0.00% 0	6.25% 2	32	2.00

**Q11** During annual work planning, my organization has appropriate input into and is regularly consulted in the process. Selama perencanaan kerja tahunan, organisasi saya memiliki masukan yang sesuai dan secara teratur diajak berkonsultasi dalam prosesnya.

Answered: 32 Skipped: 1

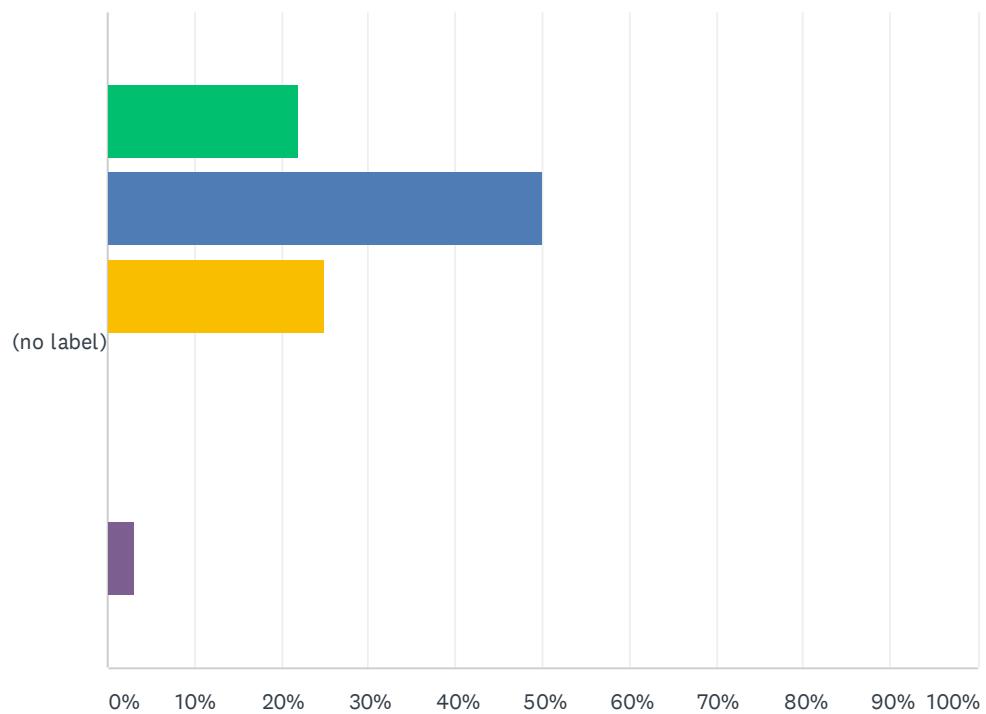


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ I was not involved at this stage / Saya tidak terlibat pada tahap ini

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	I WAS NOT INVOLVED AT THIS STAGE / SAYA TIDAK TERLIBAT PADA TAHAP INI	TOTAL	WEIGHTED AVERAGE
(no label)	18.75% 6	59.38% 19	15.63% 5	0.00% 0	0.00% 0	6.25% 2	32	1.97

**Q12** There is generally good communication on the status of the project and I feel connected to the broader picture. Secara umum ada komunikasi yang baik tentang status dari proyek ini dan saya merasa terhubung dengan gambaran yang lebih luas mengenai proyek ini.

Answered: 32 Skipped: 1

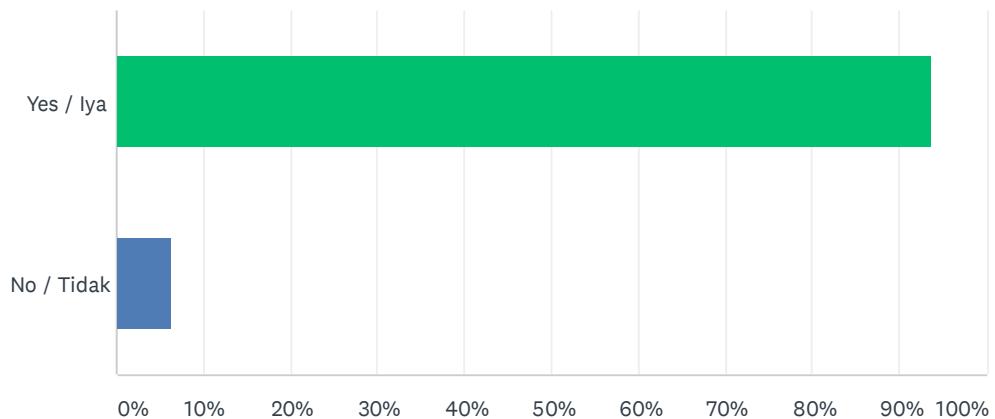


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ I was not involved at this stage / Saya tidak terlibat pada tahap ini

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	I WAS NOT INVOLVED AT THIS STAGE / SAYA TIDAK TERLIBAT PADA TAHAP INI	TOTAL	WEIGHTED AVERAGE
(no label)	21.88% 7	50.00% 16	25.00% 8	0.00% 0	0.00% 0	3.13% 1	32	2.03

**Q13 I am aware that the CIWT project falls under the Global Environment Facility's Global Wildlife Programme**Saya mengetahui bahwa proyek CIWT berada di bawah Program Satwa Liar Global (Global Wildlife Program) – GEF.

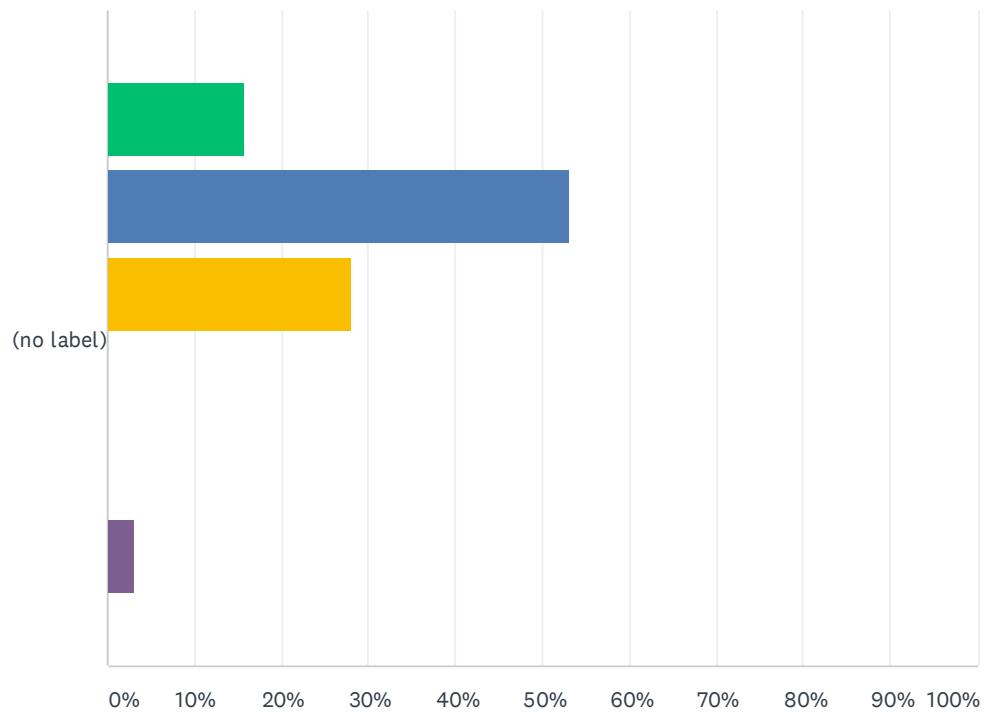
Answered: 32 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes / Iya	93.75%	30
No / Tidak	6.25%	2
<b>TOTAL</b>		<b>32</b>

**Q14 Planning of project activities regularly factor gender responsiveness and community considerations. Perencanaan kegiatan proyek secara teratur memperhitungkan respon gender dan pertimbangan dari masyarakat.**

Answered: 32 Skipped: 1

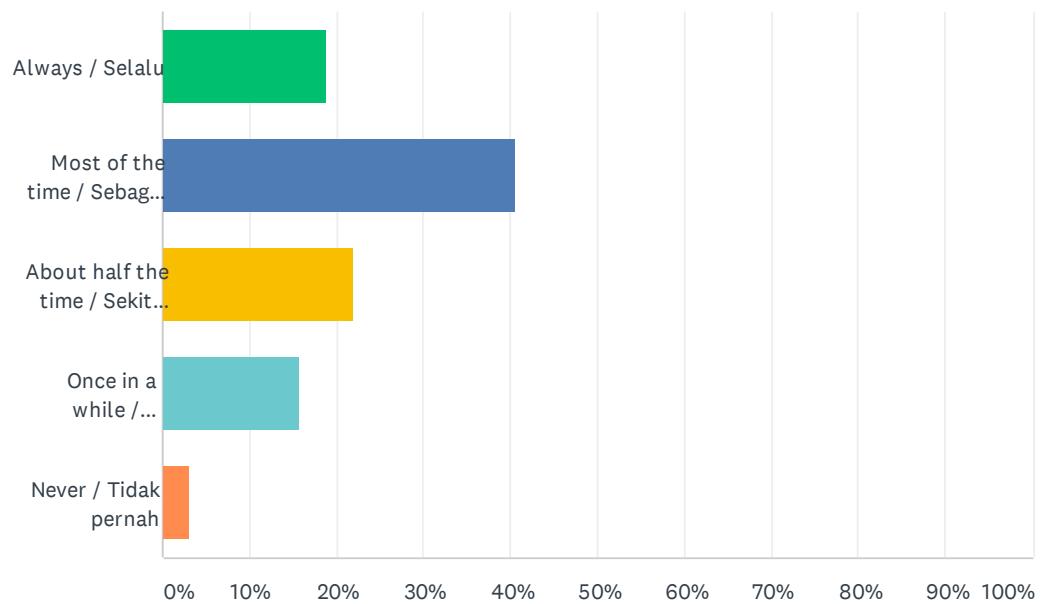


█ Strongly Agree / Sangat Setuju █ Agree / Setuju █ Neutral / Netral  
 █ Disagree / Tidak setuju █ Strongly Disagree / Sangat Tidak Setuju  
 █ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.63% 5	53.13% 17	28.13% 9	0.00% 0	0.00% 0	3.13% 1	32	2.13

## Q15 How often do you feel your contributions and suggestions are adopted by the project? Seberapa sering anda merasa berkontribusi dan saran atau usulan anda diadopsi oleh proyek CIWT?

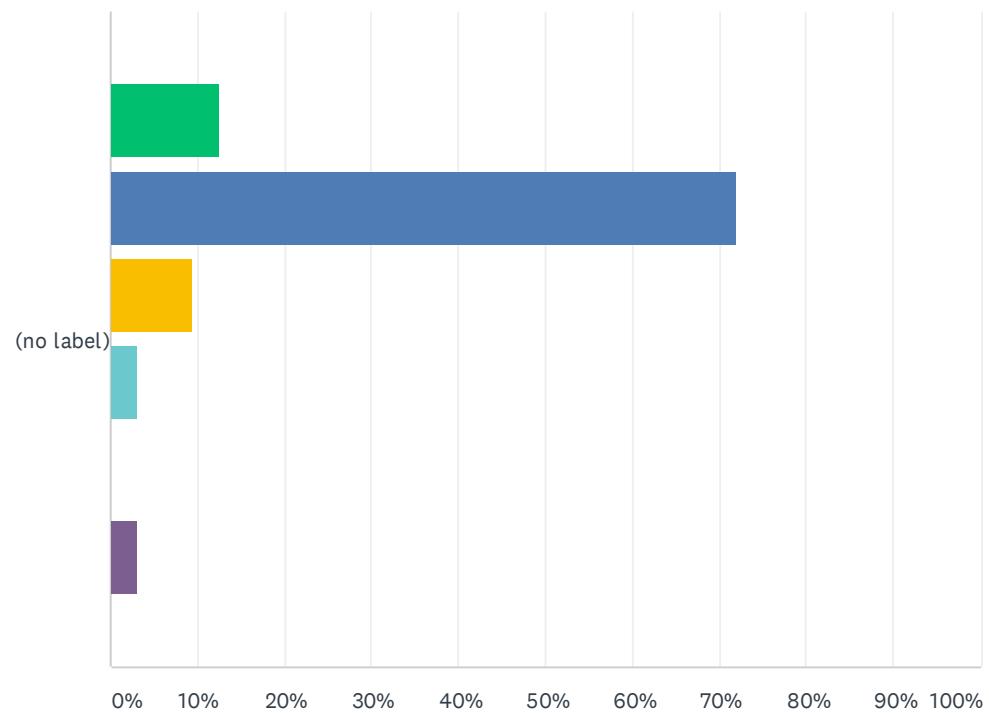
Answered: 32 Skipped: 1



ANSWER CHOICES	RESPONSES	
Always / Selalu	18.75%	6
Most of the time / Sebagian besar waktu	40.63%	13
About half the time / Sekitar separuh waktu	21.88%	7
Once in a while / Sesekali	15.63%	5
Never / Tidak pernah	3.13%	1
<b>TOTAL</b>		<b>32</b>

**Q16 During the Project Inception phase, tasks and division of responsibilities were adequately defined. Selama fase awal proyek, tugas dan pembagian tanggung jawab telah ditentukan secara memadai.**

Answered: 32 Skipped: 1

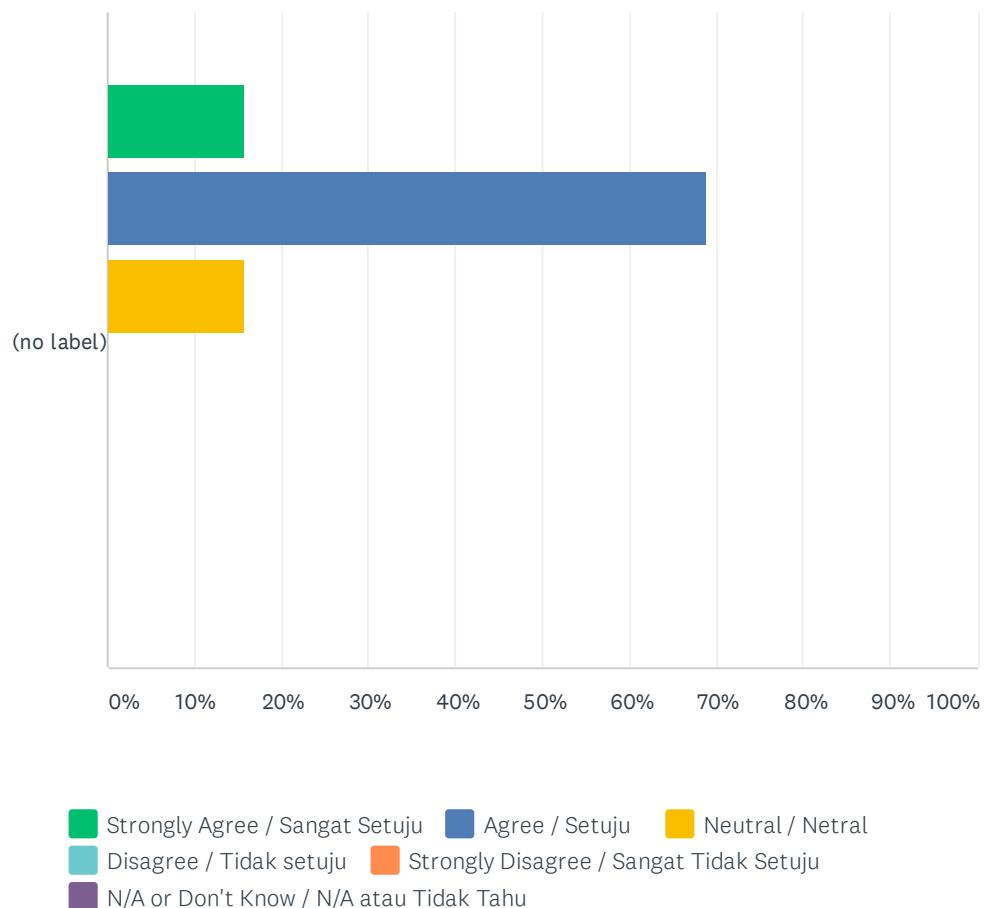


█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.50% 4	71.88% 23	9.38% 3	3.13% 1	0.00% 0	3.13% 1	32	2.03

Q17 During the Project inception phase, my organization had appropriate input into the planning process and input into the revision of the Logical Framework. Selama fase awal proyek, organisasi saya memiliki masukan yang sesuai ke dalam proses perencanaan dan masukan ke dalam revisi Kerangka Logis (LFA).

Answered: 32 Skipped: 1

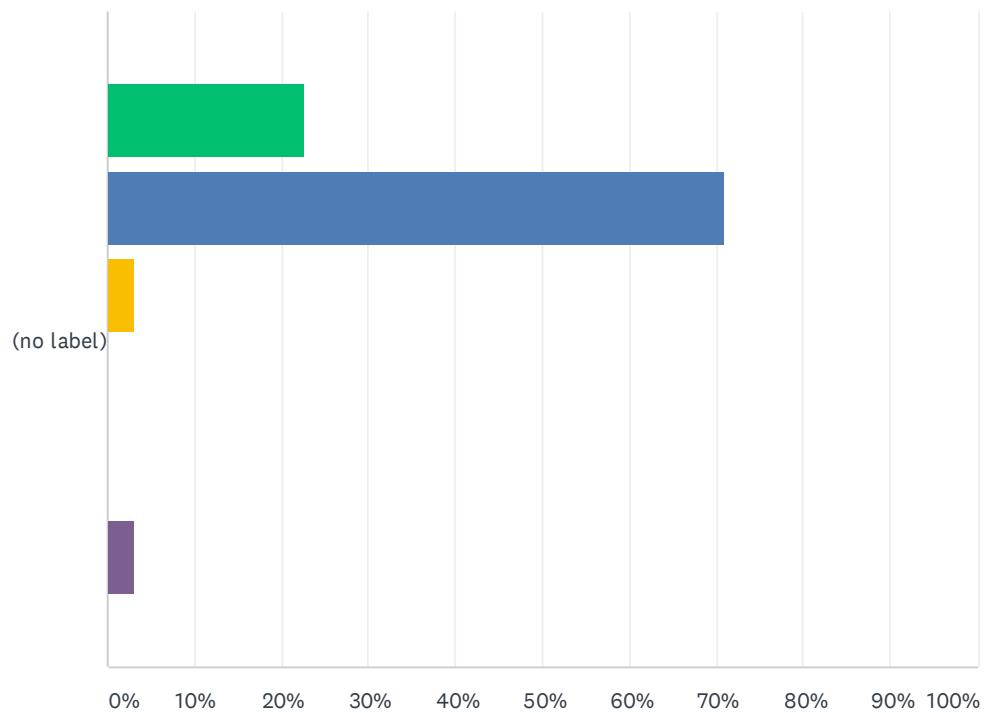


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.63% 5	68.75% 22	15.63% 5	0.00% 0	0.00% 0	0.00% 0	32	2.00

**Q18 I have the experience and capacity to execute the activities for which I am responsible. Saya memiliki pengalaman dan kapasitas untuk melaksanakan kegiatan yang menjadi tanggung jawab saya.**

Answered: 31    Skipped: 2

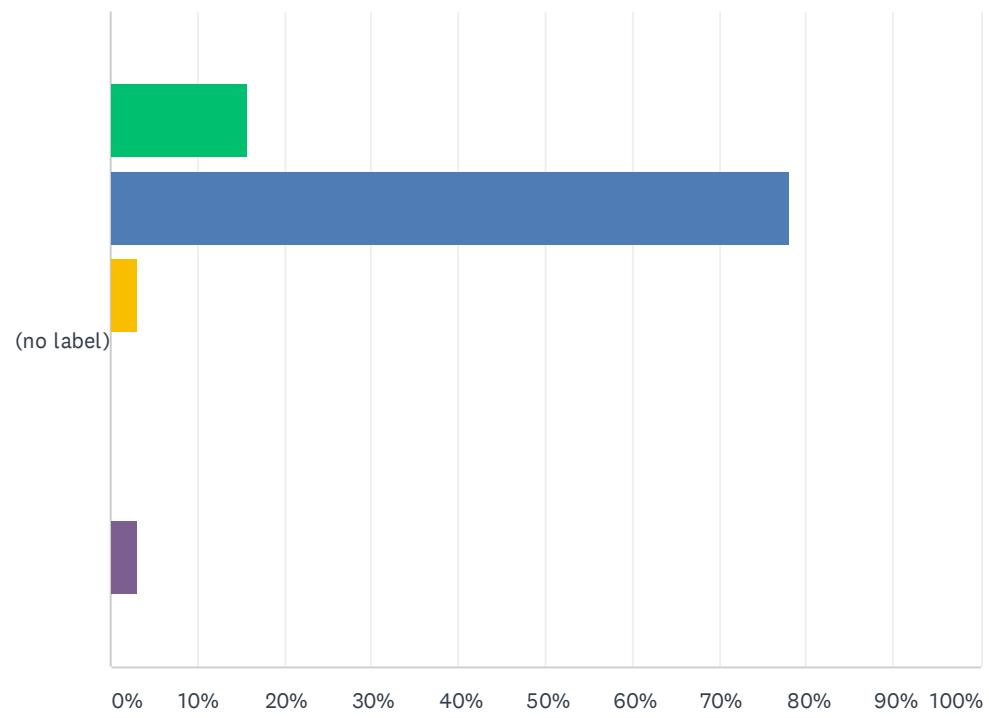


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█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	22.58% 7	70.97% 22	3.23% 1	0.00% 0	0.00% 0	3.23% 1	31	1.80

## Q19 Authority and accountability have been well-defined. Wewenang dan akuntabilitas telah diartikulasikan dengan baik.

Answered: 32 Skipped: 1

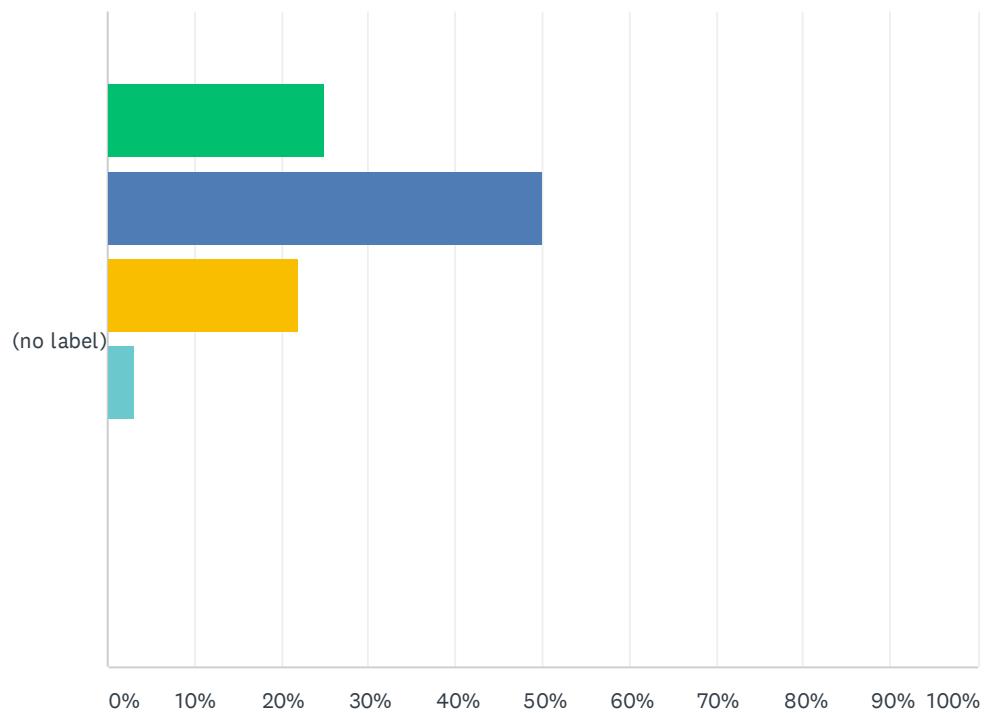


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.63% 5	78.13% 25	3.13% 1	0.00% 0	0.00% 0	3.13% 1	32	1.87

**Q20 The overall implementation of the CIWT project to date has met my expectations. Keseluruhan pelaksanaan proyek CIWT sampai saat ini telah memenuhi harapan saya.**

Answered: 32 Skipped: 1

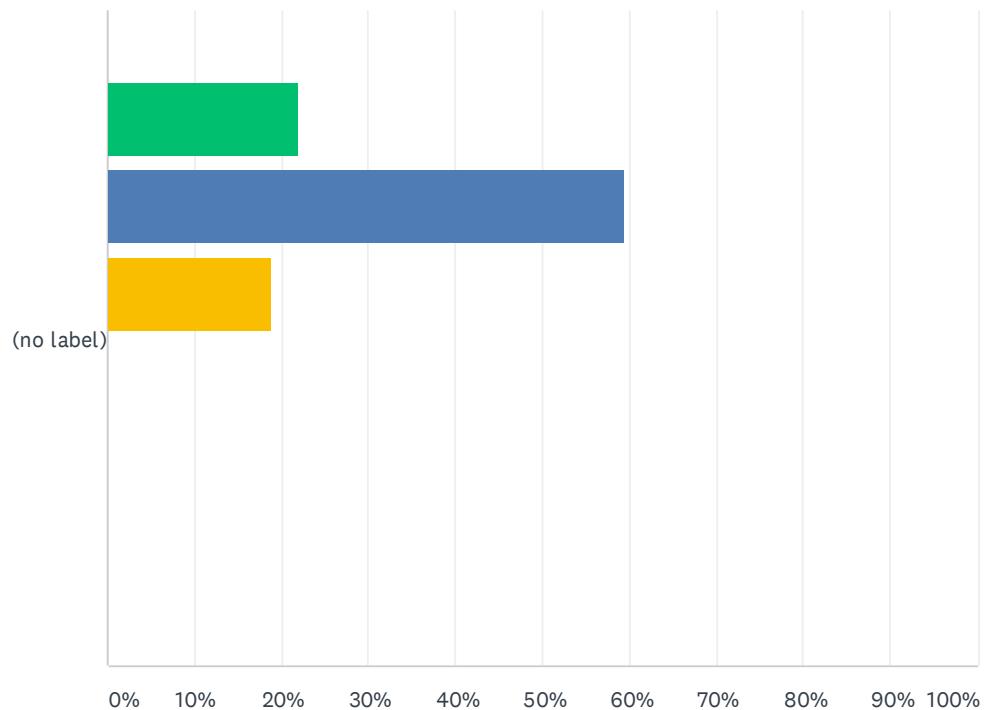


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	25.00% 8	50.00% 16	21.88% 7	3.13% 1	0.00% 0	0.00% 0	32	2.03

**Q21** I am collaborating more with like-minded organizations / individuals on issues relating to illegal wildlife trade as a result of this project. Saya lebih banyak berkolaborasi dengan organisasi / individu yang berpikiran sama tentang masalah yang berkaitan dengan perdagangan satwa liar ilegal sebagai hasil dari proyek ini.

Answered: 32 Skipped: 1

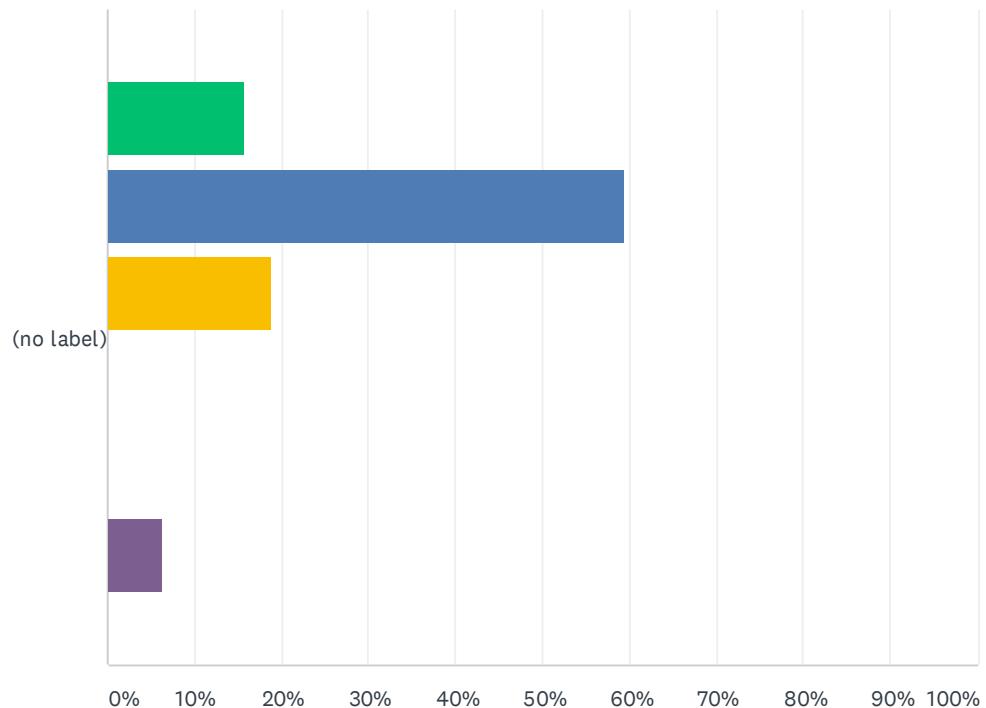


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	21.88% 7	59.38% 19	18.75% 6	0.00% 0	0.00% 0	0.00% 0	32	1.97

## Q22 The project has adhered to its original goals. Proyek telah memenuhi tujuan aslinya/awalnya.

Answered: 32 Skipped: 1

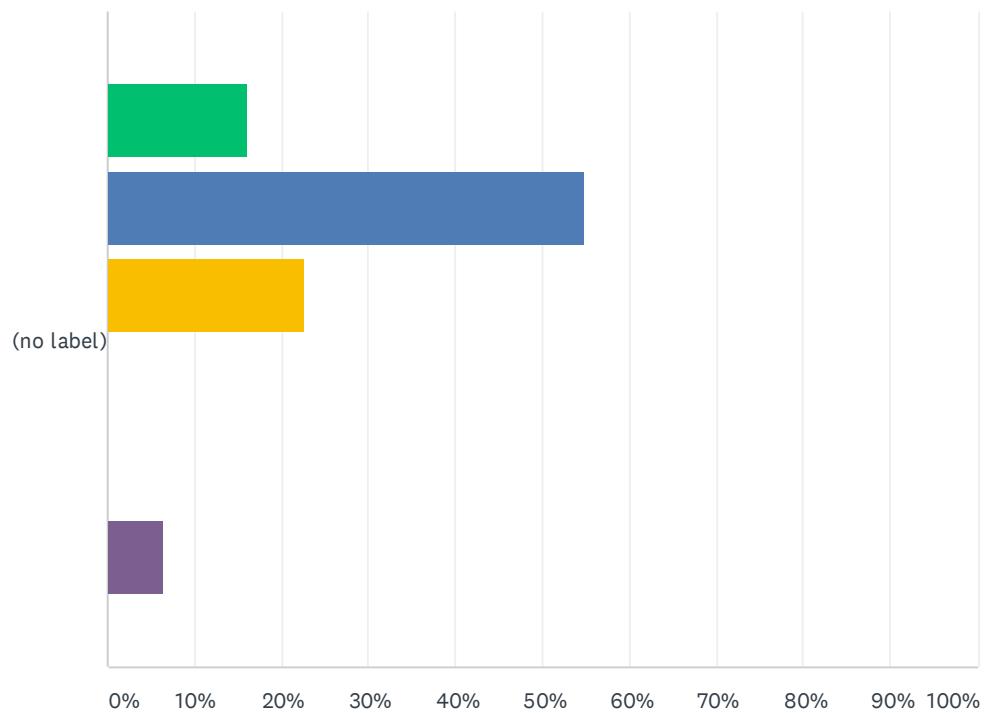


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█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE						
(no label)	15.63%	5	59.38%	19	18.75%	6	0.00%	0	0.00%	0	6.25%	2	32	2.03

**Q23 Project management processes such as risk and issue management are being used appropriately. Proses dalam manajemen proyek seperti manajemen risiko dan pengelolaan masalah dialamatkan dengan tepat.**

Answered: 31 Skipped: 2

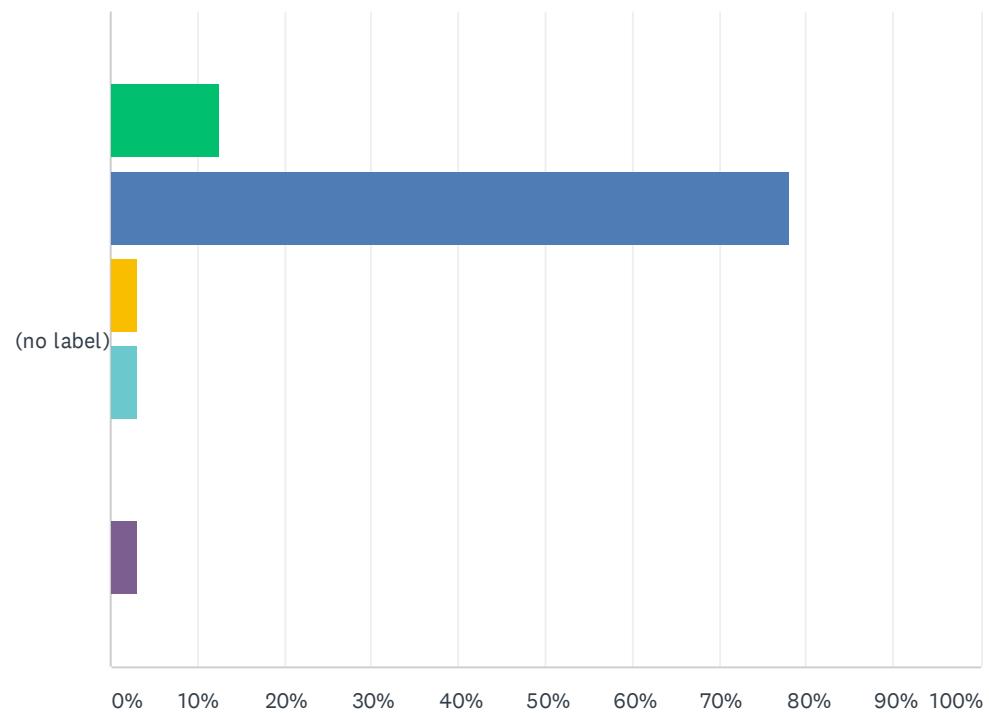


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█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	16.13% 5	54.84% 17	22.58% 7	0.00% 0	0.00% 0	6.45% 2	31	2.07

**Q24 The project is tracking progress against a project schedule and is producing regular status reports. Proyek ini melacak kemajuan terhadap jadwal proyek dan membuat laporan status reguler.**

Answered: 32    Skipped: 1

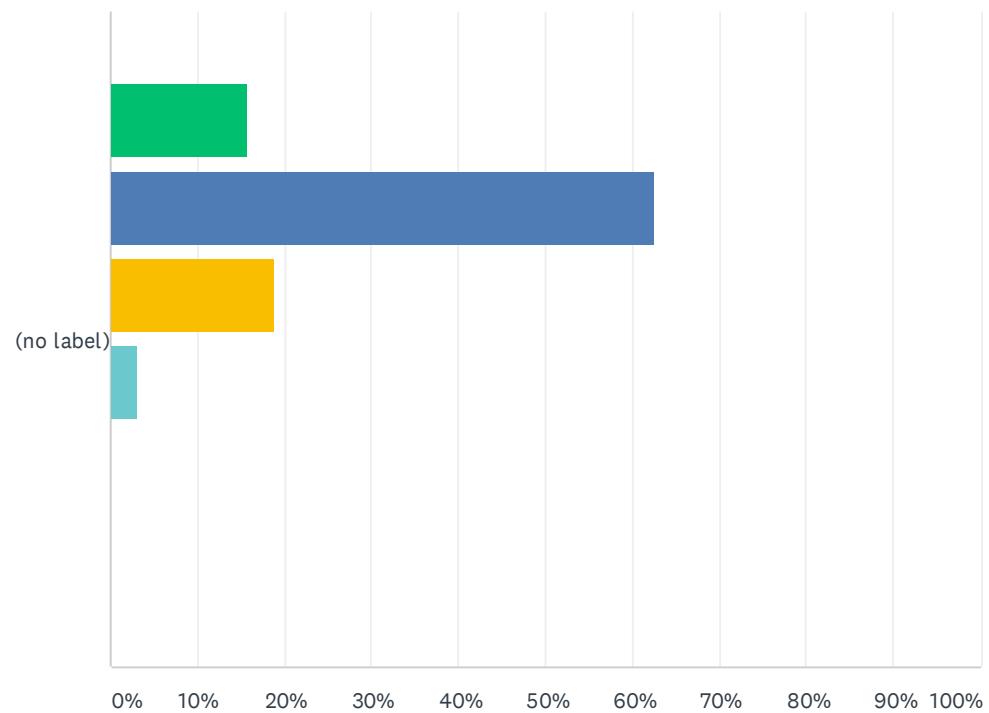


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█ Disagree / Tidak setuju    █ Strongly Disagree / Sangat Tidak Setuju  
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	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.50% 4	78.13% 25	3.13% 1	3.13% 1	0.00% 0	3.13% 1	32	1.97

**Q25 The quality and effectiveness of the project meetings and workshops meets expectations. Kualitas dan efektivitas pertemuan dan lokakarya proyek telah memenuhi harapan.**

Answered: 32    Skipped: 1

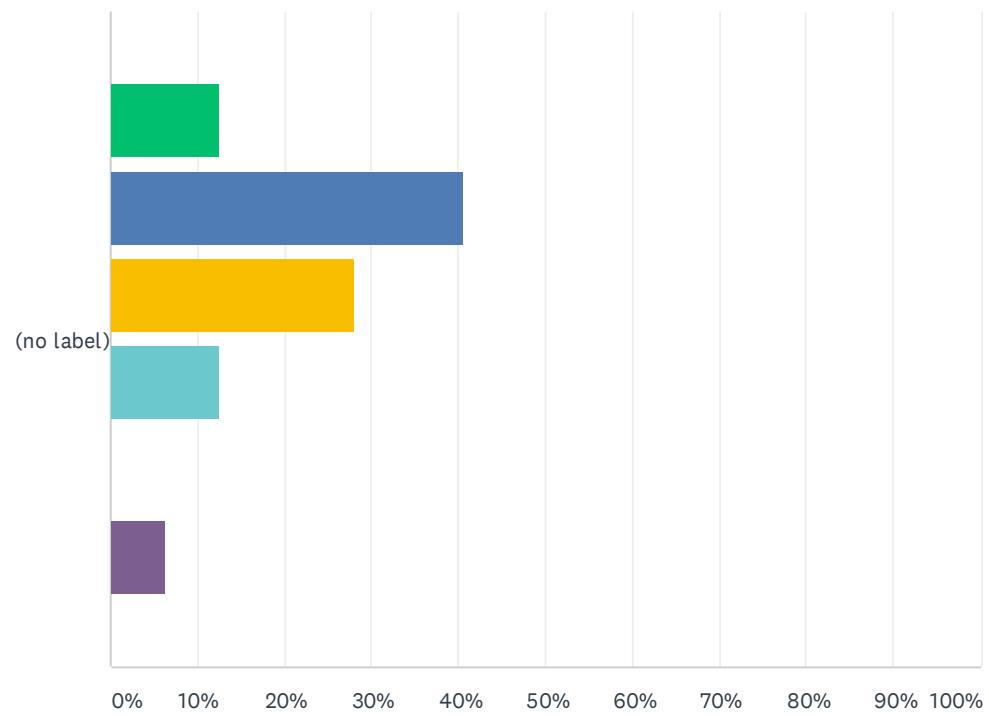


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█ Disagree / Tidak setuju    █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.63% 5	62.50% 20	18.75% 6	3.13% 1	0.00% 0	0.00% 0	32	2.09

**Q26 I receive regular updates on the status of the project and next steps. Saya menerima pembaruan rutin tentang status proyek dan langkah selanjutnya.**

Answered: 32 Skipped: 1

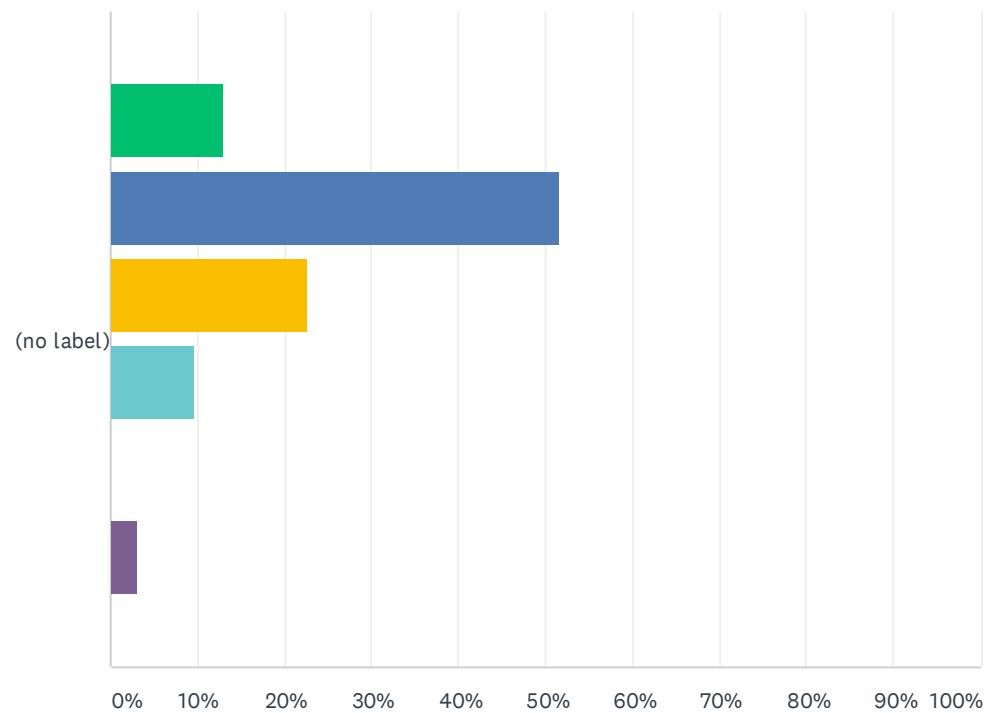


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█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.50% 4	40.63% 13	28.13% 9	12.50% 4	0.00% 0	6.25% 2	32	2.43

**Q27 Minutes of meetings and workshop reports are compiled regularly and circulated to partners. Risalah atau catatan pertemuan dan laporan lokakarya disusun secara berkala dan diedarkan kepada mitra kerja.**

Answered: 31    Skipped: 2

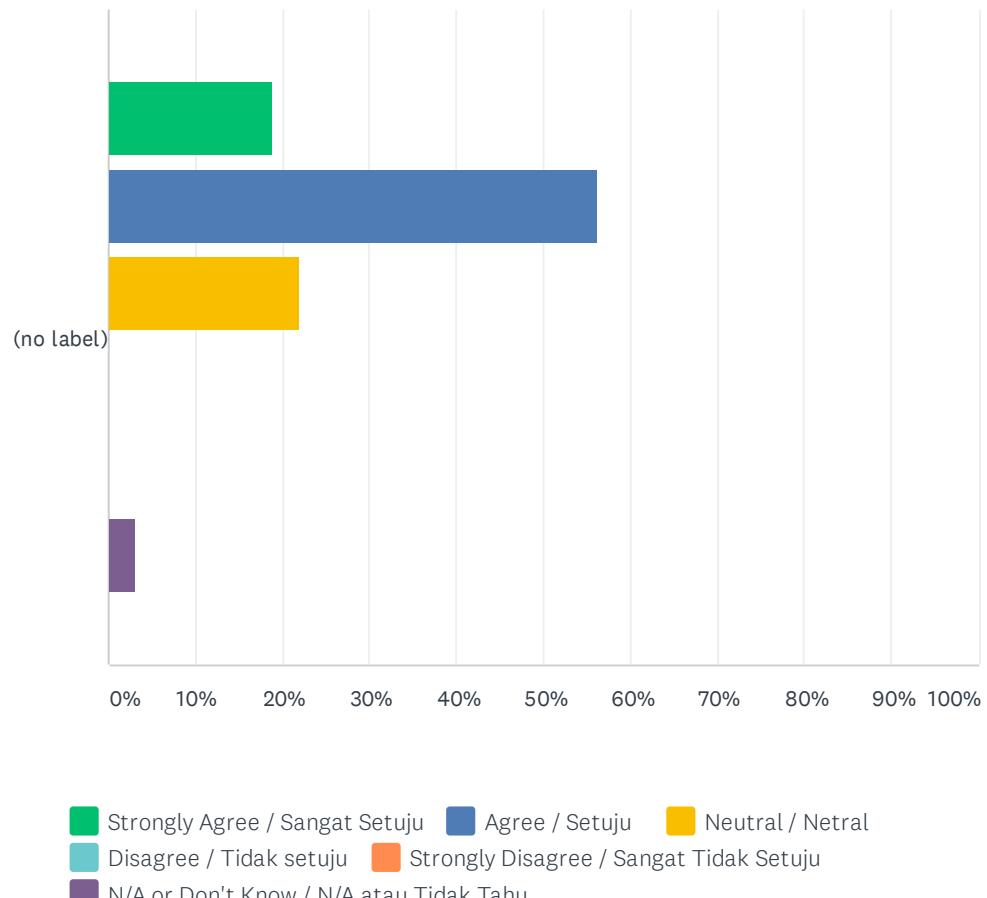


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█ Disagree / Tidak setuju    █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	12.90% 4	51.61% 16	22.58% 7	9.68% 3	0.00% 0	3.23% 1	31	2.30

## Q28 Communication between project partners is generally good. Komunikasi antara mitra proyek umumnya baik.

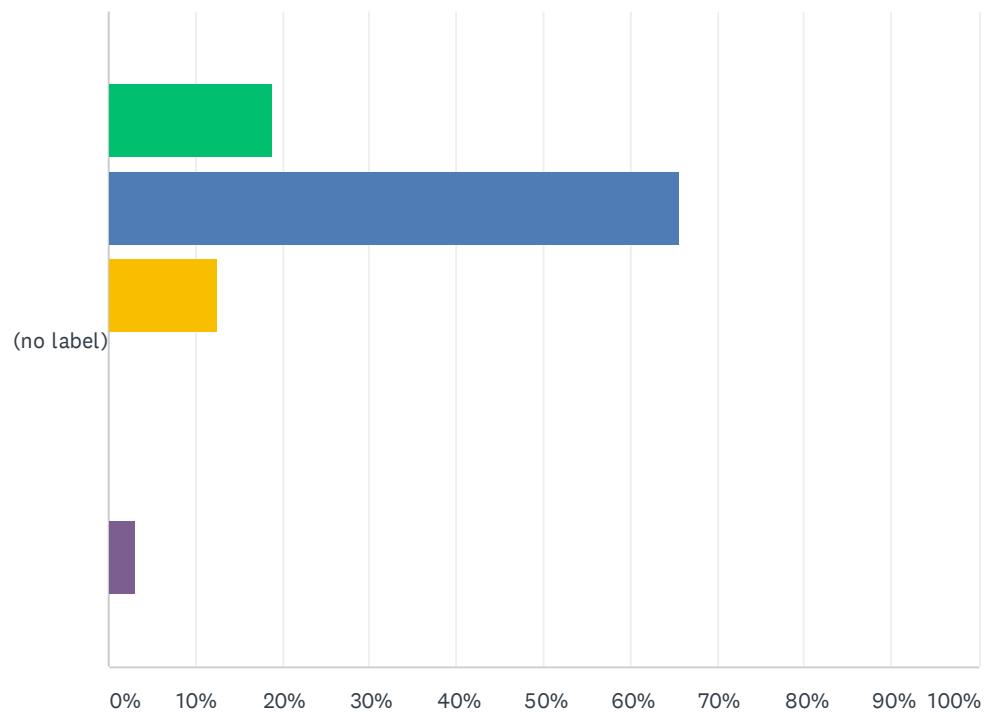
Answered: 32 Skipped: 1



	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	18.75% 6	56.25% 18	21.88% 7	0.00% 0	0.00% 0	3.13% 1	32	2.03

**Q29 The team inter-personal dynamic between the project partners is generally good. Dinamika antar individu di dalam tim dengan mitra proyek umumnya baik.**

Answered: 32    Skipped: 1

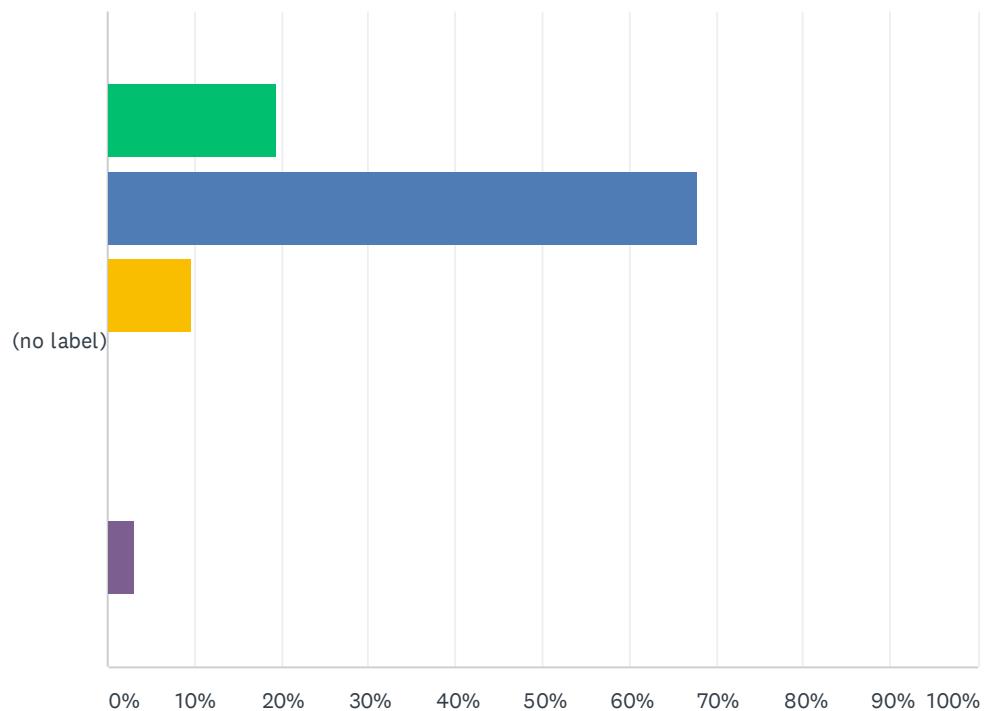


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█ Disagree / Tidak setuju    █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	18.75% 6	65.63% 21	12.50% 4	0.00% 0	0.00% 0	3.13% 1	32	1.94

**Q30 The Implementing Partner has devoted appropriate attention, leadership and time to this project. Mitra Pelaksana telah mencurahkan perhatian, kepemimpinan dan waktu yang sesuai untuk proyek ini.**

Answered: 31    Skipped: 2

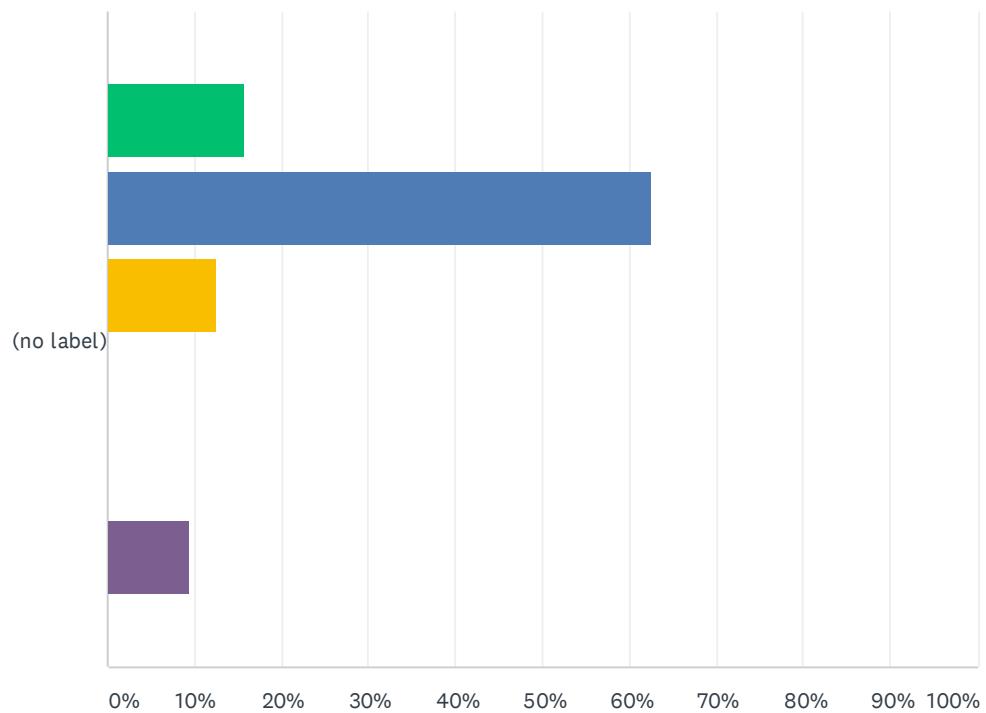


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█ N/A or Don't Know / N/A atau Tidak Tahu

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(no label)	19.35% 6	67.74% 21	9.68% 3	0.00% 0	0.00% 0	3.23% 1	31	1.90

**Q31 The UNDP Country Office has devoted appropriate attention and time to this project. UNDP Country Office telah mencurahkan perhatian dan waktu yang tepat untuk proyek ini.**

Answered: 32    Skipped: 1

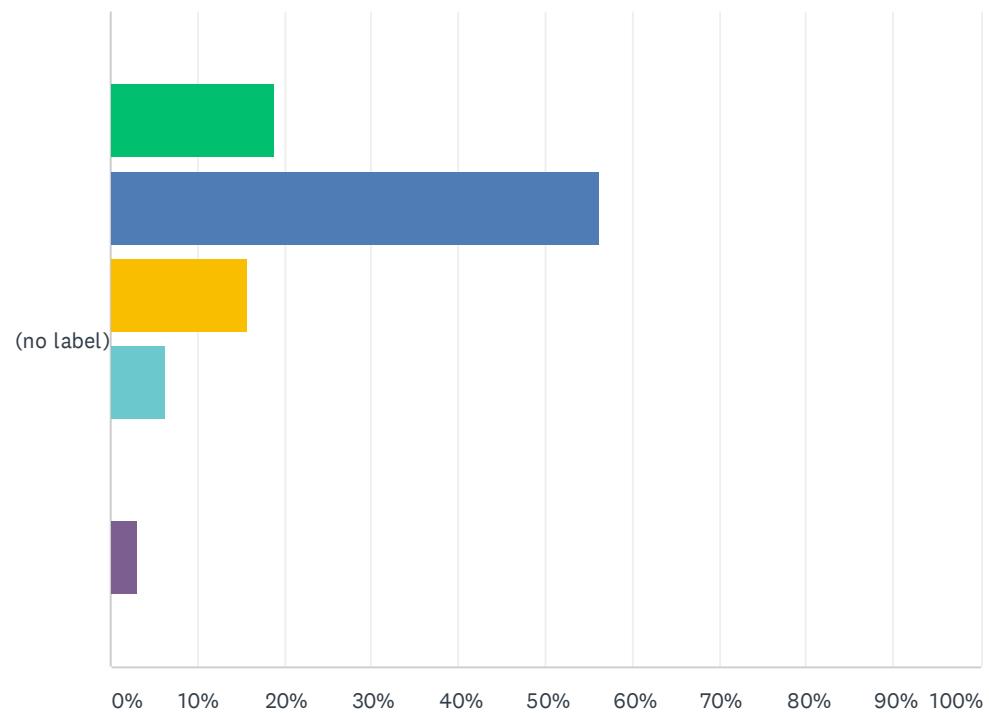


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█ Disagree / Tidak setuju    █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	15.63% 5	62.50% 20	12.50% 4	0.00% 0	0.00% 0	9.38% 3	32	1.97

## Q32 Coordination by the Project Management Unit is effective, efficient and timely. Koordinasi oleh Unit Manajemen Proyek adalah efektif, efisien dan tepat waktu.

Answered: 32 Skipped: 1

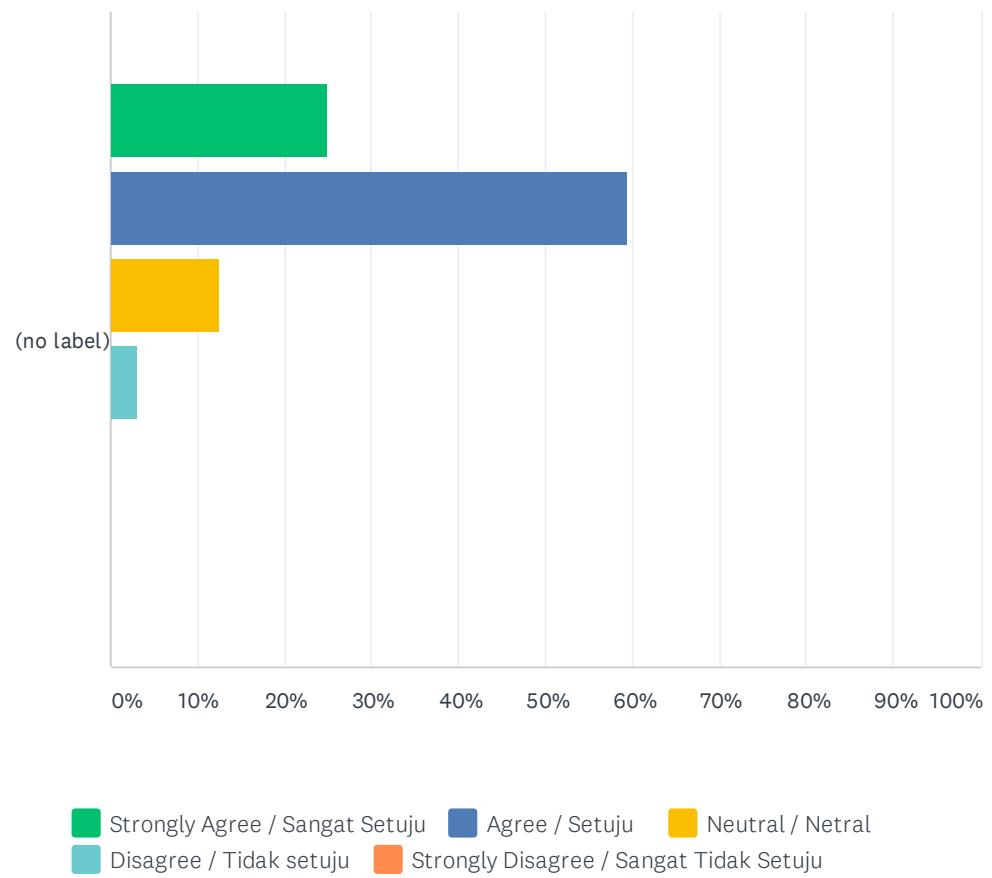


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	18.75% 6	56.25% 18	15.63% 5	6.25% 2	0.00% 0	3.13% 1	32	2.10

## Q33 The project team is properly organized and staffed. Tim proyek diatur dan memiliki staf dengan baik.

Answered: 32 Skipped: 1

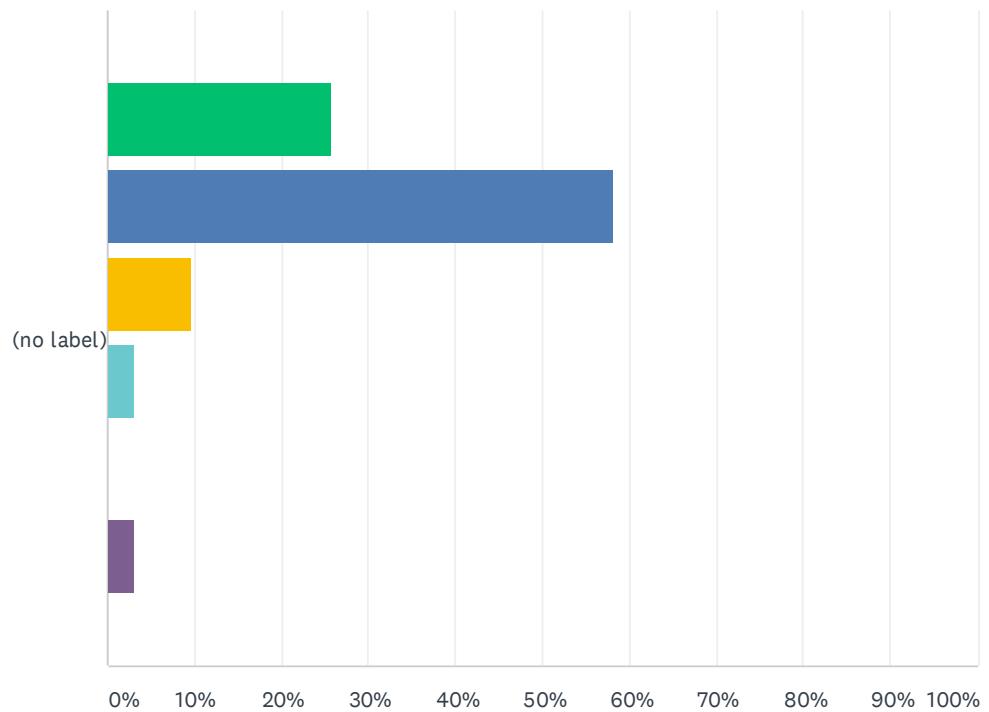


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	25.00% 8	59.38% 19	12.50% 4	3.13% 1	0.00% 0	0.00% 0	32	1.94

Q34 I am confident that with the current implementation arrangements the project can meet its objectives deliver value in the next three years. Saya yakin bahwa dengan pengaturan implementasi saat ini, proyek dapat memenuhi tujuannya dan memberikan nilai dalam tiga tahun ke depan.

Answered: 31 Skipped: 2

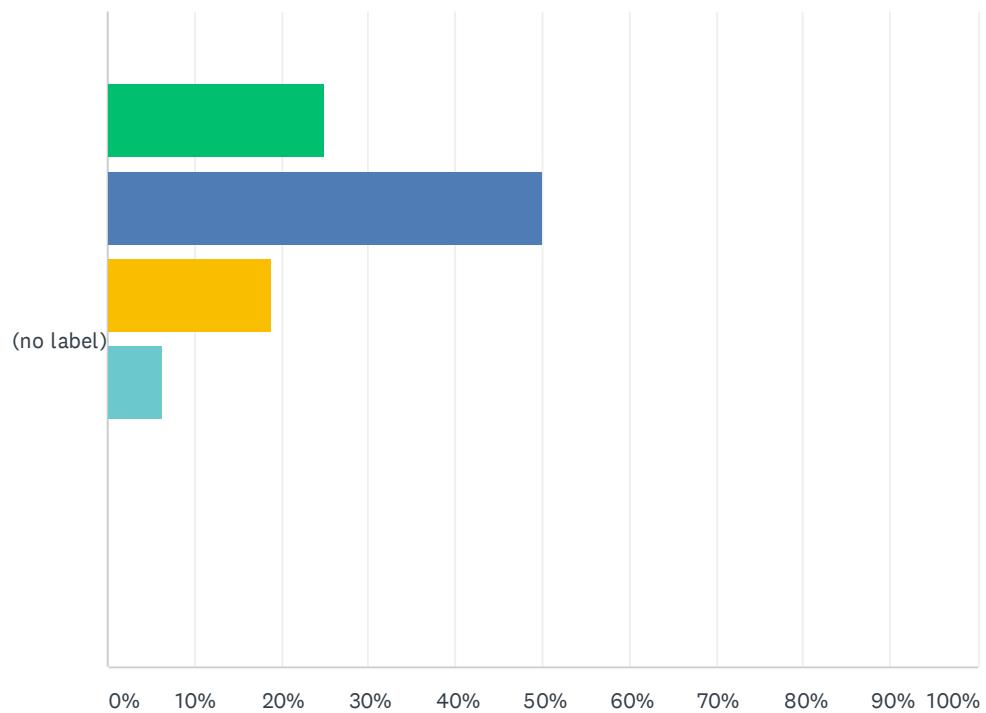


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█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	25.81% 8	58.06% 18	9.68% 3	3.23% 1	0.00% 0	3.23% 1	31	1.90

**Q35 My organization and its ability to deliver outputs has been impacted by COVID-19. Organisasi saya dan kemampuannya untuk memberikan hasil, telah terpengaruh oleh COVID-19.**

Answered: 32 Skipped: 1



█ Strongly Agree / Sangat Setuju   █ Agree / Setuju   █ Neutral / Netral  
█ Disagree / Tidak setuju   █ Strongly Disagree / Sangat Tidak Setuju  
█ N/A or Don't Know / N/A atau Tidak Tahu

	STRONGLY AGREE / SANGAT SETUJU	AGREE / SETUJU	NEUTRAL / NETRAL	DISAGREE / TIDAK SETUJU	STRONGLY DISAGREE / SANGAT TIDAK SETUJU	N/A OR DON'T KNOW / N/A ATAU TIDAK TAHU	TOTAL	WEIGHTED AVERAGE
(no label)	25.00% 8	50.00% 16	18.75% 6	6.25% 2	0.00% 0	0.00% 0	32	2.06

## **ANNEX H: MTR PRELIMINARY FINDINGS POWERPOINT SLIDES**



***Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia  
(CIWT)***

***Midterm Review of the UNDP-Supported GEF-Financed Project:  
Preliminary Findings, Ratings and  
Recommendations***

**Date:** 27 March 2021

**Team Leader:** Camillo Ponziani

**Technical Expert:** Wishnu Sukmantoro

# Agenda

Slide(s)	Topic
3	Objectives
4-7	Core Project Information
8-12	Context of Midterm Review
13-21	Summary of Achievements
22-23	SWOT Analysis: Strengths, Weaknesses, Opportunities and Threats
24-31	Implementation: Organizational Structure, NGO Engagement and Expenditure
32-46	Preliminary MTR Ratings and Observations
47-49	Lessons Learned
50-60	Recommendations

# Objectives

1. To recap the context in which the MTR was carried out, including the approach and tools used to triangulate information, as well as some of the constraints / limitations faced;
2. To summarize the main achievements of the CIWT Project;
3. To highlight the main strengths observed during the MTR and some of the weaknesses that need to be addressed going forward, as well as opportunities and threats;
4. To summarize the MTR ratings and contextualize them;
5. To share some preliminary lessons learned which have emerged from the analysis;
6. To review the recommendations.

## Core Project Information

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# CIWT Project Details

***Objective: To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia***

Designed duration	MTR initiated	GEF financing	Committed Co-financing
6 years	3 years 3 months	USD 6,988,853	USD 44,948,742

## 4 Targeted Outcomes

1. *Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade*
2. *Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels*
3. *Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems*
4. *Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming*

# CIWT Project Timeline

16 Mar 2015	04 Jun 2015	16 May 2017	17 Nov 2017	6-7 Mar 2018	Feb-May 2021	17 Sept 2023	17 Nov 2023	TBD (six months)
								
Submission of PIF (project concept)	PIF approved	Full project approved: "CEO Endorsement"	ProDoc signed; official project start	Inception Workshop	Mid-Term Review (MTR)	Terminal Evaluation (TE) commences  Three months prior to operational closure of the project	Official Project Operational Closure Date	No cost Project extension

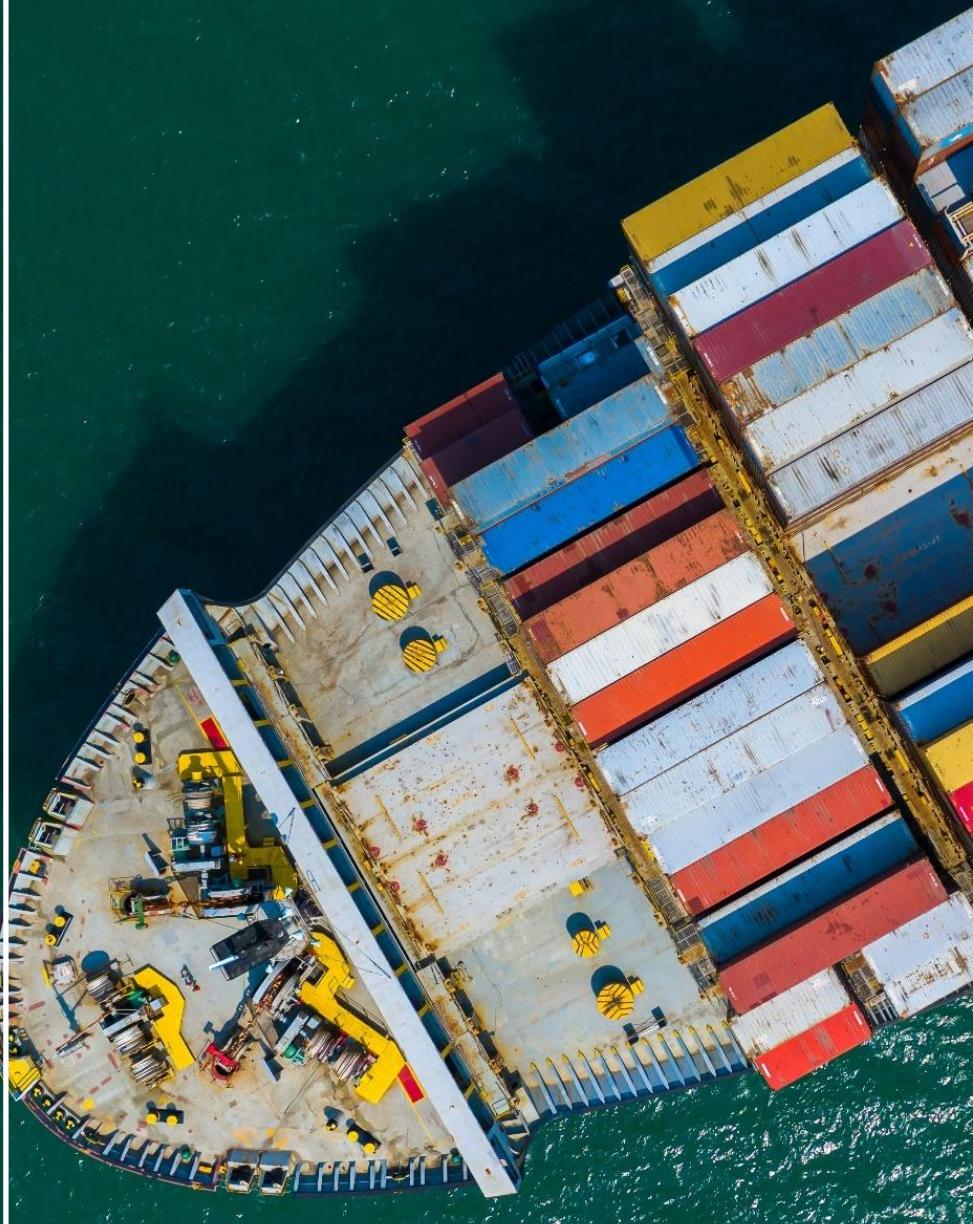
# Barriers to Overcome

**Weak policy and regulatory framework**, including inadequate legislation, policy and frameworks, as well as insufficient information and tools to understand, regulate and combat illegal wildlife trade;

**Suboptimal institutional capacity** for compliance monitoring and enforcement among police and customs agencies, made worse by inadequate coordination among key institutions;

**ineffective enforcement** at the site and landscape levels; and

**inadequate information sharing** mechanisms to support responses to IWT.



# MTR Scope & Context

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# Evaluation Context

- *Duration of the Midterm Review:*

- ❑ The MTR commenced approximately three years following the Inception Workshop held 6-7 March 2018 ( and 3 years, 3 months following the signature of the ProDoc);
  - ❑ The MTR started 26 February (Inception and Planning) and is expected to be completed by the end of May. As per GEF guidelines the final evaluation report is expected to be submitted alongside the 3<sup>rd</sup> PIR due in June;
  - ❑ The MTR is being conducted by a team of two consultants; a Team Leader (International Consultant) and Technical Expert (National Consultant) who will be jointly responsible for the execution of activities to fulfill the scope of the review. Technical backstopping and ToC workshop facilitation provided by Feraidoon Khosravi.

- *Approach:*

- ❑ The approach for the evaluation of the CIWT project was informed by:
    - ❑ The Terms of Reference;
    - ❑ UNDP-GEF Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects;
    - ❑ Recently revised UNDP-GEF Monitoring and Evaluation Policy.

# Evaluation Context (*continued*)

- *Approach (continued):*

- The MTR was carried out with the aim of providing a systematic, **evidence-based** and comprehensive review of the performance of the project thus far by assessing its strategy and design, processes of implementation and achievements relative to its core objectives;
- The analysis evaluated different facets of the project, including its design and formulation (including the Strategic Results Framework); progress towards results (realization of key performance indicators); implementation (including management arrangements, work planning, finance, M&E, reporting, KM and the involvement of stakeholders in the project's processes and activities); and different dimensions of sustainability (financial, socio-economic, institutional and environmental risks);
- The MTR adopted a participatory and consultative approach with close engagement with the UNDP Indonesia Country Office and the CIWT Project Management Unit.

- *Special Areas of Focus:*

- There are **four** additional areas in which the MTR has honed its efforts: (i) extent to which recommendations and risks from the PIRs are being considered; (ii) extent to which gender and social considerations are being reflected in activities; (iii) the GEF additionality (is GEF investment really needed to achieve the outcomes), and; (iv) extent to which COVID-19 has impacted the project and how has it adapted.

# Evaluation Context (*continued*)

- *Tools Leveraged:*
  - ❑ Desk review of key documents, including over **58+ pieces of documentation** gathered from the CIWT project alone, as well as other external sources of data;
  - ❑ Virtual **interviews with 28 Project stakeholders**;
  - ❑ **Theory of Change workshop** conducted on 8 April with **roughly 10 participants** to collectively review the Project's conceptual model and Theory of Change;
  - ❑ Online **questionnaire circulated to 48 individuals with a 68% response rate**.
- *Deliverables:*
  - ❑ Inception Report: **COMPLETE**
  - ❑ PowerPoint of Preliminary Observations: **COMPLETE**
  - ❑ Draft Evaluation Report: **PENDING**
  - ❑ Final Evaluation Report + Audit Trail of Management Response: **PENDING**

# Evaluation Context (*continued*)

- *Limitations:*

- **Methods:** No major methodological limitations as both the Team Leader and Technical Expert were able to speak with all the main stakeholders and obtain detailed feedback, as well as consume key documentation.
  - Three minor **procedural limitations** were faced as follows
    - MTR is being conducted entirely in a virtual environment and without field visits as originally intended;
    - A lot of documentation in Bahasa;
    - COVID-19 lockdown bottleneck to the number of hours available during writing phase.

## Summary of Achievements

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# Overall Project Results and MTR Assessment

- The UNDP-GEF CIWT project has the hallmarks of a foundational initiative for Indonesia and the region. The enabling conditions for success are largely in place;
- Despite a slow start bogged down in procedural and administrative matters, delays in securing a shared vision, a caretaker National Project Manager persisting until January 2019, and amidst a global pandemic - eating more than a year and half of uninterrupted implementation - considerable progress has been made on a number of fronts that bode well to advance the cause of harmonized efforts to address the unsustainable and illegal wildlife trade in Indonesia and within the region.



# Some Achievements for Outcome 1

- A “legacy-making” national roadmap drafted for tackling illegal wild animal trade in Indonesia and first strategy of its kind in the world to use system dynamics modeling for combating IWT;
- An economic valuation assessment of illegal trade of wildlife in Indonesia, focusing on the 25 protected species most widely traded in Indonesia, the results of which will be an input to court cases and judicial decisions, and is expected to be leveraged by investigators (i.e. Indonesian National Police and MoEF), prosecutors, and judges as a metric of the economic losses stemming from wildlife crimes;
- A deep-dive analysis on enhancing fines and sentences based on a “multi-door approach” using existing levers across sectors and legal regimes is imminent and in the final stages of production;
- An Inter-agency task force formalized (or still initiating to be formalized) prior to the Project is ripe for stronger multi-agency coordination with other entities, including the Wildlife Crime Law Enforcement Task Force for North Sumatra, East Java and North Sulawesi established by the CIWT project;
- Guidelines compiled by one of the microgrant recipients on how to use Indonesia’s money laundering regime to combat wildlife crime.

# Some Achievements for Outcome 2

- Enhancement of command centre and Information & Communication Technology (ICT) capabilities at Gakkum-MoEF headquarters, and renovations undertaken at the Law enforcement of Environment and Forestry office at Pekanbaru, Sumatra;
- Android and IOS mobile application to assist forest rangers, customs officials, law enforcement personnel and the Indonesian coast guard to identify protected wildlife species in development and scheduled for launch in Q2 2021;
- Myriad essential training and education activities critical to elevating institutional and professional IWT capacity, including:
  - Basic intelligence training on Law Enforcement (September 2018 & June - August 2019);
  - Training on DNA collection and sampling (October 2018);
  - Training on Animal Handling for Law Enforcement personnel (April 2019);
  - Oxygen software and SPARTAN training (July – December 2019);
  - Law enforcement simulation training, including mountaineering, shooting, ambush patrol, and animal handling skills;
  - Forest Ranger Competency Training (23 October 2020);
  - Technical Training on Gender Mainstreaming related forest crimes in DG Law Enforcement on Environment and Forestry (14-15 October 2020);
  - Training of Inspiring Women for forest rangers' partners at Bogani Nani Wartabone National Park (8-14 October 2020).
- Self-directed e-learning modules to support professional development in managerial, technical and attitude constructs necessary to carry out wildlife conservation tasks developed - with each module encompassing 50-70 hours of instruction. Modules to be rolled out asynchronously between Q1-Q2 2021 on the MoEF's [e-learning platform](#);

# Some Achievements for Outcome 2 (continued)

- A range of Standard Operating Procedure(s) (SOP), developed;
  - SOP for collecting and handling biological material from wild animals and plants by morphological and DNA analysis\*;
  - SOP for handling of protected wildlife\*;
  - SOP for handling of the birds;
  - SOP for snare removal operations;
  - SOP for preventing illegal wildlife trafficking in ports;
  - SOP for translocation, habituation, and post-release monitoring for slow lorises;
  - Draft SOP for species repatriation;
- 2 repatriations / disrupting of Indonesian wildlife smuggling network;
- Based on the IWT case in the Netherlands, the Indonesian government and the Dutch governments developed MLA (Mutual Legal Assistance) in processing of arresting and prosecuting the perpetrators in the Dutch. **Note:** *Specific activities funded by the Project in this context, are the only MLA initiative between Indonesia and other countries in terms of IWT.*
- Study of a knowledge, attitude and practice (KAP) to support the development of the communication strategy, social marketing campaign and the knowledge management by the University of Indonesia;
- Myriad awareness raising efforts targeting the demand for wildlife, including (a) A national campaign "[Indonesia Says No! to Illegal Wildlife Trade](#)"; (b) 1000 copies of a children's comic book series developed; (c) puppet show at 20 schools in Karimun Java islands (Central Java), Kepulauan Seribu islands (Jakarta), Luang Villages (Lesser Sundas) and Papua; and (d) Nurturing of religious approaches to combatting IWT

# Some Achievements for Outcome 3

- PortMATE assessment undertaken by WCS in Bitung port and ToR's developed by the Project to update the PortMate scores in Bitung, Surabaya, and Belawan;
- The combating IWT operations series in Aceh, North Sumatra, Riau, Jambi, Banten Province, West Java and Sulawesi. A total of 39 operations have been conducted between 2019 – 2020;
- Snare removal operations at seven areas in tandem with local community, including Gunung Leuser National Park and its surrounding areas (North Sumatra and Aceh Province), Way Kambas National Park (Lampung Province), Bukit Tiga Puluh Ecosystem (Jambi Province), Giam Siak Kecil-Bukit Batu Nature Reserve (Riau Province), Bogani Nani Wartabone National Park (North Sulawesi) and in Lore Lindu National Park (Central Sulawesi);
- Planning underway to leverage anonymous IWT informants based on experiences from the logging sector.

## Some Achievements for Outcome 3 (continued)

- Planning underway to leverage anonymous IWT informants based on experiences from the logging sector;
- Development of community-based patrols in West Java for protected animals such as for slow lorises;
- Development of Human Wildlife Conflict in the Kreueng Sae watershed, Alue Limeng Village, Krueng Sabe and Pintu Rime (Bener Meriah and Bireun Districts). Activities involved patrols by community members, some of which are hunters who received greater awareness of IWT issues;
- Updating of the capacity development scorecard for Directorate General of Law Enforcement in terms of IWT. The updating score is 76 (with a baseline of 60 points based on 2016 data).

# Some Achievements for Outcome 4

- Training video developed in collaboration with the Biodiversity Research Centre of the Indonesian Institute of Sciences on SOPs for Collecting and Handling Material from Wild Animals and Plants for Morphological and DNA Analyses;
- Two video tutorials on the SPARTAN system;
- Focus Group Discussions on campaign plan for "Social Behaviour Change Communication" based on KAP study (21 February 2019);
- Sharing knowledge and experience of translocation, habituation and post release for a conservation agency from Malaysia in establishing the slow loris rehabilitation centre in Sabah, Malaysia;
- 
- Training and formation of a women's volunteer patrol group to support IWT sensitization efforts in Bogani Nani Wartabone National Park (October 2020).

# Some Achievements for the Project Objective

- Ongoing consultations and efforts at both the ministerial and parliamentary level, to update key legislation and policies targeted by the project (Law no. 5/1990, Law 41/1999, PP7 and PP8/1999 (its amandement on Permen 106/2018) and including its derivative Permen 447/2003), using both direct and indirect measures;
- The involvement of government personnel and the local community has seen an increase in capacity building activities, the formation of a task force and directing the alternative economy;
- A slight upward trend and positive signs emerging on the number of IWT cases being prosecuted;
- Progress being made on the removal of direct threats to targeted flagship species due to changes in regulation, closer international enforcement cooperation, and the success of sustained patrolling efforts.

# SWOT Analysis

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# Strengths, Opportunities, Weaknesses and Threats

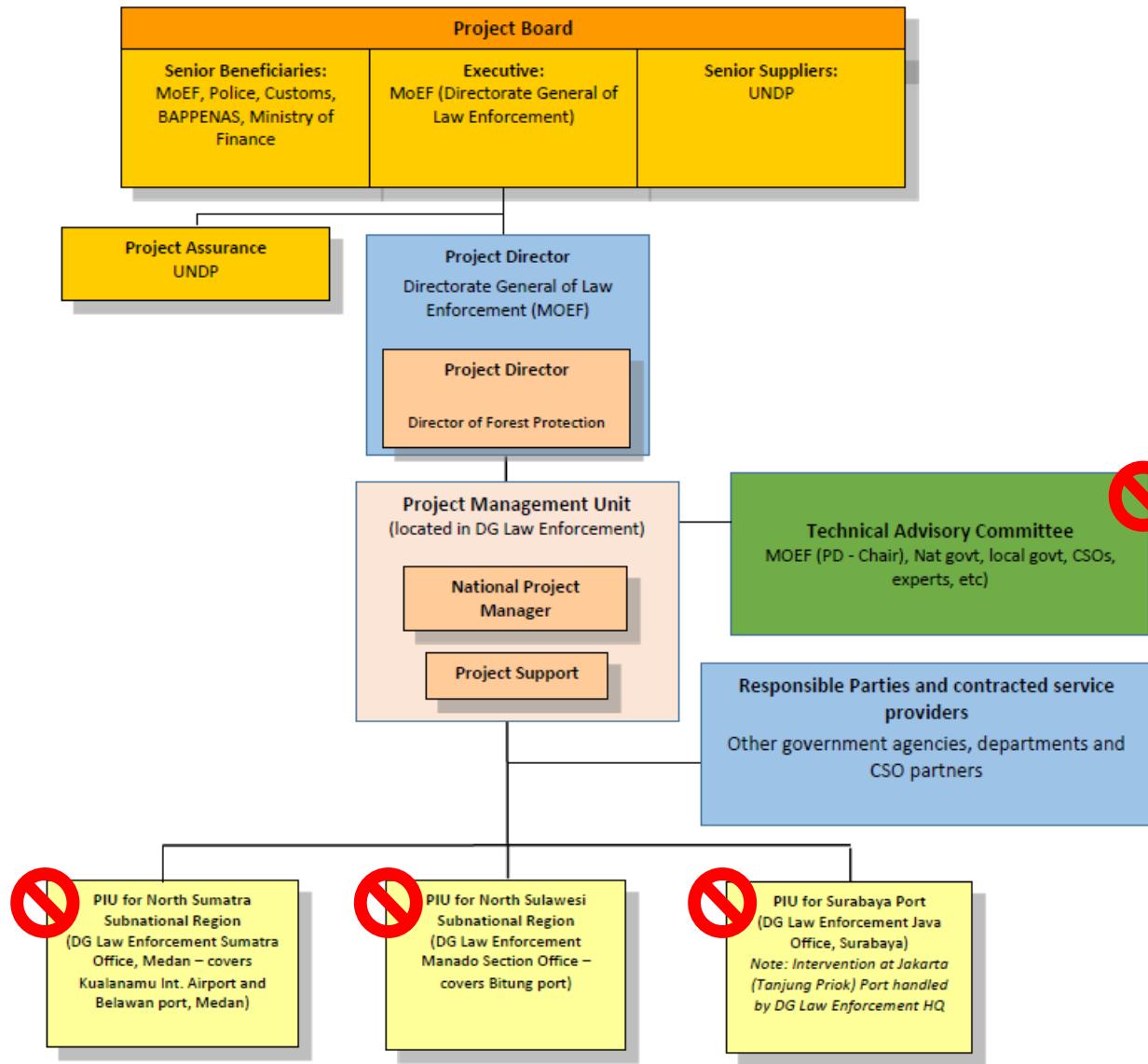


# Implementation

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# Project Organizational Structure



# Microgrant Engagement with Four NGOs

- I. JAAN - The Jakarta Animal Aid Network has: conducted trainings on handling rescued wildlife for BKSDA and local CSOs in Surabaya, East Java; developed a five-part comic book series on animal warriors and puppet show both geared towards raising awareness among early age school students; assisted the quarantine unit in tracing animal traders with its K-9 unit for wildlife; and relocated priority rescued species;
- II. WCS - As part of the agreed partnership WCS has: compiled an economic assessment of 25 species and a capacity need assessment; has conducted a baseline for the PortMate assessment in Bitung Port; established a stakeholders' forum in Bitung; and engaged a local community group on combatting illegal wildlife trade and HWC in northern Sumatra and northern Sulawesi.

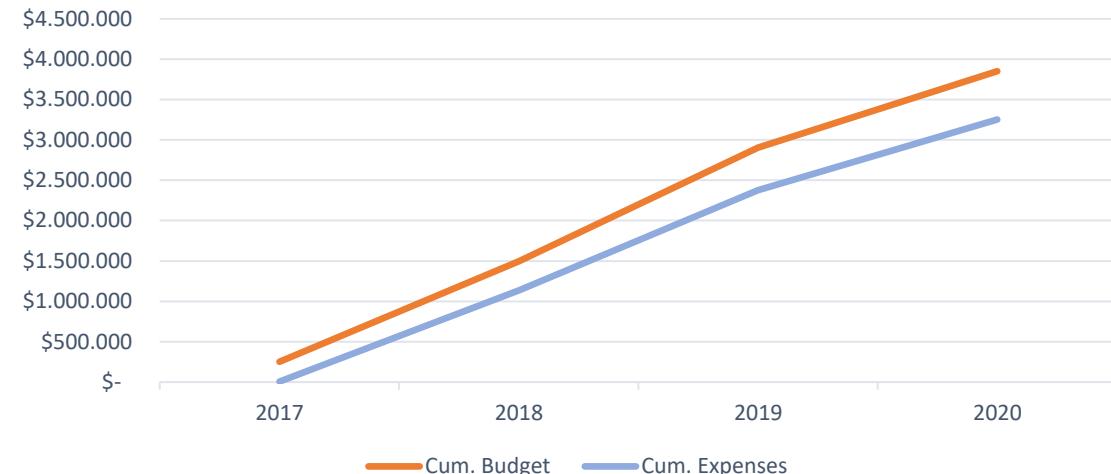
## Microgrant Engagement with Four NGOs (continued)

- III. WWF - The World Wildlife Fund: initiated the establishment of a Wildlife Crime Law Enforcement Task Force for North Sumatra; developed guidelines on how use the national money laundering regime and supporting legislation to combat wildlife crime; activated an MoU with local MUI to promote; localized Fatwa supporting efforts to deter the IWT; drafted an information kit on combatting wildlife crime for youth; prepared materials for public services announcements on combating wildlife crime with selected Indonesian public figures; and provided HWC mitigation training with local communities;
- IV. YIARI - International Animal Rescue, Indonesia: was brought on board to lead the development of the NASTRA; carried out myriad workshops and training in radio-telemetry for BKSDA and National Park officials; carried out translocations and releases of 86 Javan slow lorises; created a standardized guideline in translocation, habituation and post release monitoring; established [kukangku.id](http://kukangku.id); workshops on identifying threats to habitat; provided a multitude of training sessions (theory and practical) in SMART Patrolling technique; provided training on reporting illegal activity witnessed/observed during patrols; and collaborated with other organizations for increasing campaign reach and efficacy.

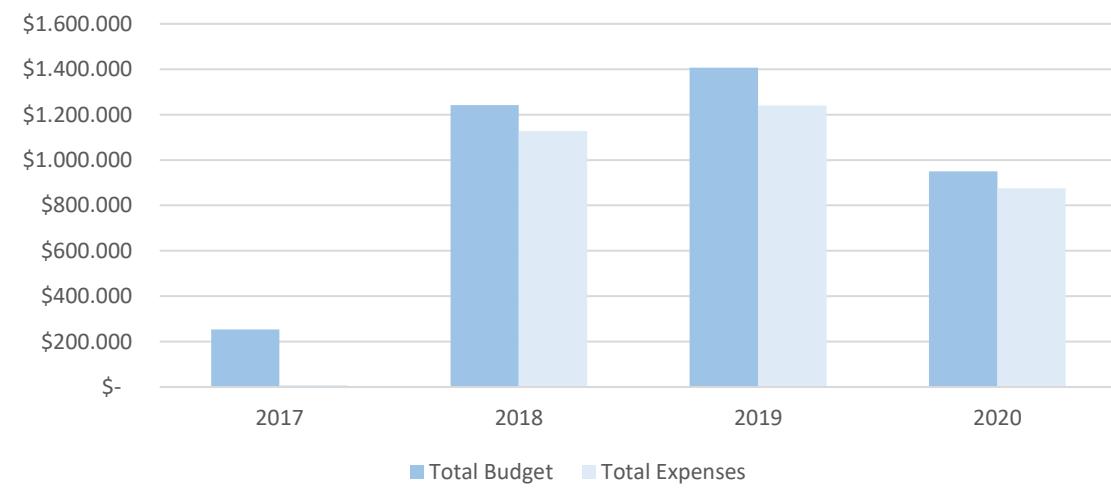
# Project Expenditure: GEF Resources

- With USD 3,252,917.02 disbursed, expenditure stands at 55% of the total GEF Project budget as of December 2020;
- The project is underspending against the agreed budget by approximately 15%;
- Expenditure to date for Outcome 2 is \$260,000.00 over budget while expenditure against Outcome 3 is lagging considerably (51% below budget in 2020) and should be expedited in the back half of the Project.

Cumulative Actual Expenses vs. Budget

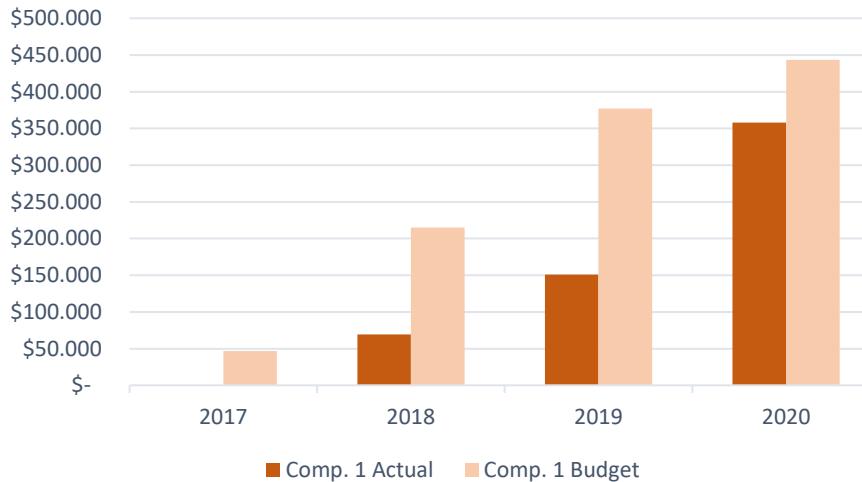


Annual Actual Expenses vs. Budget



# Project Expenditure: GEF Resources (continued)

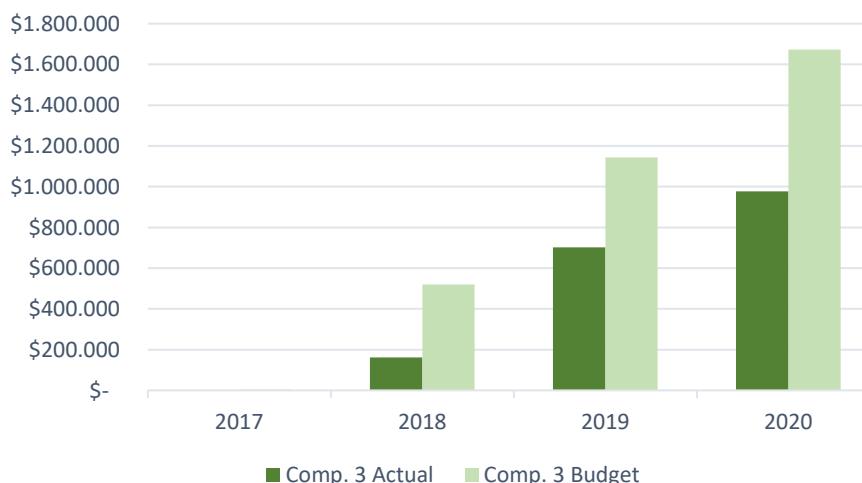
Component 1 Annual Budget vs. Actual



Component 2 Annual Budget vs. Actual



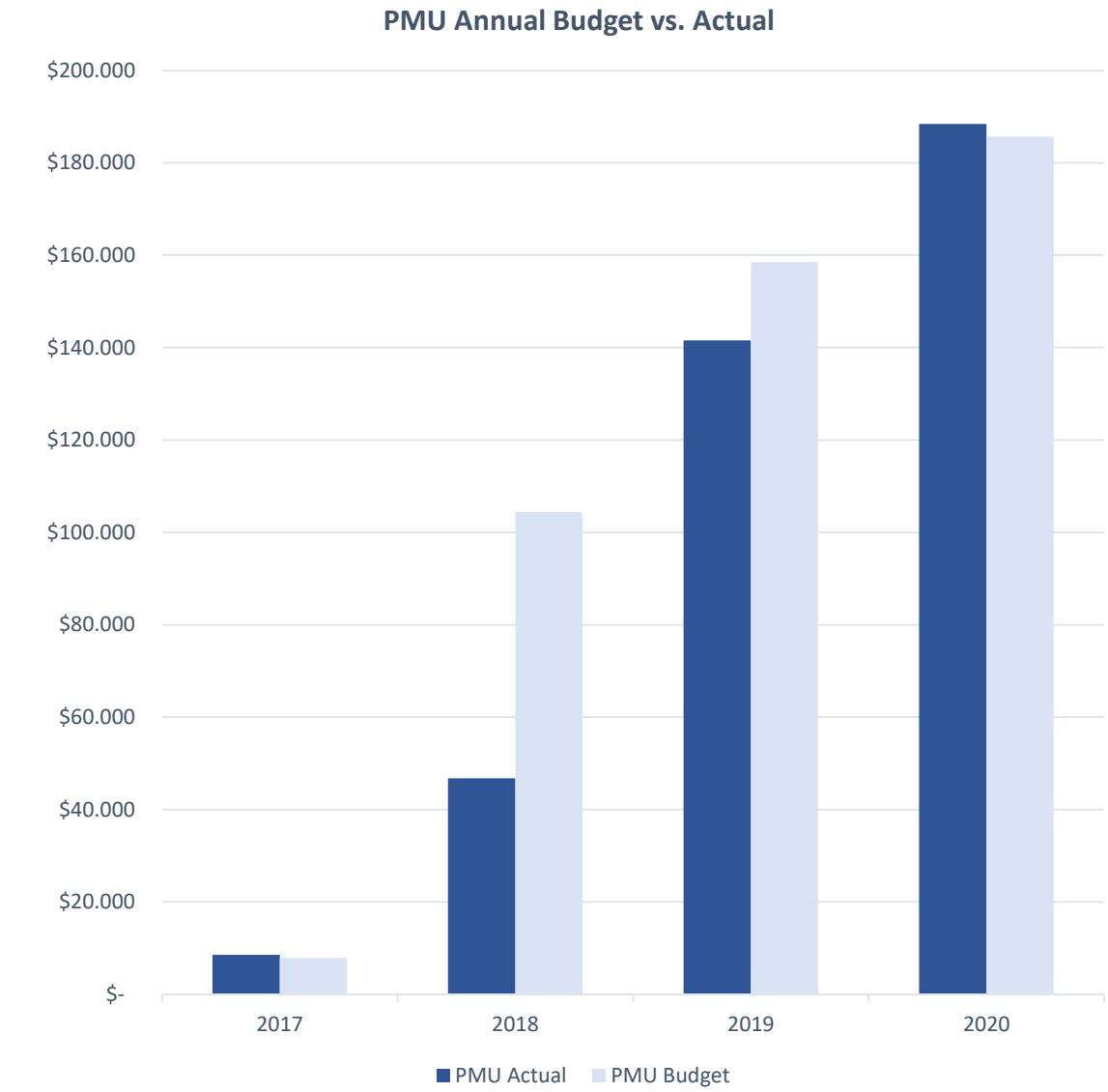
Component 3 Annual Budget vs. Actual



Component 4 Annual Budget vs. Actual



# Project Expenditure: GEF Resources (continued)



# Project Expenditure: Co-Financing

- 59% of the co-financing contribution from Gakkum has been leveraged to date;
- Co-financing from UNDP and WCS not available;
- No additional sources of co-financing has been mobilized to date.

Annex 1. Recapitulation of Co-Financing MoEF for CIWT Project

WORK UNITS / INSTITUTION	BUDGET PER YEARS (IDR)				Sub-Total Per Work Units (IDR)	Percentage (%)
	2017	2018	2019	2020		
Combatting Illegal Wildlife Trade (CIWT)	115,536,645	15,225,565,545	16,751,927,925	11,821,484,655	43,914,514,770	
Directorate of Forest Protection	13,791,835,471	31,525,209,416	40,924,320,000	25,312,413,000	111,553,777,887	33%
Secretariat of DG Law Enforcement on Environment & Forestry		11,261,839,000	17,500,000,000	18,279,354,000	47,041,193,000	14%
Environment & Forestry Law Enforcement Implementing Agency (BPPLHK) of Sumatera Region		18,681,394,000	25,224,260,000	14,721,972,000	58,627,626,000	17%
Environment & Forestry Law Enforcement Implementing Agency (BPPLHK) of Jabalnusra Region		19,676,055,000	40,991,223,000	9,861,713,000	70,528,991,000	21%
Environment & Forestry Law Enforcement Implementing Agency (BPPLHK) of Sulawesi Region		14,660,962,000	30,500,727,000	9,296,945,000	54,458,634,000	16%
Sub-total co-financing per years	13,791,835,471	95,805,459,416	155,140,530,000	77,472,397,000		
Total co-financing DG Law of Enforcement on Environment and Forestry (IDR)				IDR	342,210,221,887	100%
				USD	25,348,905	

Source:

RKKL Tahun 2018,2019,2020, Dit. PPH, Setditjen Gakkum LHK, Balai Gakkum Sumatera, Sulawesi dan Jabalnusra

# Preliminary MTR Ratings

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# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<p><b>Objective:</b> To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</p> <p><b>MS:</b> Moderately Satisfactory</p>	<ul style="list-style-type: none"> <li>Indicator (0.1): Notwithstanding a recent breakthrough at the time of writing where MoEF was able to secure a slot to <u>present its case on 5 April 2021 to amend UU 5/1990</u> to include provisions which consider and explicitly recognize IWT issues, progress towards the midterm targets are proceeding slower than expected with only 2 policies/laws having been revised, albeit not through the explicit contribution of the Project. The following is a summary from various CIWT project progress reports: <ul style="list-style-type: none"> <li>Due to various interests at different levels from stakeholders, it is difficult to move forward with completion of the law and therefore, the MoEF decided to delay the revision process. In lieu of the revision process of Law 5/1999, the CIWT project prioritized the preparation of the National Strategy and Action Plan for IWT Indonesia;</li> <li>PP 7 and PP8 / 1999 have been revised through P.20 / 2018 and subsequently to P.106 / 2018. The IWT project did not contribute much to this initiation as it was intensively funded and implemented by the government.</li> <li>Permen 447/2003 is still in the process of being reviewed and for this reason several guidelines have been prepared in advance to inform the regulation such as DNA sampling techniques, Animal Handling and Animal Repatriation.</li> </ul> </li> </ul>

# Preliminary MTR Ratings: Progress Towards Results (continued)

Item	Rating	Comments
Progress Towards Results	<p><b>Objective:</b> To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia</p> <p><b>MS:</b> Moderately Satisfactory</p>	<ul style="list-style-type: none"> <li>• <b>Indicator (0.2):</b> Engagement of project direct beneficiaries has reached 53% of the midterm target, although it is unclear how this indicator, as formulated, contributes to the overall objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia;</li> <li>• <b>Indicator (0.3):</b> The impact of project interventions on the “IWT annual volume (number of animal specimens – body parts or live animals) in Indonesia based on the WCS IWT database volume habitat” could not be assessed due to limitations in the baselines and methods chosen to measure this indicator. At midterm, the “number of cases prosecuted” is currently being used as a proxy for annual volumes and while there has been an increase between the cases in 2018 and 2019, it is unlikely this can be attributed to Project efforts during its ramping up period. Moreover, data for 2020 is missing altogether to complete a fulsome trend analysis to date;</li> <li>• <b>Indicator (0.4):</b> Focus of efforts to reduce the number of casualties of flagship species to date has been on threat reduction through enhancing patrols and removal of snares . A study on the magnitude of wildlife trade is planned, which would provide additional insight from a different perspective. Annual volumes should be included as part of the study to close gaps with indicator 0.3.</li> </ul>

# Preliminary MTR Ratings: Progress Towards Results (continued)

Item	Rating	Comments
Progress Towards Results	<b>Objective:</b> To reduce the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia  <b>MS:</b> Moderately Satisfactory	<p><b>RISKS:</b> (i) continuing mandate and political will to actively seek out legislative/policy changes envisioned by the Project; (ii) commitment by the IP and repositioning focus to the scope and timeline of the CIWT project as opposed to those of the NASTRA; (iii) while the project goal and outcomes reflect appropriate aspirations, the analysis from the MTR suggests that legislative/policy changes are perhaps out of reach within the time horizon available and may have been placed too high in the project results framework (as an objective) and might be more realistically placed as an outcome; (iv) willingness of the IP to collaborate and share data with all CSOs involved who are instrumental and at the core of the Project's success; and (v) distraction of chasing monitoring data that is disconnected altogether from achievement of the project objective.</p> <p><b>Objective likely to be partly achieved</b></p>

# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<p><b>Outcome 1:</b>            Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade</p> <p><b>MS: Moderately Satisfactory</b></p>	<ul style="list-style-type: none"> <li>• <b>Outcome 1</b> is measured in part by <b>6 indicators</b> related to the closing gaps and loopholes, which are all contingent on passing new legislation and enacting new policies highlighted in the Project's objective. As the supporting legislation has not been methodically updated for the MTR, the indicators themselves cannot be reliably used to measure progress. However, based on the plan noted by the PMU, a deep dive analysis on fines and sentences is expected. A consultant is expected to review the state of existing regulations and its interconnection with other agencies' regulations to recommend levers that can be used to increase the severity of punishment for IWT crimes. While not a direct measure as envisaged by the Project's design, there are indications that indirect measures could potentially be effective;</li> <li>• The indicator relating to an inter-agency task force has been partially achieved, although not through the direct efforts of the Project itself and further collaboration is needed for this to be attributable to the CIWT project's sphere of influence. A coordination and planning meeting was held in 2018 to support further law enforcement collaboration between customs, MoEF, port administrators and the police, but progress stalled in 2019 and was subsequently hampered as a result of the COVID-19 pandemic. A coordination workshop was scheduled for the second half of 2020 to strengthen coordination between the task force initiated by Bitung Municipality but did not materialize as planned due to the pandemic restrictions.</li> </ul>

# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<b>Outcome 1:</b> Strengthened national policy, legal and institutional framework for regulating illegal commercial wildlife trade and combating illegal wildlife trade  <b>MS: Moderately Satisfactory</b>	<b>RISKS:</b> Continuing risks: (i) focusing exclusively on indirect measures to achieve the indicators (i.e. Plan B), as opposed to more direct measures (Plan A) of changing core legislation, could add complexity, open up continued risks and loopholes that were intended to be closed altogether by the Project; (ii) a new mandate might be needed for law enforcement to apply regulations from other government sectors to drive change to IWT cases; (iii) willingness of the IP to share information and intelligence, and to cooperate with efforts initiated by other law enforcement agencies and entities such as WWF's establishment of a Wildlife Crime Law Enforcement Task Force for North Sumatra.  <b>Outcome 1 likely to be partly achieved</b>

# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<p><b>Outcome 2:</b> Strengthened institutional capacity for regulatory coordination, implementation and enforcement at the national and international levels</p> <p><b>S: Satisfactory</b></p>	<ul style="list-style-type: none"> <li>Capacity for IWT at the both the national and subnational level under <b>Outcome 2</b> has been improved through extensive investment in training which is reflected in the Capacity Development Scorecard scores. It is expected that capacity will continue to be built, and greater synergies realized, through the scaling of efforts at the five ports and the landscape level; a variety of activities supported by the CIWT project have contributed to better coordination between law enforcement agencies and strengthening Gakkum's operations in western and eastern Indonesia.</li> </ul> <p><b>RISKS:</b> (i) casting too wide a net and not honing efforts on the area to be targeted to realize the objective of reducing the volume of unsustainable wildlife trade and the rate of loss of globally significant biodiversity in Indonesia and East and South-East Asia; (ii) being realistic when compiling annual work plans (i.e.: Feasibility study on Kawasan Hutan dengan Tujuan Khusus (the Forest Area for the Specific Purposes) operation for confiscated wildlife evidence management and social media campaign specialists have not materialized); (iii) reinventing the wheel by not leveraging / strengthening existing networks such as ASEAN-WEN; and (iv) relying on local attitudes on IWT issues arising from the KAP survey to inform the Project's communication strategy, instead of tapping into national sentiment.</p> <p><b>Outcome 2 likely to be achieved. Modifications required to the Results Framework to pare the number of indicators</b></p>

# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<b>Outcome 3:</b> Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems  <b>MS: Moderately Satisfactory</b>	<ul style="list-style-type: none"> <li>The indicator for Outcome 3.1 related to PortMate has not been completed, although ToR's to update PortMate baseline scores have been drafted and currently in the procurement process. In consultation with the Project's local stakeholders, execution is slated for the first semester of 2021 due to the COVID-19 pandemic. As such, progress on Outcome 3 is tracking behind schedule as the PortMate scores are intended to determine priorities to support capacity-building programs covering both systems enhancement to improve customs surveillance, and training to build staff skills in wildlife law enforcement;</li> <li>The data reported for indicator 3.2 is already repeated in the Results Framework for both indicator 0.3 and indicator 2.2. Here, the data should be disaggregated for the two subnational regions being targeted to sufficiently monitor progress, including (i) annual number of IWT seizures at the project sites; (ii) the annual number of IWT investigations leading to arrests at the project sites; and (iii) annual number of successful IWT prosecutions at the project sites;</li> <li>While the indicators cannot be reliably used to measure progress, there have been a number of bright spots and efforts have focused on creating the necessary "readiness" for when scaling activities commence.</li> </ul>

# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<b>Outcome 3:</b> Improved enforcement strategy demonstrated and scaled up at key trade ports and connected subnational regions with key ecosystems  <b>MS: Moderately Satisfactory</b>	<b>RISKS:</b> (i) managing risks around the safety of informants; (ii) sufficient enforcement mandate, power to arrest and issue fines, and adequate capacity and support (including training and equipment) to enforce IWT issues; (iii) legislative and policy levers in place in time to support scaling efforts; and (iv) willingness to share intelligence and information between law disparate enforcement agencies.  <b>Indications point that Outcome 3 will be partially met</b>

# Preliminary MTR Ratings: Progress Towards Results

Item	Rating	Comments
Progress Towards Results	<p><b>Outcome 4:</b>            Implementation and upscaling/replication of project approaches at national and international levels is supported by effective knowledge management and gender mainstreaming</p> <p><b>S: Satisfactory</b></p>	<ul style="list-style-type: none"> <li>While still premature to fully assess replication efforts, the Project is certainly generating buzz within Indonesia and in the context of the GWP for its many firsts.               <ul style="list-style-type: none"> <li>The Project has been distilling information from longer SOPs into pocketbook format (Animal Handling, DNA Forensics and Morphological Analysis) for wider accessibility;</li> <li>Since inception, it has been attending and participating in yearly conferences organized by the GWP to gather and share lessons with other child projects;</li> <li>In cooperation with the Human Resources Agency of the Ministry of Environment and Forestry, the CIWT project supported a Forest Rangers Competency Mapping Assessment on gender issues;</li> <li>Establishment and training of a volunteer woman ranger partner group to enhance knowledge on IWT issues at Bogani Nani Wartabone National Park.</li> </ul> </li> </ul> <p><b>RISKS:</b> (i) ensuring adequate gender representation in training, in alignment with the 50% vision in the Project Document; (ii) complacency and taking a passive stance as opposed to an active</p> <p><b>Outcome 4 well on track to meet outcomes</b></p>

# Preliminary MTR Ratings: Project Implementation & Adaptive Management

Item	Rating	Comments
Project Implementation & Adaptive Management	S: Satisfactory	<p>Overall, project implementation has been satisfactory as measured by the 7 benchmarks below. There are also some indications to suggest that the project has been adaptive (as opposed to reactive) and opportunistic in its management, especially in spite of the limitations and bottlenecks caused by the COVID-19 pandemic.</p> <p><b>Management arrangements:</b> PB and PMU meetings have been consistent and well attended, some turnover during the initial formation of the PMU have had adverse impacts on project effectiveness, especially during the inception phase which lasted over a year. The project has experienced significant delays due to the difficulties approving procedures and an appropriate support model related to NIM, but is now operating more efficiently as it has gained traction.</p> <p><b>Work planning:</b> Evidence from interviews suggests that the Annual Work Plan process has been effective, in line with expected standard processes and broadly consultative with project stakeholders. Going forward, it would be good to also involve the RTA in the AWP process and afford them ample time to weigh in and provide guidance based on their knowledge of the portfolio prior to its submission for approval. Administrative requirements associated with both contracting and procurement have also been efficient. Given the complexity, fundamental nature of and inherent dependencies of some of the outstanding activities, more time will likely be required to build on early progress and gaps in a number of areas, so, an extension of project timeframe is suggested.</p> <p><b>Finance and co-finance:</b> Up to December 2020, the project expenditure was US\$3,252,917.02, reflecting a 55% expenditure of the total GEF allocation. The project is underspending against the agreed budget by approximately 15% and expenditure against Outcome 3 is lagging considerably and should be expedited.</p>

# Preliminary MTR Ratings: Project Implementation & Adaptive Management

Item	Rating	Comments
Project Implementation & Adaptive Management	S: Satisfactory	<p><b>Project-level monitoring and evaluation:</b> Monitoring and evaluation needs to be tightened up, in particular a number of indicators and the PortMate scores. Financial management of co-financing and its inclusion during AWP needs to be improved. Risk management is robust and there is systematic and proactive risk management in line with best practice and the risk register is updated periodically as new risks emerge.</p> <p><b>Stakeholder engagement:</b> Stakeholder engagement was initiated in the project planning and inception stages, and subsequently has been leveraged through various partnership arrangements through the Project's microgrants with JAAN, WCS, WWF and YIARI; National level consultations have been conducted via the development of the NASTRA, but is expected to continue to secure broad ownership for the roadmap prior to the document's finalization; Benefit sharing to local communities through alternative livelihood measures to address the "push" and "pull" factors of the IWT needs to be more thought out and demonstrated, in order to promote greater community ownership which can lead to more effective partnerships with law enforcement and national park (NP) authorities. While both UNDP and Gakkum have won accolades for their gender work, the gender dimension of implementation strategies, although difficult in the context of law enforcement need to be accelerated to meet Project targets.</p> <p><b>Reporting:</b> reporting requirements (e.g., PB meeting minutes, PIRs, PARs, QMRs) have been carried out fully. Technical reporting needs greater focus on higher-level results and impacts rather than completion of activities.</p>

# Preliminary MTR Ratings: Project Implementation & Adaptive Management

Item	Rating	Comments
Project Implementation & Adaptive Management	S: Satisfactory	<p><b>Communications:</b> Internal communications among project personnel, as well as communications between project personnel and key stakeholders for project planning purposes, have generally been effective, however, has tapered off with the closure of the microgrant agreements. Re-engagement of the 4 main NGOs (and others) is necessary to realize the collaborative vision of the CIWT project and deeper cooperation on IWT issues by leveraging the assets of all entities to their full potential. There is no rigid hierarchy observed which is typical to other projects in the region. Project personnel feel comfortable and are free to escalate issues and there is a great rapport along the communication chain from the RTA to the UNDP Indonesia Country Office to the PMU, through both formal and informal channels. The project has engaged in a robust program for external communications, including the production of high-quality informational materials (e.g., pocketbooks, videos, comic books and campaigns) intended for dissemination to stakeholders and this should be encouraged to continue for the remainder of the Project to ensure sustainability of results. The points noted above should be reflected in the CIWT's forthcoming communication strategy, which should also consider elements of Knowledge Management. The KAP survey should be undertaken at the national level and ought to inform the messaging and target audience(s) of communications going forward.</p>

# Preliminary MTR Ratings: Sustainability

Item	Rating	Comments
Sustainability	ML: Moderately Likely	<p>There are a number of issues and risks that threaten the sustainability of the Project in the foreseeable future and after its closure, that ought to be mitigated:</p> <ul style="list-style-type: none"> <li>• Institutional sustainability is enabled through the NASTRA which is the government's long-term vision and roadmap for combatting the illegal wildlife trade. Commitment towards addressing IWT issues by the IP is very strong and is likely to endure post-Project since the NASTRA has a longer-term time horizon (2021-2025) and government personnel have noted that the NASTRA is being refined during this initial phase to inform subsequent iterations. However, the MTR has noted that while there is exceptionally strong ownership for the NASTRA and core issues of the IWT, this does not necessarily translate to ownership of the GEF-financed CIWT project. In fact, on multiple occasions during the MTR, the NASTRA was confused for and was referred to interchangeably for the Project itself. Given the differences in time horizons there is a risk that key activities will not be adequately addressed during the Project's lifecycle. The Project must also not lose sight of the criticality of closing gaps and loopholes within key pieces of legislation and policy within its lifetime;</li> <li>• The Project is building momentum and there is recognition of the additionality that GEF brings to the table to realize global environmental benefits, however, this momentum could stall if a sustainable level of funding is not forthcoming post project. Sustainable sources of finance to continue and scale up successful project interventions at the landscape level at key ports, particularly those which are major trading hubs and exit points for wildlife trafficking, are paramount. Without additional financing and capacity, it will be difficult to address the range of threats faced at the landscape level, underscoring the need to accelerate work on Outcome 3.</li> </ul>

## Preliminary MTR Ratings: Sustainability

Item	Rating	Comments
Sustainability	<b>ML: Moderately Likely</b>	<ul style="list-style-type: none"> <li>From a socio-economic perspective, ensuring that local communities with few readily available livelihood options are not overtly or inadvertently drawn into the illegal trade of wild animals via “push” and “pull” factors will require sustained effort through a combination of direct investment and heightened awareness;</li> <li>Most critical risks were accurately identified at the project design stage, but some risks have increased in severity since then, particularly socio-economic risks (i.e. risk no. 5 &amp; 6) and government commitment to enacting legislation (i.e. risk no. 1). The sustainability of project results and achievement of the project objective will depend on accurate identification of critical risks and putting in place adequate measures to manage and mitigate them. While nobody could have predicted a pandemic of the magnitude which has unfolded, it underscores a key principle of risk management of leaving no stone unturned.</li> </ul>

## Lessons Learned

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# Lessons Learned to Date

- **Lesson 1 - NGOs / CSOs can contribute immensely to law enforcement and ought to be considered strong partners in IWT efforts:** The MTR assessment surfaced the tremendous value and innovation demonstrated by NGOs / CSOs that one would not normally associate with the dismantling of illegal wildlife trade. The results from the microgrants have clearly demonstrated they have a strong role to play in the Project and should be leveraged to their full capacity and are an essential piece to the law enforcement puzzle;
- **Lesson 2 - When it comes to tackling IWT, the sum is greater than its parts:** Criminal syndicates have an uncanny ability to stay ahead of the curve. Efforts to combat the unsustainable and illegal trade of wildlife are only as strong as the weakest link. Collaboration and cooperation is not just key, but indispensable and an "*all hands on deck*" strategy is required to pool together the assets, services and intelligence that different actors bring.

# Lessons Learned to Date (continued)

- **Lesson 3 - If you build it, will they come?:** The Project has proposed a number of ICT products that are forthcoming, including (i) an android and IOS based mobile protected species application to assist law enforcement agencies in the field such as forest rangers, customs, police, and coast guards in wildlife identification; and (ii) a knowledge management system for e-learning. To ensure uptake and business continuity any new system ought to be accompanied by a change management plan and accompanying processes;
- **Lesson 4 - Campaigns have limited shelf life and need to be refreshed and sustained over time to be effective:** The MTR has highlighted the power of social marketing and the power of electronic and social media towards changing perceptions of the general public and policy makers who are consumers of goods. With limited attention spans these days, awareness raising should continue throughout projects and be accompanied by a mechanism to gauge changes in opinion on key issues.

## Recommendations

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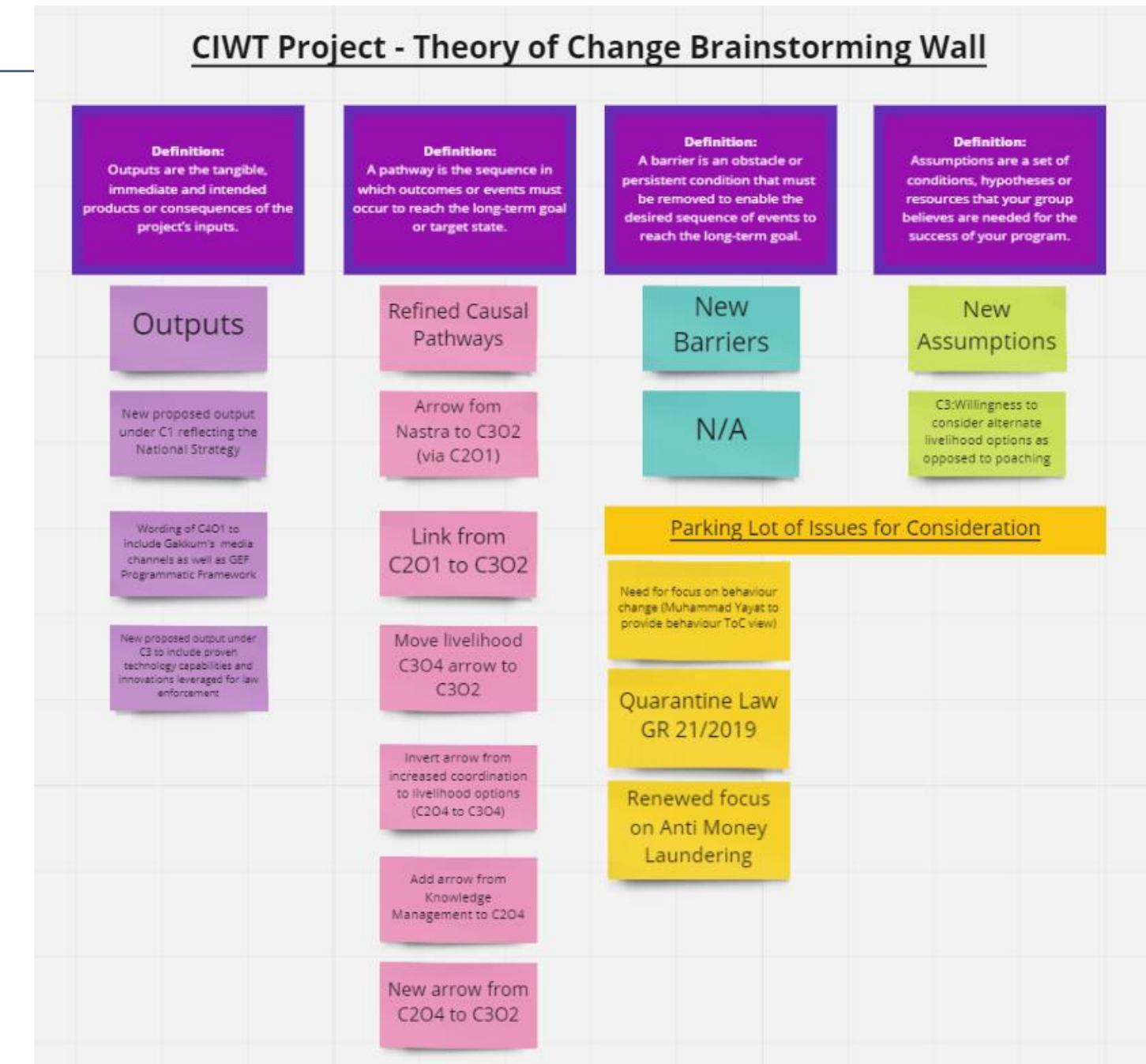


**Recommendation Summary Table**

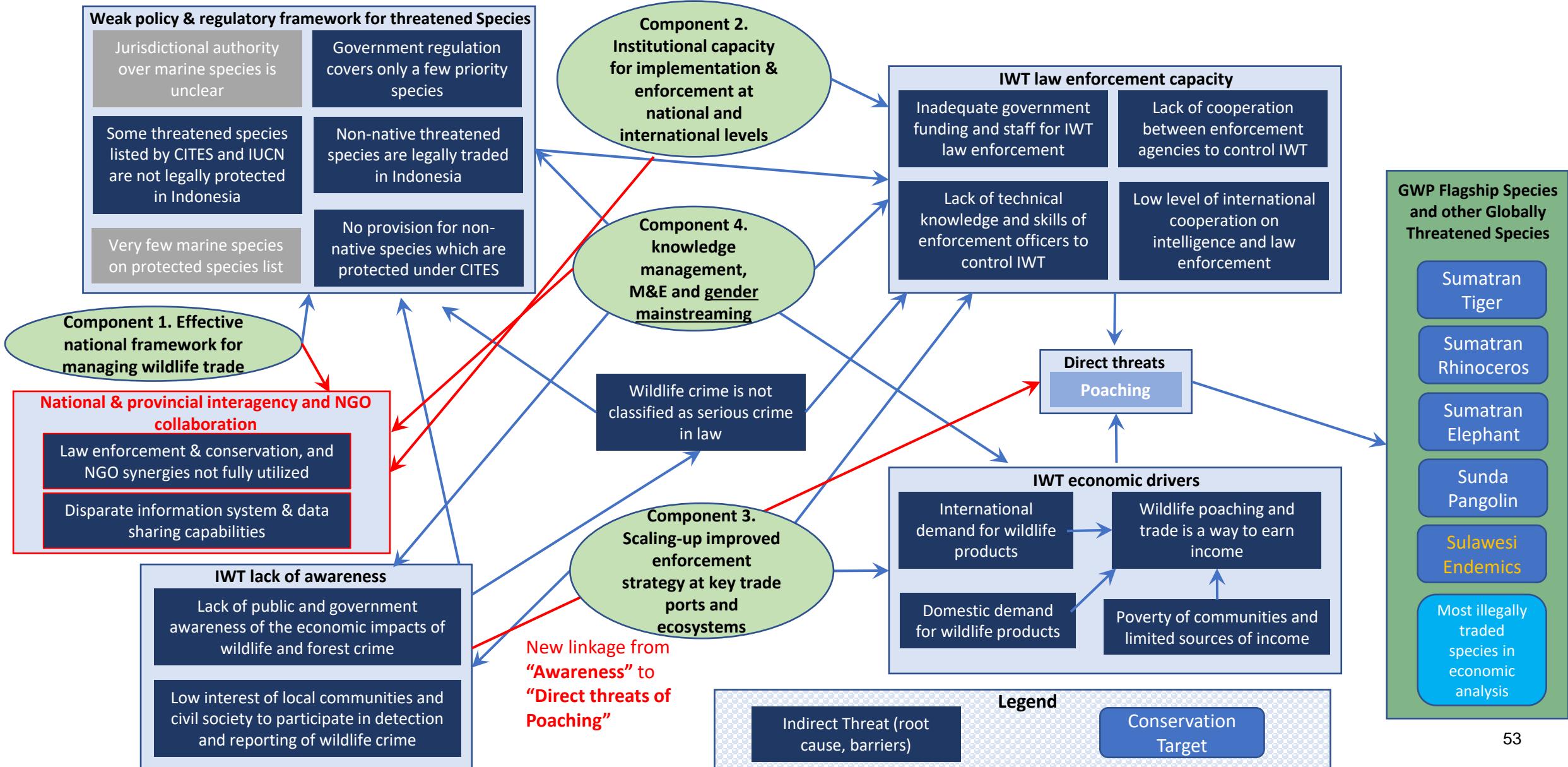
Number	Recommendation	Category	Corrective or Augmentative?	Priority (H=high; M=medium)	Primary Responsible Unit(s) or Party(ies)
1	<p>Undertake a comprehensive, participatory and strategic review of the project design and Results Framework. This includes:</p> <ul style="list-style-type: none"> <li>• reducing the overall scope of work</li> <li>• prioritizing interventions that are likely to have greatest sustainable impact by the end of the project as per outcomes of the Theory of Change workshop facilitated by the MTR consultant team;</li> <li>• paring down and ensure objective indicators are unique;</li> <li>• ensuring all indicators are SMART;</li> <li>• revisiting dependencies between outcomes, outputs and activities;</li> <li>• ensuring that project progress and impacts can be measured systematically and rolls up to the objective level;</li> <li>• Take a Theory of Change approach to the prioritization of investments, including the consideration of the <a href="#">Rare behavioural dynamics approach</a> raised during the ToC workshop;</li> <li>• systematically recording all major changes to the original project design described in the Project Document and seek approval from the Project Board.</li> </ul>	Project Design and Strategy	Corrective	H	PMU, IP, PB and UNDP Indonesia Country Office (Quality Assurance and Reporting Unit)

# Theory of Change Workshop Brainstorm

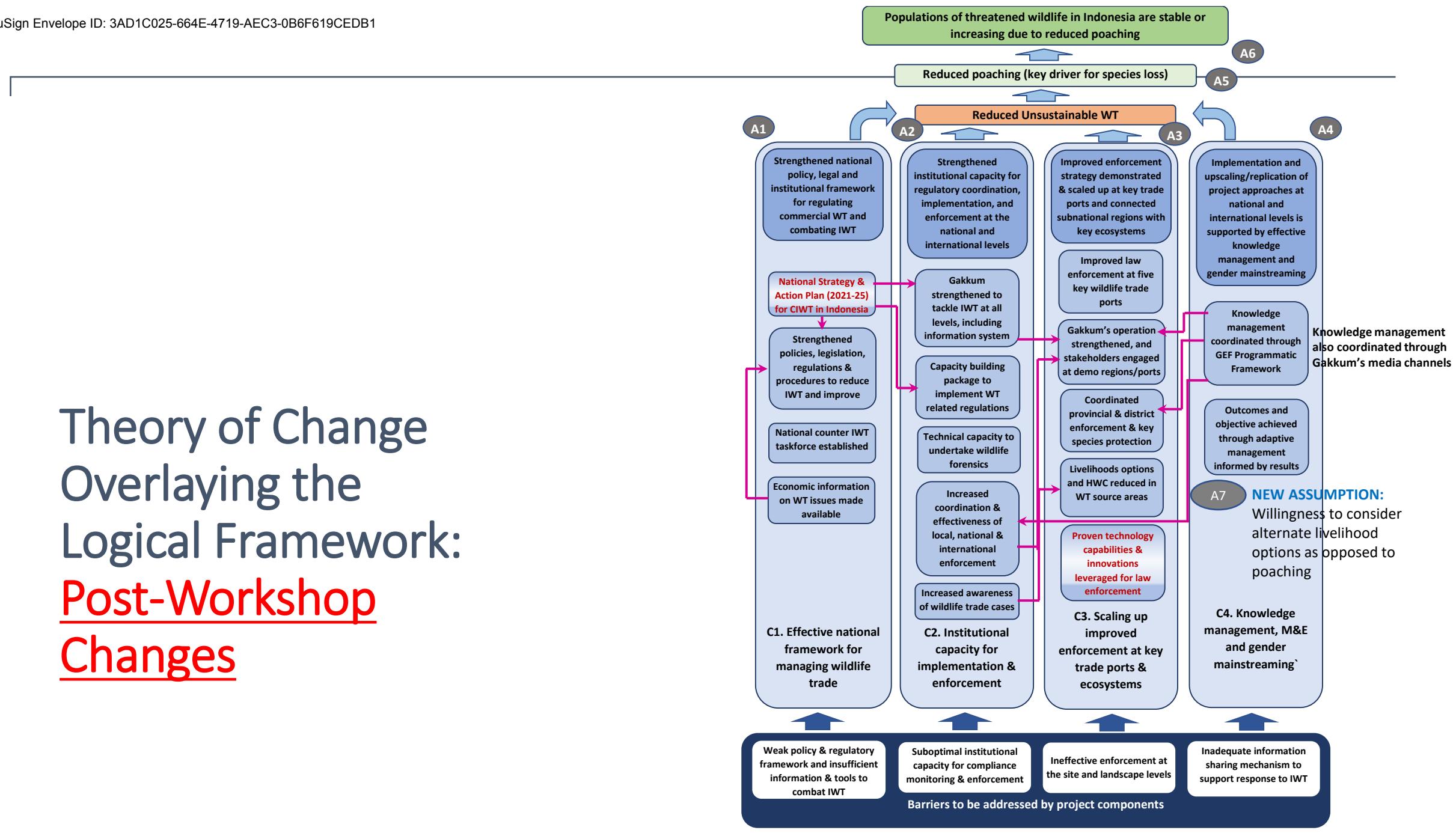
## CIWT Project - Theory of Change Brainstorming Wall



## Conceptual model of the GWP project: Combating Illegal and Unsustainable Trade in Endangered Species in Indonesia (refined)



# Theory of Change Overlaying the Logical Framework: Post-Workshop Changes



2	Extend the timeframe of the Project by at least six months for operational contingency to account for time lost at the outset of the Project and disruption caused by the COVID-19 pandemic.	Project Design and Strategy	Augmentative	H	UNDP-CO, RTA and GEF
3	Consider how to improve engagement of women in remaining Project activities improve chances of reaching gender beneficiary targets of 50%.	Project Design and Strategy	Augmentative	H	PMU, IP
4	Develop a plan on how the individual products and services developed to date will be scaled and integrated into remaining activities (including SOPs, guidelines for using anti-money laundering regime, economic assessment, etc.) to achieve a multiplier effect.	Project Design and Strategy	Corrective	H	PMU, IP
5	Aggressively pursue both direct measures (Plan A) and indirect measures (Plan B) in parallel to change legislation and policies targeted in the Project Document.	Outcome 1	Corrective	H	PMU, IP and PB

6	<p>Take the following steps to ensure traceability between the CIWT project and the NASTRA:</p> <ul style="list-style-type: none"> <li>• <b>Step 1:</b> Develop and map the NASTRA's forthcoming action plan to the CIWT project's outputs and activities. The mapping may not be one to one;</li> <li>• <b>Step 2:</b> Highlight commonalities and associated progress by the Project;</li> <li>• <b>Step 3:</b> Identify items that are not in common (either unique to NASTRA or to the Project) and articulate / document the status;</li> <li>• <b>Step 4:</b> If there are actions in the NASTRA that are not part of the Project scope but can be undertaken with minimal disruption to the Project, following existing governance processes, and assuming no additional funding required from the Project, schedule for delivery in concert with the Project's ongoing activities. Also if there are items in the Project's scope not covered in the NASTRA, it should either be amended or the IP should acknowledge and commit to its delivery within the remaining timeframe;</li> <li>• <b>Step 5:</b> Monitor the project's critical path closely to proactively address issues (people, process, technology, governance).</li> </ul>		Outcome 1	Corrective	H	PMU, IP
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## ***Recommendation: Map Nastra Action Plan to CIWT Project Outputs/Activities***

### ***Suggestive Steps***

<b>1.</b>	<b>Mapping</b>	Map Nastra's action plan to CIWT project's outputs and activities <i>(The mapping may not be one to one)</i>
<b>2.</b>	<b>Identifying Commonalities</b>	Highlight output/activity commonalities and determine associated project progress
<b>3.</b>	<b>Identifying Differences</b>	Identify items that are not common (either unique to Nastra or to the project) and determine associated timelines and ownership.
<b>4.</b>	<b>Change Management</b>	Identify Nastra actions that are not in project scope but can be undertaken with minimal disruption to the project schedule for delivery in concert with the project's ongoing activities, following the project's governance process .
<b>5.</b>	<b>Monitoring</b>	Monitor the project's causal pathway closely to proactively address issues

7	Seek a Ministerial Decree for the NATSTRA once traceability mapping activity is complete.	Outcome 1	Augmentative	M	IP
8	Produce a pocketbook of the Economic Assessment that is digestible by the judiciary and prosecutors, articulating how it should be leveraged in combination with legislation.	Outcome 1	Corrective	H	PMU, IP
9	Consider a phased roll-out for the IOS / Android application as opposed to a big-bang deployment. Deployment of the mobile application should be accompanied by a change management strategy and amendments to existing SOPs / business processes.	Outcome 2	Augmentative	M	PMU, IP
10	KAP survey to be undertaken at the national level.	Outcome 2	Augmentative	M	PMU, IP
11	Accelerate finalization of the Project's communication strategy, which should also include the Project's Knowledge Management strategy for Outcome 4.	Outcome 2	Corrective	M	PMU, IP
12	Re-engage microgrant NGOs for additional campaigns to improve sustainability and a focus on the IWT demand.	Outcome 2	Augmentative	M	PMU, IP
13	Adopt and integrate a multi-sectoral <a href="#">One Health</a> approach into future communication and campaign efforts.	Outcome 2	Augmentative	M	PMU, IP

14	Accelerate Knowledge Management repository (i.e.: MS Teams, SharePoint) and take an active KM approach by requesting through the RTA twice annual regimented KM sessions to other GWP child projects on the Project's progress and tools available.	Outcome 4	Augmentative	H	PMU, UNDP-CO, RTA
15	Annual Work Planning should not be finalized or approved until the UNDP-GEF RTA has had an opportunity to comment and weigh in on proposed activities. The Project's spending limit should not be approved until the RTA has endorsed the AWP.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP and RTA
16	Ensure that Annual Work Planning also factors in the amount of co-financing required against existing commitments. For the Terminal Evaluation, these should be tabulated and sent to the IP for validation as opposed to requesting a post-facto calculation.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP, UNDP and WCS
17	Initiate PB meetings twice annually for the remainder of the Project. The first should gauge and take stock of progress on the previous year's AWP and help remove barriers / obstacles to implementation, while the latter should approve the following year's AWP. Additional extraordinary sittings of the PB may be necessary as key issues and risk emerge, but these can be handled virtually or electronically.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP
18	The project should expand partnerships to include other relevant government ministries and institutions such as the Ministry of Health, as well as re-engage the four NGOs (and others) to execute remaining activities, especially in the context of Outcome 3 and to address greater community participation.	Project Implementation & Adaptive Management	Corrective	H	PMU, IP

19	Adopt workflow automation processes used by the UNDP-CO, such as DocuSign, to obtain greater efficiency in planning and approval of activities and to reduce delays.	Project Implementation & Adaptive Management	Augmentative	M	PMU, IP
20	Initiate work on a formal exit strategy / transition planning in consultation the broader Project stakeholdership. Consider procuring an experienced Organizational Change Management (OCM) consultant to ensure the exit strategy also includes a OCM plan to enhance chances of sustainability.	Sustainability	Corrective	H	PMU, IP and UNDP-CO
21	PMU to provide monthly progress update to all stakeholders engaged during the life of the project to instill a sense of collective ownership and responsibility towards sustainability and elevation of Project's impact beyond its conclusion. Promoting open dialogue and feedback from all perspectives will be instrumental for interventions' effectiveness and would enhance efficiency.	Sustainability	Augmentative	H	PMU

**Thank You!**



## ANNEX I: CO-FINANCING TABLE

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Investment Mobilized	Amount (\$)
Recipient Country Government	Ministry of Environment and Forestry	Public Investment	Investment mobilized	25,348,905
Civil Society Organization	The Wildlife Conservation Society (WCS)	Grant	Investment mobilized	777,995
GEF Agency	UNDP	Grant	Investment mobilized	,0
<b>Total Co-financing</b>				
				26,126,900

## ANNEX J: INDICATIVE LIST OF INTERVIEW QUESTIONS

1. What has been the project's main achievements so far as you see them?
2. Where are some of the areas in which the project can improve on in the next three years?
3. Tell me a little about your portfolio and how the CIWT project fits into the overall cluster of projects and strategy?
4. This project is about collaboration between different government entities and NGOs involved in tackling the illegal wildlife trade. How has collaboration improved so far under the project? What further collaboration is needed for the remainder of the project to achieve its objectives?
5. Do you know if the project helped inform the latest CPD document?
6. Do you believe the UNDP-GEF CIWT project is still relevant to the Indonesian context compared to when it was first designed? How so?
7. Are you aware of any lessons from other projects incorporated into the project design and project strategy? Please elaborate.
8. What support has been required by the UNDP-CO over and above its mandate in a NIM implementation?
9. What links have been developed with the Global Wildlife Program?
10. How is the cooperation and communication with the RTA?
11. Do you have any concerns about the project to date and its trajectory?
12. What progress has been made on the revision of UU5/1990 and PP7/1999 to reflect IWT issues?
13. How has COVID-19 disrupted activities and how has it been an opportunity for adaptive management?
14. What institutional / financial barriers do you envisage in the completion and/or sustainability of the project?
15. For you, what stands out in this project from other GEF projects in the GEF portfolio? Is there something special about it?
16. If you had the opportunity to redesign the project, what changes would you make?
17. As the Implementing Partner, how effective has the Directorate General of Law Enforcement of the Ministry of Environment and Forestry (MoEF) been in demonstrating vision and leadership towards the implementation of the project?
18. Have there been issues related to co-financing?
19. Has exit planning / transition planning started?
20. Following conclusion of the project, what is the likelihood that adequate financial resources will be in place to sustain the project's outcomes?
21. Is it expected that, upon conclusion of the project, stakeholder ownership will be sufficient to sustain the project's outcomes?
22. What plans are there to strengthen regional collaboration with other law enforcement agencies in China, Vietnam, Thailand, Malaysia and Singapore in the next three years?
23. How can the project advance the needs of women and community livelihoods?
24. How does the Project anticipate engaging with local communities in the second half of implementation? What strategies will be used to improve livelihoods and to reduce the lure of poaching?
25. Why has engagement with NGOs tapered off after the microgrants?
26. Tell me about the processes and practices to manage the Project on a day-to-day basis (i.e., work planning, scheduling, risk management and reporting requirements)?

## ANNEX K: CODE OF CONDUCT FORM

### 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.
8. Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

### MTR Consultant Agreement Form

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

Name of Consultant: Camillo Ponziani

Name of Consultancy Organization (where relevant): N/A

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

Signed at Toronto, Canada (Place) on 06 June 2021 (Date)

Signature: 

### 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.
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8. Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

### MTR Consultant Agreement Form

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

Name of Consultant: Yohanes Wisnu Sukmantoro

Name of Consultancy Organization (where relevant): N/A

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

Signed at Serpong, Indonesia (Place) on 06 June 2021 (Date)

Signature: 

## ANNEX L: SIGNED MTR REPORT CLEARANCE FORM

### Midterm Review Report Reviewed and Cleared By:

#### Commissioning Unit:

Name: Teuku Rahmatsyah

Signature: 

Date: 25-Jul-2021

#### UNDP-GEF Regional Technical Advisor:

Name: Kaavya Varma

Signature: 

Date: 26-Jul-2021

## ANNEX M: AUDIT TRAIL OF COMMENTS

**See file annexed separately.**

## ANNEX N: UPDATED GEF GWP SCORECARD(S)

**See file annexed separately.**

# Thank You.

Front cover image:

Rhinoceros hornbill (*Buceros rhinoceros*) © Vladimir Wrangel  
Adobe Stock

Back cover image:

Tusks for sale at market © Pav-  
Pro Photography

