



MIDTERM EVALUATION REPORT OF THE UNDP GEF - FINANCED

Strengthening Forest Area Planning
and Management in Kalimantan
(KALFOR) Project

UNDP Project ID (PIMS #): 5029

GEF Project ID (PMIS #): 6965

Award ID : 85815

Project ID : 93330

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Of the UNDP, GEF-financed

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1 September 2021

Basic Report Information

Title of UNDP supported GEF financed project

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MTR time frame and date of MTR report

Time Frame: April-June 2021

Date of Report: 11 June 2021

Country

Indonesia

GEF Operational Focal Area/Strategic Program

Multi-focal

Executing Agency/Implementing Partner and other project partners

United Nations Development Programme; Ministry of Environment and Forestry Directorate General of Forest Planning and Governance; Ministry of National Development Planning/BAPPENAS

Mid-term Review Team members

Mr. Ashwin Bhouraskar-Team Leader

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ii. Acronyms and Abbreviations

APL	<i>Areal Penggunaan Lain (Non State-Owned Forest Area)</i>
CIAP	Commodities Integrated Approach Programme
CO	Country Office
ES	Ecosystem services
FGD	Focus Group Discussion
FSP	Full-sized Project
GEF	Global Environment Facility
GGP	Good Growth Partnership
GOI	Government of Indonesia
FCPF	Forest Carbon Partnership Facility
HoB	Heart of Borneo
HPK	<i>Hutan Produksi yang dapat di Konversi</i> (Convertible Production Forest)
KM	Knowledge Management
M&E	Monitoring and Evaluation
MOEF	Ministry of Environment and Forestry
MTR	Mid-Term Review
NGO	Non-governmental Organization
NPM	National Project Manager
NPD	National Project Director
NTFP	Non-timber Forest Product
OFP	Operational Focal Point (GEF)
PIR	Project Implementation Report
PMU	Project Management Unit
RF	Results Framework
TOR	Terms of Reference
UNDP	United Nations Development Programme

1. Executive Summary

Project Information Table

Project Title			
UNDP Project ID (PIMS #)	5029	PIF Approval Date:	August 2014
GEF Project ID (PMIS #):	6965	CEO Endorsement Date:	April 2015
ATLAS Business Unit, Award # Proj. ID:	BU: Award: 85815 Project: 93330	Project Document (ProDoc) Signature Date (date project began):	Dec 2017
Country(ies):	Indonesia	Date project manager hired:	
Region:	RBAP	Inception Workshop date:	August 2018
Focal Area:	Multi-focal	Midterm Review completion date:	June 2021
GEF Focal Area Strategic Objective:	Biodiversity, Land Degradation, Sustainable Forest Management	Planned closing date:	December 2024
Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]:	GEF TF	If revised, proposed op. closing date:	N/A
Executing Agency/Implementing Partner:	Ministry of Environment and Forestry (Directorate General of Forestry Planning and Environmental Governance)		
Other execution partners:	--		
Project Financing		at CEO endorsement (US\$)	at Midterm Review (US\$)*
[1] GEF financing:		9,000,000	6,192,484
[2] UNDP contribution (cash):		50,00	26,224
[2] UNDP contribution (in kind):		--	--
[4] Government:		50,000,000	31,659,410
[5] Other partners:		--	
[6] Total co-financing [2+3+4+5]:		50,050,000	31,685,634
PROJECT TOTAL COSTS [1+6]		59,050,000	37,878,118

Brief Project Description

1. The development challenge that the project, “Strengthening Forest Area Planning and Management in Kalimantan”, seeks to meet is for Indonesia to define, plan for and create a better balance between the development of major estate crops such as palm oil, rubber and others, and the need for improved forest protection. More specifically, the project strategy is to improve the conservation of forested areas for biodiversity and ecosystem services in Non-State-Owned Forest Area (*Areal Penggunaan Lain*, APL) and Convertible Production Forest (*Hutan Produksi yang dapat di Konversi*, HPK) in Kalimantan. These lands are subject to potential conversion to estate crop production despite their having forest cover. The project has aimed to achieve its objective by pursuing four Outcomes:

1. Mainstreaming of forest ecosystem service and biodiversity considerations into national, provincial, and district policies and decision-making processes for forest area planning and management;
2. Policies and plans to deliver global and national benefits from forest conservation and estate crop development are in place in four districts of Kalimantan and innovative approaches to their implementation have been demonstrated in target landscapes containing at least 200,000 ha of forest area currently outside of the forest estate;

3. Innovative ways of using financial incentives (and eliminating disincentives), designed to help reduce deforestation and forest fragmentation driven by estate crop development, have been demonstrated in target landscapes within four districts in Kalimantan;

4. Knowledge management and M&E. Increased knowledge and understanding of the multiple factors underlying successful implementation of reduced deforestation, green growth strategies for Indonesia's estate crops sector.

Three of the island's provinces, Central Kalimantan, East Kalimantan and West Kalimantan, and four pilot districts in them, Ketapang and Sintang in West Kalimantan, Kotawaringin Barat in Central Kalimantan, and Kutai Timur in East Kalimantan, are the focus of the project.

Project Progress Summary

2. The GEF-funded UNDP project, "Strengthening Forest Area Planning and Management in Kalimantan" (hereafter "KALFOR", or "the project"), has progressed well since it began implementation, despite a slow start and the impact of the Covid-19 pandemic on project implementation and expenditures. The project has achieved or surpassed many of its mid-term targets, namely for the development of policies supporting enhanced protection of APL forests, and the area of forest cover brought under this protection. As the table below illustrates, KALFOR's mid-term achievement of the Project Objective is Highly Satisfactory, and Progress Towards Results is rated as Satisfactory overall. The project has been stronger on Outcomes 1 and 2, with there being some need for improvement on Outcomes 3 and 4. The relevance of the strategy, although not rated, remains high, given the relatively low areas of APL forests remaining in the three provinces, and the risk of conversion to other uses that they face. Yet Outcome 3, designed to provide palm oil companies with incentives to avoid deforestation, has been too ambitious for a number of reasons. The project's design is also weak in its indicator framework. Largely due to a well-managed, close-knit and flexible Project Management Unit (PMU), Implementation and Adaptive Management have been Satisfactory. An area for improvement, however, is monitoring and evaluation (M&E) and reporting. At this mid-term stage, KALFOR faces a range of risks, which are moderate to high, and Sustainability is rated as Moderately Likely.

MTR Ratings & Achievement Summary Table

Mid-term Review Criteria	Rating	Achievement Summary
Relevance of Strategy, including Quality of Design	N/A	Overall, the strategy remains relevant. Particularly novel and relevant is the focus on supporting legislation and planning for APL forest conservation at the provincial and district levels, where decision-making occurs. The Results Framework is fairly clear and feasible, but Outcome 3, on incentives to palm oil companies, is overambitious, especially given the high profitability of palm oil production. There are several indicators and targets that are either overambitious, undeveloped, repetitive or formulated with errors, and there are no indicators to capture certain key expected results. Wide stakeholder engagement occurred during design, yet there was a missed opportunity to involve other ministries, such as agriculture and spatial planning. Issues were found with the gender analysis and Social and Environmental Safeguards screening, and the design did not include an exit strategy or a strategy for the project to catalyze wider change.
Progress Towards Results	<u>Overall Rating:</u> <u>Satisfactory</u>	

	Objective Highly Satisfactory	The project increased APL forest cover under enhanced protection by 278,144 ha (for which evidence exists), surpassing the mid-term target. Yet not all APL forests are HCV, according to partner experts. Stakeholder engagement through the forums has been high, through the (unrealistic) target for communities benefiting from sustainable livelihoods has not been met.
	Outcome 1 Satisfactory	Through high flexibility to supporting diverse initiatives, and broad stakeholder engagement, KALFOR drafted or contributed to 11 national or provincial instructions, regulations or decrees supporting APL forest conservation, and in which biodiversity and ecosystem services have been mainstreamed to an extent. Commitments exist to conserve 104,782 ha of APL forest. Scope remains to further integrate biodiversity and ecosystem services, and promote forest intactness and integrity, as the successes mask a key issue of forest fragmentation.
	Outcome 2 Satisfactory	There is evidence of commitments in the districts to conserve 166,480 ha, and the targets for CO2 emissions avoided, no. of policies supported and others, have been met or surpassed. KALFOR supported community forest ownership. On sustainable livelihoods, KALFOR has trained a large number of villagers, but the schemes have not yet generated significant incomes. Nor do the schemes, for various reasons, act to disincentivize deforestation. Follow-up project activities will possibly generate greater incomes, but data is not yet available.
	Outcome 3 Moderately Satisfactory	Work on the Outcome began late. Various regulations have been examined for their use as incentive schemes, though few involve performance-based financial payments for environmental conservation. KALFOR contributed to an MOEF umbrella framework on PES and conducted an ecosystem services and economic valuation study. The project also initiated pilot collaborations between companies and the communities living in their concession areas, but they do not reflect the use of any performance-based incentive. Overall, significant work remains for the actual design of schemes involving performance-based financial incentives. Furthermore, providing incentives to palm oil companies to reduce deforestation does not appear to be feasible for KALFOR. Other more appropriate strategies, to develop incentives for NTFP enterprises that sustain APL forests may exist.
	Outcome 4 Moderately Satisfactory	KALFOR has produced a large number of quality communication products and channels to increase stakeholders' and the general public's understanding of the need for APL forest conservation and what activities KALFOR has been undertaking for this goal. However, with some exceptions, it is unclear how the different material was to directly support the achievement of the Outcomes. The project is also contributing to an MOEF web portal on forest planning for the whole country. A communications strategy was recently developed and KALFOR should use it to guide its work. The project also has not begun to share its lessons with

		other districts to catalyze change in them, and should begin to do so.
Implementation and Adaptive Management	Satisfactory	The PMU has been well managed and team roles and responsibilities are clear. The Project Board is also engaged and supportive. Implementation, which began in August 2018, was at first slow, as were expenditures, but then increased in speed. The Covid19 pandemic slowed down activities and spending, but the project has been flexible, managing to shift to virtual activities. Spending is now nearly on track. MOEF and UNDP co-financing have also met expectations. M&E has needed improvement, as the data reported has often not matched what the indicators require. The project's stakeholder engagement has been strong. Covid19 was identified as a new social and environmental risk, and KALFOR has taken appropriate steps on it to develop a new Free Prior Informed Consent (FPIC) guideline.
Sustainability	Moderately Likely	Some KALFOR activities are helping to promote sustainability, such as the broad engagement stakeholders to build a wide foundation of support for APL forest conservation. The approval of a regulation also involves a budget allocation to support it. Risks, however, do exist, and they are moderate overall at this stage. Financial risks are that community income-generating schemes will be unable to obtain funds necessary to maintain and expand their activities. While the regulations developed show substantial buy-in of the subnational governments to forest conservation, the institutional framework and governance risks are that the sustainability of the achievements depends on the will and policies of government heads, and they may change. The greatest risk is that there is not sufficient buy-in of subnational governments to conserve APL forests given that palm oil production generates revenue, growth and employment. The environmental risks are that forest areas are highly fragmented, compromising their ability to maintain biodiversity and furnish ecosystem services. A draft exit strategy was developed, but it contains more of a framework for a strategy. KALFOR would benefit from formulating a full-fledged exit strategy.

Summary of conclusions

3. Overall, KALFOR has successfully helped to expand APL forest areas under enhanced protection in the three provinces, and has met or exceeded its related mid-term targets. It has achieved the conservation gains under Outcome 1 through being flexible and supporting local aims or initiatives already underway regarding APL forests, engaging with the wide range of subnational government entities, from the national to the community level. Yet the project's successes mask the serious issue of APL forest fragmentation, and more scope remains to mainstream biodiversity and ecosystem conservation into policies and regulations for the achievement of the project objective to be meaningful. Given that regulations of the different involved sectors, such as agriculture and spatial planning, are not fully harmonized for APL forest conservation, there is also a need to identify and address remaining policy gaps.

4. At the local levels, under Outcome 2, KALFOR has contributed through strengthening community ownership of forest areas, and enhancing environmentally sustainable income-generation efforts for villagers. However, to conserve remaining APL forests in the districts, the strategy of assisting villages one by one will likely be too slow, and the livelihood benefits from forest-friendly income streams show evidence of being relatively small and insufficient to incentivize the conservation of large APL forest areas. The project will need to think of more strategic approaches to extend forest ownership to communities, and support sustainable livelihoods.

5. On Outcome 3, KALFOR's design is too ambitious because it expects the development of incentives for large palm oil companies to conserve forests, which is difficult because the incentives have to match high profits from the sector. There was also a late start on the Outcome and incentive mechanisms have not been formulated yet. A clearer strategy for designing performance-based incentive payments is needed. A more feasible approach would be to use incentives for the establishment of NTFP and other forest-sustaining enterprises. Given the interests of local governments in creating economic growth and jobs, reducing poverty and generating tax revenues, KALFOR needs to help offer economic activities other than palm oil production that could meet these ends. The project could also target small palm oil growers with incentives to adopt more sustainable practices and livelihoods, including in NTFP enterprises. On Outcome 4, dedicated to knowledge management, KALFOR has produced and disseminated a wide variety of communications material. Yet the targeting of the products has been diffuse, and they do not directly support the achievement of the Outcomes. In 2020, a communications strategy was developed that outlines clear objectives and thus be the basis for more effective communications.

6. The project's engagement of stakeholders has been strong, and has been a key part of KALFOR's approach at the sub-national level. The project has adapted to local government preferences on APL forest management to build subnational ownership of the achievements. Yet there was a missed opportunity at design to formally involve other line ministries, such as agriculture and spatial planning, which would have helped in developing incentives for palm oil-sector actors and harmonizing regulations across sectors. Other aspects of the project's design, especially the M&E framework, could have been stronger. Many of the indicators and targets were not well-developed, making it difficult to report on and capture the project's achievements. The project has been well managed overall, and the team practices close communication and coordination. Apart from the Covid-19 pandemic and the slowdown in implementation and expenditures it caused, KALFOR has been carried out in a relatively timely way. However, an area requiring improvement is M&E and reporting since data reported in progress reports thus far has often not corresponded to that required by the indicators. On gender mainstreaming, the vast majority of participants KALFOR involved in the alternative village livelihood schemes have been women. Yet regarding the total number of community members trained in different areas, more than twice have been men. The participation of women in the stakeholder forums (~20 percent of attendees) and in decision-making has also been somewhat low, though it has been outside KALFOR's ability to influence these arenas.

7. The project has managed well the risks to the project stated in the Project Document and progress reports. Yet on the sustainability of the results, various governance, financial and other risks exist, and it would be wise at this stage for KALFOR to develop a full exit strategy. The project is also to serve as a catalyst for broader change, but the project has not yet begun to share its lessons with other districts, as Outcome 4 requires, to replicate KALFOR's successes in them.

Recommendation Summary Table

No.	Recommendation	Entities Responsible
1	Revise the indicators and targets in the Results Framework so that they can more effectively and efficiently capture the results of the project can realistically achieve.	GEF, UNDP and PMU
2	Formulate and implement a comprehensive exit strategy to ensure that the risks to sustainability the project faces are fully addressed and that the support KALFOR, along with its partner universities and NGOs, have provided will continue after the project ends.	PMU
3	Develop a set of lessons learned from KALFOR's experience in supporting APL forest conservation in the three provinces, four districts and communities, along with tools and guidance for promoting forest conservation, and share these actively with other districts and provinces in Kalimantan to achieve broader change.	PMU
4	The PMU should improve its monitoring and reporting on the project indicators, making sure the data provided matches what the indicators require. The offices with responsibility for quality assurance and financial support, UNDP at the country and regional levels and the GEF, should ensure in the project progress reports they receive that there is clear reporting on KALFOR's levels of achievement, and according to the indicators.	PMU, UNDP and GEF
5	In its work to expand APL forest area under enhanced protection as well as conserve biodiversity and ES functions, the PMU should make efforts to prevent forest fragmentation and support intactness wherever feasible.	PMU
6	For the purpose of conserving HCV forests and the biodiversity and ES functions they provide, aim as much as possible, to prioritize APL forest areas based on their size, HCV status, connectivity and intactness.	PMU
7	Based on the inventory of policies concerning APL forests that KALFOR has conducted, identify and assess the gaps in provincial and district policies regarding APL forest conservation and the mainstreaming of biodiversity and ES, especially in the policies of other sectors. And, seek to address these gaps through building wide stakeholder consensus.	PMU
8	Explore and develop other ways to achieve and expand community ownership of forest areas on a larger scale.	PMU
9	Given that the community pilots are relatively small regarding the livelihoods they support and the forest areas they conserve, and that district and provincial governments are interested in supporting enterprises that bring investment, growth, employment and poverty reduction, KALFOR should promote large-scale NTFP enterprises that bring these benefits and develop incentives for the enterprises and governments to help establish the companies.	PMU
10	Accompanying the recommendation above, KALFOR should pursue incentives for small palm oil growers to participate in NTFP activities that sustain APL forests.	PMU

2. Introduction

Purpose of the MTR and objectives

8. The MTR is to provide an independent assessment of KALFOR' progress towards achieving its objective and outcomes, identify the success factors and challenges, and recommend changes that are needed to enhance the project strategy or implementation for the project to accomplish its intended results. The MTR is designed to provide the project partners with an independent review of the KALFOR project's outputs and outcomes. As the evaluation is at the mid-term stage, it will be a formative assessment, designed to examine whether the project's assumptions are valid and whether the project model, or strategy, will lead to the desired objectives and outcomes. Based on the MTR's findings it will outline any necessary adjustments to the strategy for the remainder of the project's duration. More specifically, and in accordance with the MTR Terms of Reference (TOR, see Annex 1), the objective of the MTR is to assess:

- The project strategy
- progress towards the achievement of the project objectives and outcomes, as specified in the Project Document;
- project implementation and adaptive management
- The risks to project sustainability.

9. The MTR will also identify early signs of project success or failure, and factors that have facilitated and/or impeded the achievement of the objective and outcomes, with the goal of identifying the necessary changes to be made, set forth in recommendations, to set the project on-track to achieve its intended results.

10. Finally, given the challenge of the COVID-19 pandemic, the MTR, according to the TOR, will examine 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.

11. The audience of the MTR will be the KALFOR project team, MOEF, UNDP Country Office, the GEF, and following the principles of transparency, accountability and participation, the various government, academic, NGO and other partner entities cooperating under the project. On April 18 2021, a Kick-off Meeting was organized by the PMU, with over seventy stakeholders and project partners participating, was launched.

Scope & Methodology, Including Constraints & Limitations

12. The scope of the MTR includes all four Outcomes of KALFOR, and as implemented from the national to the community level, from the start of implementation in August 2018 to the present.

13. The methodology adopted for the MTR involved reviewing KALFOR using the evaluation criteria specified in the MTR TOR for the mid-term review of GEF projects. These are the following:

- Relevance, of the project strategy and its design
- Effectiveness, in terms of progress towards results
- Efficiency, in project implementation and adaptive management
- Sustainability, of the benefits achieved

14. Additionally, an Evaluation Matrix (see Annex 2) was developed, with more specific questions, categorized according to the evaluation criteria, for the project. The evaluation questions were formulated based on the KALFOR Project Document (Prodoc), other project documents and comments

provided at the MTR Kick-off Meeting. The Evaluation Matrix was submitted with the MTR Inception Report.

15. The methodology for the MTR consisted primarily of the following:

- A. Conducting semi-structured interviews with stakeholders, including the Project Management Unit (PMU), UNDP Country Office (CO) staff, national ministry officials, provincial government heads and staff of offices, district government personnel, university and NGO partners, and communities (see Annex 3 for examples of the interview questions used, and Annexes 5 and 6, respectively, for the mission itinerary and the complete list of stakeholders interviewed).
- B. Reviewing and analyzing project documents, the government and village regulations the project helped to design, studies that KALFOR conducted to inform its work, APL forest maps of the districts, and quantitative information on project finances and beneficiaries trained (see Annex 7 for a full list of the documents reviewed).

16. Due to the Covid-19 pandemic, the MTR was required to follow the adjusted standard terms of reference for Mid-Term Reviews of UNDP-supported GEF/LDCF/SCCF-financed projects, which take into account the impact of COVID-19 on evaluations, and include restrictions on MTRs as well as alternative approaches in terms of methodology. The main restriction the MTR experienced, as KALFOR did, was on the ability of its team members to travel and hold in-person meetings. Initially, it was foreseen that while the Team Leader would not be able to travel to the country, the Technical Expert team member would visit the provinces, districts and communities participating in the project. However, due to travel prohibitions, all of the MTR interviews were conducted online through Zoom. This constituted a limitation to the MTR as it is difficult to make interviewees feel comfortable and provide the information the MTR requires when a meeting does not take place in person.

17. A greater limitation was the low access the MTR team had to speak with the communities engaged in the project. Interviews were arranged with community members from each of the four districts, and then held at the office of the KALFOR NGO partner working with the communities. But owing to the distances between the villages and the NGO offices, and perhaps other factors, the turnout of people was quite low, and it consisted in many cases of the village head and a few other members. One means to obtain community views of the project that was considered was to use simple surveys that could be distributed and collected. But as the NGO was the only organization positioned to gather the data, there was a risk that the confidentiality of the surveys would be compromised, and villagers may not feel they could be honest in their responses. A small number of women were present at each online meeting, but the use of more gender-sensitive methods, such as the holding of women-only discussions was not possible in the context and with so few women present. To mitigate the limitations, the MTR team asked questions of the villagers from different angles to obtain reliable information and triangulated it with that from other sources.

18. The MTR also sought initially to examine some of the external research literature on forest conservation and palm oil production in Kalimantan to help assess the relevance and effectiveness of KALFOR's strategy and contributions. But owing to the MTR schedule, and the time required to clarify KALFOR's M&E data with the PMU and request more evidence, it was not possible to review this literature.

19. Following international development evaluation best practice, which UNDP and the GEF also exercise in their reviews and evaluations, the MTR implemented the following norms and standards in its work:

- **Independence** While the MTR is managed by UNDP CO, it was regarded as an independent exercise, with its findings based on the evidence gathered, and not subject to the views of any stakeholder(s)
- **Utilization-oriented** The MTR, in its scope, methodology, content and presentation, and particularly its recommendations, has sought to be useful to the project and its stakeholders in improving the intervention
- **Participation** Consultation and engagement with the project stakeholders has sought to be as broad as possible to ensure all views are considered in developing the findings and recommendations
- **Transparency** The evaluation's purpose, scope, methodology, contents, and consultation and finalization processes have been made clear to the project and all its stakeholders
- **Credibility** Each finding, lesson and recommendation has been based on reliable data, qualitative or quantitative, and evidence resting on the triangulation of different sources of information
- **Confidentiality** The MTR has treated all stakeholder views as confidential and in its report has not disclosed the identity of any party behind a statement

20. The work for the MTR was divided between the Team Leader and Technical Expert, where the former focused more on national government stakeholders, the UNDP CO and stakeholders, from the provincial to community level, in one province, West Kalimantan. The Team Leader also led on the methodology for the MTR, and liaised with the PMU and UNDP CO on the schedule. The Team Expert concentrated more on interviewing all stakeholders from the other two provinces, Central and East Kalimantan. Both team members interviewed the PMU and the stakeholders from West Kalimantan.

Structure of the MTR report

21. The remainder of the report begins with a description of the national context with respect to natural resource management and development, and of the project. Following it, the project implementation arrangements, timeline and milestones are presented. The main section of the report follows, consisting of the findings for each of the review criteria, and in the section on the Outcomes, a table, "Progress Towards Results", is presented which provides the ratings on the KALFOR's achievements against its indicators. The report ends with its conclusions and recommendations.

3. Project Description and Background Context

Development Context

22. The Republic of Indonesia stands today as the world's tenth largest economy in terms of purchasing power parity and is ranked fourth with respect to population size. In the last several years, it has been a stable democracy, and as an emerging middle-income country Indonesia has made major gains in poverty reduction. Consisting of over 17,000 islands, Indonesia is the largest archipelagic nation in the world. The islands include (parts of) the second (New Guinea), third (Borneo) and sixth (Sumatra) largest islands on earth. The country is also marked by high cultural and biological diversity. The population is comprised of over 300 different ethnic groups, and with its richness of tropical rainforest, coastal and other ecosystems, Indonesia is a mega-biodiversity nation, supporting two of the world's 25 biodiversity hotspots.¹

23. Despite its many achievements, considerable development challenges remain in Indonesia. The country was able to maintain consistent economic growth prior to the COVID-19 crisis, thus

¹ <https://www.worldbank.org/en/country/indonesia>

enabling it to reach upper middle income status. However, in 2020 an increase in the poverty rate was reported, which translated to an increase in the number of poor from 26.42 million to 27.55 million, out of a population of 270.2 million. This has meant an erasure of the poverty reduction gains made over the prior three years. The pandemic and the economic crisis it has brought has also brought challenges to the achievement of the country's goals in other areas, such as economic growth, human services, environmental conservation and others.²

24. Indonesia possesses among the most valuable forest wealth in the world, along with the largest mangrove and sea grass ecosystems. Yet with respect to its forests, the country has been experiencing high deforestation and degradation for the last several decades. Some of the underlying causes of these problems along with inefficient land use have been weak governance, poor land-use planning and administration and harmful fiscal and financial incentives. There exist conflicting and unenforceable regulations between sectors, weak law enforcement, conflicting data and maps, a lack of clarity of land rights, which favor corruption, the emergence of land conflicts and inefficient land use.

25. Poverty is also highest in forest areas. Roughly twenty percent of the thirty-two million people living in remote forest areas are poor. Apart from being constrained by remoteness, low population density and dispersed locations, poverty reduction efforts in these areas are hindered by weak governance leading to natural resource overexploitation. Over the past decades, the combination of rapid deforestation, resource overexploitation and peat fires has threatened the livelihoods of people living in forest areas.

26. As a result of deforestation and land degradation, Indonesia is the fifth-largest emitter of greenhouse gases (GHG) in the world, when its land-use change and forestry (LUCF) emissions are included in its profile. Sixty-two percent come from LUCF, with emissions from this sector increasing 65 percent in absolute terms since 1995. Primarily responsible for this are deforestation and peat degradation, most recently associated with the expansion of palm oil plantations. Weak land-use and access rights have left local, poor communities at a disadvantage vis a vis large palm oil companies and other businesses seeking access to the land held or controlled by these people.

27. While the Government of Indonesia has introduced some significant initiatives and regulatory change, inadequate capacity, weak governance and piecemeal approaches have led to continued degradation of forests and peat areas, with increasingly severe effects at the national and global levels. Required are approaches that manage larger landscapes through improved spatial planning and land allocation for the purposes of shifting the development trajectory.

Project Description and Strategy

28. According to the KALFOR Project Document, the development challenge the project seeks to meet is for Indonesia to define, plan for and create a better balance between the development and management of major estate crops such as rubber, coffee, and oil palm, and the need for improved forest protection. The project aims to address this challenge by supporting more effective land allocation and management of forest areas with high biodiversity and ecosystem services in the context of actual or potential estate crop development in Kalimantan, where the country's estate crop development is the highest, and in the Heart of Borneo (HoB) area in particular, which possesses

² International Bank for Reconstruction and Development, International Finance Corporation, Multilateral Investment Guarantee Agency. *Country Partnership Framework for the Republic Of Indonesia for the Period FY16 – FY20*. November 3, 2015

biodiversity of global significance. While the country has set ambitious national targets for the increase in palm oil production given the economic growth and employment associated with the sector, the goal is to reconcile this production with forest and biodiversity conservation, along with the national and international commitments for these as well as commitments to reduce forest fires and GHG emissions.

29. To meet its aim, the KALFOR project has sought to adopt a strategy of identifying priority locations in the more crop-production intensive Kalimantan provinces where enhanced forest area planning, management and associated use of incentives can be used to generate national and global environmental benefits without harming the potential for economic growth and development, and of testing novel approaches in them. More specifically, the project strategy is to improve the conservation of forested areas in Non-Forest Land (*Areal Penggunaan Lain*, APL) and in convertible forest areas (*Hutan Produksi yang dapat diKonversi*, HPK), lands which are subject to potential conversion to estate crop production despite their having forest cover. At project agreement, it was estimated that 2.36 million ha of forested land resides on APL and HPK in the three provinces. Roughly 70 percent of these lands are within the biologically-rich HoB, and 15-20 percent of them are found on ecologically fragile and fire-prone peat soils.

30. The KALFOR project objective is thus to maintain forest areas, including the biodiversity and ecosystem functions, of Kalimantan's lowland and montane areas in the face of growth and development of the estate crop sector. And, the project aims to create significant global benefits related to biodiversity conservation, sustainable land use and mitigation of GHG emission, particularly in the HoB.

31. Three of Kalimantan's provinces and their respective pilot districts are the focus of the project. They are:

- I. West Kalimantan and its districts of Sintang and Ketapang
- II. Central Kalimantan and its district of Kotawaringin Barat, and
- III. East Kalimantan and the district of Kutai Timur in it.

32. By demonstrating gains for Kalimantan, particularly the HoB, the project seeks to show how the policies and approaches it develops can also be of value to other areas of Indonesia facing conflicting aims of forest and biodiversity conservation on the one hand and economic development on the other. The KALFOR project has aimed to achieve its objective by pursuing four Outcomes, or Components:

- Outcome 1: Mainstreaming of forest ecosystem service and biodiversity considerations into national, provincial, and district policies and decision-making processes for forest area planning and management;
- Outcome 2: Policies and plans to deliver global and national benefits from forest conservation and estate crop development are in place in four districts of Kalimantan and innovative approaches to their implementation have been demonstrated in target landscapes containing at least 200,000 ha of forest area currently outside of the forest estate;
- Outcome 3: Innovative ways of using financial incentives (and eliminating disincentives), designed to help reduce deforestation and forest fragmentation driven by estate crop development, have been demonstrated in target landscapes within four districts in Kalimantan;

- Outcome 4: Knowledge management and M&E. Increased knowledge and understanding of the multiple factors underlying successful implementation of reduced deforestation, green growth strategies for Indonesia's estate crops sector

Project Implementation Arrangements

33. The project is implemented under UNDP's National Implementation Modality, where the Ministry of Environment and Forestry (MOEF), Directorate General of Forest Planning and Governance, is the Implementing Partner responsible and accountable for managing KALFOR, including monitoring and assessing project delivery and the effective use of project resources. A Project Management Unit (PMU), headed by a National Project Manager (NPM) conducts the actual implementation of the project. As the Executing Agency responsible to the GEF, UNDP has a project assurance and oversight role, and is accountable and responsible for the delivery of results to the GEF. Currently, two RTA's, based in the UNDP Regional Office for Asia and the Pacific, report to the GEF on KALFOR's progress and provide technical guidance where necessary.

34. The project is overseen by a Project Board composed of the National Project Director (NPD), from the MOEF Directorate General of Forest Planning and Governance, and representatives from UNDP CO, Ministry of National Development Planning (BAPPENAS), Department of Directorate of Forestry and Water Conservation, and the Ministry of Finance, Directorate of Loan and Grant. The Project Board provides overall direction and review of the KALFOR's implementation, reviewing and approving annual work plans, and ensuring that the project functions appropriately. To implement its various project activities, KALFOR contracts various institutions (universities, other scientific institutions, NGOs) and consulting firms and individuals to conduct them.

Project timing and milestones

35. The project was approved in December 2017 and the Inception Workshop took place in August 2018. Since the recruitment of the NPM, KALFOR has been under implementation for nearly 3 years. The MTR was scheduled to be completed in June 2021.

Main stakeholders: summary list

36. The main stakeholders for the MTR have been the following:

- PMU, which implements the project
- UNDP CO, having an oversight and quality assurance role
- MOEF, DG of Forest Planning and Governance, including the NPD, responsible and accountable for managing KALFOR
- National Development Planning Agency (BAPPENAS), which sits on the Project Board, providing direction and review of the project's implementation
- Project Board members, serving the same function as BAPPENAS
- Provincial government offices, which develop and approve policies and regulations at provincial level and receive support from KALFOR
- District government offices, developing and approving policies and regulations at district level and receiving assistance from KALFOR
- Pilot communities, which reside in or adjacent to APL forests and are receiving KALFOR support
- Partner universities and other scientific institutions, and NGOs, which conduct studies or community-level work for the project

4. Findings

4.1 Relevance of Project Strategy

37. The overall strategy of KALFOR, to maintain APL forests in the participating provinces for the purposes of supporting biodiversity and ecosystem services, remains relevant as these forest areas are potentially subject to be cleared for unsustainable economic ends and are diminishing in size due to the expansion of large-scale palm oil production and other activities. Furthermore, given the national government's desire to see the palm oil industry grow and at the same time conserve the country's forests, KALFOR is well-positioned since it shares the goal of sustainable development through palm oil and forest conservation. The project objective and outcomes are also in close alignment with current MOEF goals for forest planning and governance. Particularly novel and relevant about KALFOR is its focus on supporting legislation and planning for APL forest conservation at the provincial and district levels, where decision-making occurs in Indonesia's decentralized political system, while attending to policy-making at the national level as well since national regulations provide the framework for all sub-national regulations.

Quality of Design

38. The Objective and Outcomes of KALFOR are fairly clear and overall feasible to achieve in the project's timeframe. The theory of change behind the project, which consists of using controls (through regulations) and incentives to bring APL forests under enhanced protection is also valid. However, the design of Outcome 3, for the development of incentives for the estate crop sector, as it was formulated is overambitious for a single component³, and the Outcome could have merited its own project. Furthermore, as in the case of all large-scale, multi-faceted projects operating in complex and evolving contexts, and considering that the design process spanned several years, there has been a need for KALFOR to adapt its approaches to new realities. Most significantly, Outcome 3 has required some adjustment due to the difficulty of providing sufficient incentive to large companies to maintain forest areas given the high profitability of palm oil production.

Results Framework/Logframe

39. From an assessment of the Results Framework indicators and targets, the MTR found several areas for improvement. A number of the indicators are either overambitious, undeveloped, repetitive or formulated with errors, and there are no indicators to capture certain key expected results. Some of the mid-term and final targets are also too ambitious. The problems with the different indicators and targets are the following:

- The mid-term target for the Objective's third indicator, "1,000 people from local communities and including forest-dependent peoples, benefitting from strengthened livelihoods due to improved systems for protection of ecosystem services", is highly unrealistic considering that a project would require some time to establish several alternative livelihood schemes and time would be required before communities begin benefiting from them
- Outcome Indicator 2.1, "Tons of CO₂e emissions avoided within the three Kalimantan provinces", should be "Tons of CO₂e emissions avoided within the four pilot districts", since the

³ Among the elements the Prodoc lists for assessment and possible change are, for example: 1) Changes to inter-governmental fiscal transfer system to enable the most efficient and equitable options for incentivizing increased productivity and conservation of spare land, while better reflecting current and potential level of ecosystem services; (2) Ways to base access to credit and tax incentives on improved oil palm production practices; and (3) Identify how performance against certification and standards (RSPO and ISPO) can be linked to fiscal incentives such as credit guarantees and tax concessions, as well as differentiated tariffs for certified exports.

emissions avoided are calculated based on the forest loss avoided in the districts, not the provinces.

- Outcome Indicator 2.3, on local institution capacity building, and the mid-term and project-end targets are undeveloped and it is therefore unclear what information is required to report on them
- Outcome Indicator 2.4, “No. of district-level forest safeguarding plans approved and endorsed by key stakeholders”, is clear, but its mid-term and project-end targets appear to have been formulated in error or are far too ambitious, given that the targets call for plans that cover an estimated 3.7 *million* ha of forest, 416,000 of which are outside of state forest, when KALFOR’s focus is only on APL forest. It is therefore unclear how the project should report on this indicator. The indicator also seems repetitive of indicator 2.3.
- For Outcome 3, only one indicator exists, concerning the design and implementation of incentive mechanisms. There is no indicator to capture the important result of how much APL forest area has been conserved due to the implementation of the incentive mechanisms designed
- Reporting on Outcome Indicator 4.1 and its targets requires the use of a capacity scorecard methodology developed by another intervention, yet this methodology was not available to KALFOR. The targets are also unclear in that they do not indicate by how much capacity and readiness assessment are to increase.

40. In designing KALFOR, there was wide stakeholder engagement, including of subnational entities. Yet there was a missed opportunity to more formally involve other line ministries and sectors, such as agriculture and spatial planning, by giving them roles in project. Their engagement would have helped in developing incentives for palm oil sector actors, harmonizing regulations across the sectors, and finding intersectoral solutions to the deforestation of APL lands.

41. The design of KALFOR included a fairly solid gender analysis, but the analysis focused almost entirely on women’s roles in the palm oil sector rather than as members of communities, and indigenous ones, who might be interested in community forest management and be involved in income generation through the use of traditional crafts and NTFP collection. The Social and Environmental Safeguards screening considered to some extent, but not fully, how the project could affect indigenous peoples’ rights and culture through its different livelihoods activities and its efforts to obtain community cooperation in conserving APL forests in palm oil concessions. Finally, KALFOR’s design did not include an exit strategy or a strategy for the project to catalyze wider change in the provinces, as GEF projects are intended to.

4.2 Progress Towards Results

Project Objective

42. In order to accurately measure the project’s achievements in expanding HCV forest cover in APL areas, KALFOR undertook the major task of producing a new baseline of non-state-owned forest areas because data used for the Prodoc was out of date and weak in nature. This was not an output expected of KALFOR, and it should be formally recognized and incorporated into the project Results Framework. The process to generate the new baseline with improved methods was led by MOEF experts and involved obtaining higher-resolution remote-sensing data from the institute, LAPAN, and partnering with three universities (University of Tanjungpura in West Kalimantan, University of Mulawarman in East Kalimantan, and University of Muhammadiyah Palangkaraya in Central Kalimantan), for the interpretation of SPOT 6/7 images of 2018, ground-truthing and mapping land

cover in each of the four pilot districts. The total area of HCVF in APL areas in the four districts was determined to be 347,920ha.

Table 1: APL Forest Cover in KALFOR Provinces and Districts (ha.)

Central Kalimantan		East Kalimantan		West Kalimantan		
Province	Kotawaringin Barat district	Province	Kutai Timur district	Province	Ketapang district	Sintang district
246,989	18,058	996,366	161,374	560,666	106,507	61,981

43. The data will be used to assess KALFOR's progress in achieving its targets, around the mid-term stage and at project-end. The exercise also produced HCV forest cover data for all of Kalimantan, and will therefore be used in MOEF's future efforts for the island. It also led to the publication, in Bahasa, in 2019 of *Condition of Forest Cover Outside [State] Forest Area in 2018, Kalimantan*.

44. Based on evidentiary documentation of draft/commitments by provincial, district and village authorities to conserve APL forests, KALFOR contributed to increasing APL forest areas under enhanced protection by 278,144 ha, surpassing the mid-term target. Up to an additional 668,746 may come under enhanced protection and management in the future, through community ownership, percentage of concession areas set aside for HCV conservation, and the World Bank's Forest Carbon Partnership Facility incentive program. Yet commitments towards this amount are yet to come.

45. While the development of the new baseline is a notable achievement, and KALFOR has achieved its mid-term target, it is key to understand that based on more detailed examination of the data not all of the APL forests constitute HCV areas, and the project is employing the definition of HCVF in the Prodoc, where HCV is equated with forest cover. According to experts and other stakeholders interviewed for the MTR, and the study reports of the participating universities, the APL forest areas differ significantly in quality, in part due to forest fragmentation and human disturbance, among other factors, and this affects the ability of the areas to maintain biodiversity and provide ecosystem services (ES).

Progress towards outcomes analysis

Table 2. Progress Towards Results Matrix (Achievement of outcomes against End of project Targets)

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self- reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
Objective: Maintaining forest area. Including the biodiversity and ecosystem functions of Kalimantan's lowland and montane areas, from the development of estate crops.								
	Total area of HCV equivalent forest within Kalimantan portions of HoB identified, mapped and with significantly enhanced legal protection due to: (i) reclassification from APL to permanent forest; (ii) removal from convertible forest category or (iii) other legal protections (e.g. within plantation set aside rules, KEE implementation etc	Baseline estimate to emerge from mapping exercise during year 1 and 2	Total HCVF = 226,060 ha. Have been mapped in year 1.	Increase from baseline of 250,000 ha of HCV-equivalent forest	Increase from baseline of 500,000 ha of HCV-equivalent forest		Highly Satisfactory	Evidence for draft/commitments conserving 278,144 ha of APL forest exists. Up to an additional 668,746 may come under enhanced protection and management in the future, through community ownership, percentage of concession areas set aside for HCV conservation, and FCPF incentive program.

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
	2. Number of new partnership mechanism with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.	0 provincial forest and estate crops platforms and 0 multi-province Task Force	newly connected organizations/institution have been built to include: (1) At national level, particularly at ministerial level, the project has established connection with 6 ministries to include Ministry of Agriculture, BAPPENAS, Ministry of Finance, Ministry of Women Empowerment and Children Protection, and Ministry of ATR/BPN, including with SPOI project under Ministry of Agriculture and the GGGI initiative; (2) at provinces, districts and field level, the project has established communication and connection to 31 non-forestry sectors provincial offices, 73 technical (non- forestry) sectors district offices, 61 private sectors, 40 non-government organizations, 5 professional/community organizations, 1 Climate Change related provincial Task Force, 1 Adat Community/customary organization, 12 universities and 4 donor organizations newly connected and engaged in broad-based dialogue through 3	At least 20 private sector, civil society, and donor organizations newly connected and engaged in broad-based dialogue through 3 provincial platforms and 1 multi-province Task Force	At least 30 private sector, civil society, and donor organizations newly connected and engaged in broad-based dialogue through 3 provincial platforms and 1 multi-province Task Force		Satisfactory	Central to KALFOR's strategy is its multi-stakeholder consultation approach. Through the provincial and district forums, moreover, KALFOR has ensured that in the development process for new regulations or decrees a wide range of stakeholders, government, private sector, academic, civil society and communities, are consulted at various stages. In this the project has probably surpassed the mid-term target for engagement. Furthermore, KALFOR has served to bridge the parties, for example by inviting regional universities to produce data and roadmaps for their provincial governments.

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
	3. Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystem services, chemicals and waste	0 additional people	provincial platforms	1,000 people from local communities and including forest-dependent peoples, benefitting from strengthened livelihoods due to improved systems for protection of ecosystem services (green goods and services') coming from conserved APL and convertible forest areas	2,000 people benefitting		Moderately Satisfactory	A large number of community members have been trained for enhancing their environmentally sustainable income-generating activities (est. 186 people) as well as in forest management and related areas. But the income-generating schemes have not begun to generate significant incomes yet. The mid-term target, however, is quite unrealistic: a project would require some time to establish several alternative livelihood schemes and time would be required before communities begin benefiting from them. For this reason, the achievement is rated Moderately Satisfactory. Based on an estimate of household size, the total number of community members benefiting from the livelihood activities in the future could reach 913.

Outcome 1: Forest ecosystem services, including carbon and biodiversity aspects, are more fully taken into account in policies, decision, and management actions at national and provincial (west, Central and East Kalimantan) levels

1.1 Number of national and/or provincial-level policy and regulatory changes.	0 policy and regulatory priorities realized	The use of biodiversity issue as indicator of measurement at national policy related with oil palm permit. This has been realized with the adoption of biodiversity issue in the President Instruction No. 8/2018 about moratorium of oil palm permit issuance, meaning that 100% of biodiversity	3 policy and regulatory priorities realized	At least 6 changes, including: (1) rules regarding oversight of high biodiversity multiple-use forest landscapes, (2)		Highly Satisfactory	KALFOR drafted or contributed to 11 national or provincial instructions, regulations or decrees supporting the conservation of APL areas, and in which biodiversity and ecosystem services have been mainstreamed to an extent.
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Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
			adoption has been realized oil palm national policy.		national and provincial concession-granting processes, (3) regulation governing land classification, including “abandoned lands” regulations, (4) establishment of a mechanism to promote / incentivize use of degraded lands by estate crop sector.			
	1.2 Area of high Conservation value (HCV) forests located within the three participating provinces and currently classified as either APL or Convertible forest reclassified and/or subject to new and	Forested APL including HCV areas, has few enforceable or enforced legal or regulatory protections and is therefore subject to high level of conversion.	About 226,000 ha of forest (HCVF) at APL have been revisited for its classification status	At least 100,000 ha of HCV currently categorized as APL or convertible forest is either reclassified as permanent estate crop or subject to new and enforceable regulatory protection as forested APL. Areas to be prioritized based on	At least 250,000 ha of HCV currently categorized as APL or convertible forest is either reclassified as permanent estate crop or subject to new and enforceable regulatory protection as forested APL. Areas to be prioritized based on factors including:		Satisfactory	There have been clear commitments to conserve 104,782 ha of APL forest, but the area is likely to be greater in the future given that an additional 417,507 ha in E. Kalimantan are under the FCPF incentive-payment program (not all of which may be eventually conserved)

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
	enforceable regulatory protections.			factors including: ongoing	ongoing provision of critical ecosystem serviced and related risk of environmental damages (peat fire, etc.)			
Outcome 2: Policies and plans to deliver global and national benefits from forest conservation and estate crop development are in place in four district of Kalimantan and innovative approaches to their implementation have been demonstrated in target landscapes containing at least 200,000 ha of forest area currently outside of the estate crop								
	2.1 Tons of CO2 emissions avoided within the three Kalimantan provinces	0 additional tons of CO2e avoided	The quantity of emission avoided in the first year of the project is about = 120 x 2310 = 277,200 ton	10 million tons CO2e emissions projected to be avoided on actions to date	24.16 million tons CO2e emissions projected to be avoided on actions to date		Satisfactory	Based on Indonesian guidelines to calculate CO2e emissions, which were accepted by the UNFCCC, 16mtCo2e were avoided.
	2.2 Area of High Conservation Value (HCV) forests located within the four demonstration landscapes and currently classified as either APL or convertible forest reclassified and/or subject to new and enforceable regulatory protections,	Forested APL, including HCV areas, has few enforceable or enforced legal or regulatory protections and is therefore subject to high levels of conversion	the updated collected data of forest area in APL is about 226.060 ha. Of this forest area, about 173,383 ha will be classified as HCV at least during the project period.	At least 15,000 ha of HCV currently categorized as APL or convertible forest is either reclassified as permanent estate crop or subject to new and enforceable regulatory protections as forested APL. Areas to be prioritized based on factors including ongoing	At least 30,000 ha of HCV currently categorized as APL or convertible forest is either reclassified as permanent estate crop or subject to new and enforceable regulatory protections as forested APL. Areas to be prioritized based on factors including		Highly Satisfactory	There is evidence of commitments in the districts to conserve 166,480 ha. An additional 244,484 ha may potentially be conserved, but: 1) for 107,307 ha of this area claimed as conserved evidence of commitments is not available, (2) 75,239 ha are under the FCPF program and the actual area conserved in the future may be less, (3) 35,608 ha of APL forest is available for villages to obtain authority, yet no applications have been made, and (4) 26,330 ha refers to remaining APL forest in palm oil concessions subject to W. Kalimantan's 7% HCV set-aside rule, but actual 7% of all concessions may be less than this.

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
				provision of critical ecosystem services and related risk of environmental damages (peat fires, etc.).	ongoing provision of critical ecosystem services and related risk of environmental damages (peat fires, etc.).			
	2.3 Local institution capacity (Note: Baselines and targets to be determined during year 1)	Ketapang KPH: # Sintang KPH: # Kotawaringin Barat KPH: # Kutai Timur KPH: #	District of Ketapang KPH: 5 people. b. District of Sintang KPH: 4 people. District of Kotawaringin Barat KPH: 2 people District of Kutai Timur KPH: 2 people	Ketapang KPH: # Sintang KPH: # Kotawaringin Barat KPH: # Kutai Timur	Ketapang KPH: # Sintang KPH: # Kotawaringin Barat KPH: # Kutai Timur KPH:		Satisfactory	The indicator and the targets have been fully developed, making it difficult to assess achievement. But KALFOR provided capacity building to 6 of 8 KPH's in basic and advanced skills in GIS.
	2.4 No. of district-level forest safeguarding plans approved and endorsed by key stakeholders	0	the project has conducted activities to do inventory of province and district regulation in relation to forest safeguarding issue.	Draft plans prepared covering an estimated 3.7 million ha of forest, 416,000 ha of which are currently outside of the estate crop	Plans covering an estimated 3.7 million ha of forest, 416,000 ha of which are currently outside of the estate crop.		Satisfactory	The targets are far too ambitious, making it difficult for the project and MTR team to report, and some of the policies & decisions in the indicator below constitute plans
	2.5 Number of policies and regulatory changes at district level	0 policies and regulatory changes at district level	Most of policies and regulations are issued by national governments. West Kalimantan: Province regulation = 3 regulation Ketapang district = 2 local regulations Sintang district = 4 perda Central Kalimantan: Province regulation	At least 4 revised policies and regulatory changes at district level	At least 8 revised policies and regulatory changes at district level		Highly Satisfactory	Six policies, regulations or decisions have been approved or drafted at the level of the districts for APL forest conservation

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
	2.6 Percentage of forested lands within the pilot districts currently classified as either APL or convertible forest that has been reclassified to an enhanced protective status	Approximately 416,000 ha of forested APL and forested convertible forest in for pilot district	Identified forest in APL of each pilot district based on collected baseline covering 173,384 ha. Reports from the Universities that the current forest at APL is about 173,385 Ha in the following districts: a. Kutai Timur district = 131,770 Ha b. Kotawaringin Barat = 11,123 Ha c. Sintang district = 30,490 Ha, and Ketapang district = 60859 Ha If convertible forest is included in the interpretation, total of 226,061 hectares forest areas are in APL distributed as follows: 1. Kutai Timur about 161,944 Ha 2. Kotawaringin Barat about 33,751 Ha 3. Sintang district about 30,751 Ha, and 4. Ketapang district about 82,322 Ha	10% of selected forest areas currently classified as either APL or convertible forest to be reclassified as permanent estate crop, with a corresponding shift of non-forested, lower priority areas out of the estate crop, as appropriate. Chosen according to factors including ongoing provision of critical ecosystem services and related risk of environmental damages (peat fire, etc.).	25% of selected forest areas currently classified as either APL or convertible forest to be reclassified as permanent estate crop, with a corresponding shift of non-forested, lower priority areas out of the estate crop, as appropriate. Chosen according to factors including ongoing provision of critical ecosystem services and related risk of environmental damages (peat fires, etc.).		Highly Satisfactory	Given the total area of APL forest land in the 4 districts is 347,920 (according to the new forest cover baseline), the area of APL forest given enhanced protection status is 47.8%.
Outcome 3: Innovative ways of using financial incentives (and eliminating disincentives), designed to help reduce deforestation and forest fragmentation driven by estate crop development, have been demonstrated in target landscapes within four districts in Kalimantan								
	3.1 Incentive mechanism in place and	Few if any proven schemes in	The project focused on inventorying and reviewing government regulations for	Incentive payment schemes	At least four documented examples of		Moderately Satisfactory	Various regulations have been examined for their use as incentive schemes, though few

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
	operational – to drive changes that significantly reduce the long-term threat or actual incidence	place	national as well as for local governments in the first year of implementation. Review of some government regulation on incentives for forestry activities has started from reviewing the Forestry Law No. 41/1999. The Forestry Law mentions incentives should be awarded to some forestry activities under certain requirements. Fiscal Fund: Local Budget Fund (APBD), Village income, and special fund allocation (DAK); b. Village Fund: Village Fund, Village Fund Allocation, and Pure Village Income c. CSR d. International donors	designed and ready for implementation	incentive payments being used. Together involving at least \$5 million in incentives and 50,000 ha in avoided deforestation and significant changes in landscape biodiversity health index due to reduced fragmentation, both compared with baselines to be determined in Year 1.			involve performance-based financial payments for environmental conservation. KALFOR contributed to an MOEF umbrella framework on PES and conducted an ecosystem services and economic valuation study. But overall significant work remains for the actual design of schemes involving performance-based financial incentives.

Outcome 4: Increased knowledge and understanding of the multiple factors underlying successful implementation of reduced deforestation, green growth strategies for Indonesia's estate crops sector

4.1 Technical understanding of level of jurisdictional readiness for deforestation commodity production and impacts of associated capacity	Baseline capacity assessment using the scorecard methodology developed by the Commodities IAP for four districts.	It is estimated that progress of this indicator is about 20%.	Increase vs. baseline readiness assessment (amount TBD)	Increase vs. baseline readiness assessment (amount TBD)		Moderately Satisfactory	The capacity scorecard was reportedly not available to KALFOR. Although the project provided some qualitative capacity assessment for the baseline, no monitoring was conducted (though the targets are poorly formulated), making it difficult for the MTR to give a Satisfactory rating.
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Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End of Project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
	building interventions 4.2 Documented examples of specific lessons shared and applied in other sub-national and national situations	0 examples	The project has published some fliers, policy briefs for provincial government and national government, video of environmental issues	3 examples applied	7 examples applied		Moderately Satisfactory	Through policy briefs, other material and knowledge that partners generated, good practices have been communicated to subnational stakeholders and incorporated in regulations and plans. Yet KALFOR has not begun to share its lessons with other districts for catalyzing change.

Outcome 1

46. On the mainstreaming of ecosystem service and biodiversity considerations into national and subnational decision-making concerning APL forests, KALFOR has contributed to achieving several results. At the national level, the project and the MOEF Directorate General of Forest Planning and Management under which it is implemented, provided expertise and advice for two key presidential decisions affecting APL forests, Presidential Instruction No. 8 (2018) for a three-year moratorium on new palm oil licenses (although the country's president had promised such a decision two years earlier), and No. 5 (2019), on the improvement of primary natural forests and peatlands management. The influence of KALFOR on the instructions reveals a strength of the National Implementation Modality (NIM) of the project in that higher-level offices of the Implementing Partner, the MOEF, were able to provide active support to KALFOR's efforts.

47. In the three participating provinces, KALFOR has also achieved several results, though these vary in terms of their potential impact on APL forest cover and mainstreaming of biodiversity and ecosystem services considerations. Shifting the perspectives of subnational officials on the value of conserving APL forests has been challenging for KALFOR, where in the beginning of the project government offices largely saw forest conservation as a goal only to be achieved in State Forests. Yet the thinking has shifted, and many government stakeholders at the provincial and district levels outside the forest sector interviewed for the MTR stated that as a result of KALFOR's educational efforts on the benefits of APL forests, they are interested in maintaining these areas even after the project ends. The project has also adapted its efforts considerably to each of the subnational contexts and the interests of government heads and other key stakeholders. In being highly flexible to supporting very diverse initiatives, some of them already underway before KALFOR began, and involving many different stakeholders, the project has been able to build a wide base of support.

48. In fact, central to KALFOR's strategy is its multi-stakeholder consultation approach. Through the provincial and district forums, moreover, KALFOR has ensured that in the development process for new regulations or decrees a wide range of stakeholders, government, private sector, academic, civil society and communities, are consulted at various stages. In this the project has probably surpassed the mid-term target for engagement. Furthermore, KALFOR has served to bridge the parties, for example by inviting regional universities to produce data and roadmaps for their provincial governments.

49. In West Kalimantan, KALFOR supported the development of a Governor's Decree (no. 6, 2018), on which discussions had commenced with a non-governmental entity before KALFOR, that requires each palm oil company to set aside seven percent of its land for HCVF conservation. Given the 2019 figure of 1,393,032ha under large palm oil companies, the area set aside would total 97,512ha. To provide further technical and operational guidance on the decree, KALFOR brought the expertise of institutional partners to develop four additional decrees, on procedures for designating HCV areas, management and assistance to palm oil companies to maintain the HCV areas, community participation, and administrative sanctions.⁴

⁴ Governor Decree No. 60 of 2019 concerning Procedures and Mechanisms for Designating Conservation Areas in Sustainable Land-Based Business Management (approved); Governor Decree No. 115 of 2020 concerning Protection, Management and Providing Assistance in Business Management in Conservation Areas; Governor Decree No. 137 of 2020 concerning Community Participation in Supervision of Conservation Areas in APL Management; Governor Decree No. 139 of 2020 concerning Guidelines for Imposing Administrative Sanctions in Sustainable Land-based Business Management

50. The total area in palm oil concessions that could come under enhanced protection status as a result of Regulation 6 is not insubstantial. It is slightly larger than one of the province's smaller protected areas, Mount Palung National Park.⁵ Yet while the set-aside areas may help to conserve some species and furnish certain ecosystem services, the regulation does not address the issues of forest fragmentation and the value of HCV-area interconnectivity. It is unlikely that most of the set-asides will be contiguous, and furthermore, the 7 percent area companies are to conserve is cumulative. While there are several progressive companies that follow the Roundtable on Sustainable Palm Oil (RSPO) standards and have identified and conserved HCVF in their concessions, several stakeholders interviewed for the MTR stated that many companies may simply choose areas of marginal quality for palm oil cultivation for their set-asides. If a typical concession area in the province were 4,000ha, as some stakeholders interviewed claim, 7 percent of forest conserved would amount to a patch of 280ha, or 2.8 km², likely disconnected from others. The regulation and its follow up decrees also do not require government or company assessment of the HCV areas. The lack of connectivity among the set-asides, among other factors, will limit the biodiversity and ES benefits the regulation can bring, and there is considerable scope to mainstream consideration of them in the project's future work in the province, particularly for its remaining 560,666ha of APL forest, according to the new baseline.

51. In Central Kalimantan, where APL forests comprise 246,989ha, ES and biodiversity were mainstreamed to an extent into decision-making through the harmonization of the Mid-term Regional Development Plan (RPJMD) with KALFOR's aims. This contributed to KALFOR's ability to draft three Governor Decrees, for urban forests, community forests and a forest park.⁶ The drafts were developed through KALFOR's coordination of and consultation with a number of agencies beyond the expected ones, such as the Public Works Office, Tourism Office, Bappeda (planning office), Village Community Empowerment Service, NGOs, village officers, and related vertical agencies for conservation areas such as those for national parks and wildlife sanctuaries. Furthermore, focus-group discussions (FGDs) were conducted to produce a research study framework that leads to scientific studies on ecosystem services and biodiversity. Together, the decrees will reportedly conserve a total of 7,269.5ha of APL forest, far less than the achievement in West Kalimantan. Furthermore, the extent to which the decrees seek to maintain biodiversity and ES functions greatly differs. The decree regarding community forests enables the establishment of areas on APL land, including forests, for communities to plant and harvest trees and gather NTFPs to generate income. While such forests, depending on how they are used, could support different species and some ES, there is no consideration in the decree of maintaining or enhancing ES and biodiversity. The size of each community forest is also a matter since the total area to be covered under the decree is 125ha. The decree for a large forest park, TAHURA, on the other hand, focuses on biodiversity and ES and establishes an area specifically for ecotourism and scientific study, and the decree on urban forest does so though to a lesser extent. Given their purpose, areas of HCVF are likely to be identified or forest areas restored, and the forest park and urban forest will respectively be 4,119ha and 3,026ha of contiguous areas. However, these draft regulations do not address the policy gaps concerning the conservation of biodiversity and ES in the palm oil sector.

52. The project's main achievement at province level in East Kalimantan has been the drafting of a Governor Regulation (no. 12, 2021) on HCV criteria to make the implementation of an earlier regulation

⁵ Mount Palung National Park 900km².

⁶ Draft of the Central Kalimantan Governor Decree (2020) concerning the Development and Management of Urban Forests; Draft of the Central Kalimantan Governor Decree (2020) concerning the Implementation of Community Forests; and Draft of the Central Kalimantan Governor Decree (2020) concerning the Implementation of a Great Forest Park in Central Kalimantan

(no. 7, 2018) for sustainable plantation development. The forest baseline data KALFOR produced was used as the basis for the preparation of the regulation and will be employed to determine the size of forest areas in plantations. The criteria are to be applied to areas in palm oil plantations to identify HCV areas that companies are to manage. Similar to West Kalimantan's regulation no. 6 (2018), the East Kalimantan one requires companies to set aside a portion of their concession areas—10 percent, which will amount to a total of 417,506ha. An effort was thus made to explicitly mainstream biodiversity and ES into the regulation, and the draft seeks to address the gaps in the province's policies regarding forest conservation in palm oil concessions. Yet as in the case of the West Kalimantan, it is unclear whether HCV areas in the amount of 10 percent per concession exist, and the areas conserved will be likely be fragmented. Finally, the actual procedures for identifying, inventory and managing the HCV areas are to be provided in a future regulation.

53. Overall, while the mid-term targets for APL forest area given higher conservation status and the project target for the number of regulations developed has been reached, there remains scope for KALFOR to further integrate biodiversity and ES conservation in provincial policies and aim to maximize forest intactness and connectivity. And, considering that the expected gains have been greater in West and East Kalimantan than they have for Central Kalimantan, and that the former possess greater sizes of APL forest than the latter, KALFOR's greater attention to them are likely to result in greater forest conservation achievements. By being flexible in its approach and accommodating to the interests of the provincial governments, KALFOR has managed to achieve various successes, which address some of the policy gaps regarding APL forest conservation. Yet too much flexibility can lead to a drift from the project strategy, and KALFOR has done this to a degree with Outcome 1. There should be a return to the original intentions of the project. Based on the inventory of existing policies KALFOR conducted, an opportunity remains to assess how APL forest, and biodiversity & ES conservation, can be better mainstreamed in to not only forest-related regulations and practices, but those for other sectors as well, especially agriculture.⁷ For example, according to stakeholders interviewed, government spatial plans do not distinguish between HCV and non-HCV areas when granting concessions permits, and there is an opportunity to improve spatial planning practices using forest management principles to maximize intactness and integrity. The more-detailed information KALFOR's university partners possess on HCV areas in the districts could also be used to identify areas to prioritize.

Outcome 2

54. On Outcome 2, the project has largely pursued approaches at the community level in the four districts to conserve APL forests. In Kotawaringin Barat of Central Kalimantan, which holds 18,058ha of APL forest, however, KALFOR drafted a broader, district-wide regulation (2020) concerning "Green Open Space Management." Based on a reading of the draft, these spaces will be designed to provide some ES

⁷ For example, a KALFOR study, "Improving Forest Released Mechanism and Developing Policy Options for Plantation Company on Management of HCVP", analyzes some of the policies of other sectors, and two in the agriculture sector that make it difficult for companies to conserve forests are the following:

a) Plantations Law No. 39/2014 states that companies must plant nearly all technically feasible areas within six years of being issued a Business Use Permit, or risk revocation of the permit by local government. Progressive firms therefore run a serious risk in protecting HCV and [High Carbon Stock] HCS areas unless they forge and maintain agreements with district officials not to enforce the provision, on the grounds that it generates positive social and environmental outcomes.

b) Minister of Agriculture Regulation No. 11/2015 on ISPO eliminates the HCV provision of the original 2011 standard, and introduces a criterion reaffirming government authority to revoke licenses for land within a plantation that has not been converted to oil palm. Government has authority to revoke licenses for land within a plantation that has not been converted to oil palm.

functions, and may provide habitat for some biodiversity. But the areas will be highly managed for recreation and human use. It is reported that the total area under these spaces will be 3,530ha. The regulation was based in part on the consideration of a study by KALFOR of ecosystem services and biodiversity.

55. The Methodology section above describes the challenges faced in obtaining information from the participating communities, and this section reports on the findings that could be developed based on a triangulation of the information that could be gathered.

56. At the village level, KALFOR has supported a wide variety of activities for maintaining forest areas and improving livelihoods. As a first step in each village, the project, through its different partner NGOs, provided education to the community members on the need to conserve their forest areas for ES useful to them, and for biodiversity and alternative livelihoods. Based on certain pre-existing livelihood activities, and to introduce new ones with a potential to generate income, KALFOR provided training to a group of individuals in each village in one of more of the following areas, depending on the context and project work plan; product development, financial literacy and business management and institution building. For example, in Ensaid Panjang village in Sintang district, KALFOR and its partner NGO, Solidaridad, trained over sixty women who were already practicing traditional fabric weaving and natural dye use to diversify their products and thus improve their marketing prospects. Training was also provided to youth in the community to expand income-generating possibilities. The participants' view of the support has been positive. Although income-generation from the new products has not yet begun, as a step to generate income for the community during the covid19 pandemic and to help covid response efforts, the project supported the women in producing face masks.

57. Other examples are of Tanjung Pasar village, Ketapang district, where villagers were trained to improve traditional woven handicrafts and on the development of different products derived from fisheries in their species-mangrove areas; Saka village of Kutai Timur district, where KALFOR trained 6 people on fisheries management; and a group of 10 honey collectors in Pasir Panjang village in Kotawaringin Barat, which received training to improve the scale, quality and processing of their product.

58. The project in its support for village-level forest conservation has sought to benefit women. The vast majority of participants in the alternative livelihood schemes are women, thus giving them opportunities to improve their incomes and social standing within their communities. However, with respect to the total number of people trained in the communities, as data KALFOR has gathered shows, the majority of them have been men—1,330 compared to 546 women trained (see Annex 9 for a complete list of the community-level trainings KALFOR provided and the breakdown of trainees by gender).

59. While the income the women, and some men, receive in the future may be sizeable, thus far there has been no significant income generation yet from any of the activities. Furthermore, based on interviews with the communities and other stakeholders, the incomes will only supplement what the household earns from other livelihood activities. Considering the number of participants in each village involved in the training activities compared to the size of their respective communities, the alternative livelihoods schemes are rather small in scale. At the same time, KALFOR will reportedly use the schemes as the basis for advocacy and seek to replicate them in other villages, in part through integrating them in the planning and budgeting of the relevant district government.

60. More importantly, the forest or mangrove areas of the communities have already been largely free from overexploitation. Hence the alternative, environmentally sustainable sources of income do not

function significantly to incentivize APL forest conservation. Nor are they leading to new forest/mangrove areas being conserved from palm oil production or other activities. In fact, Ensaid Panjang village, composed of the indigenous, Dayak people, already has cultural sanctions to ensure the sustainable use of the community's APL forests, and received district recognition of 3 of its 5 forests as eco-cultural forests, prior to KALFOR. Moreover, the village possesses a large area of land for its agricultural practices and therefore its forest areas are not under threat. In the case of other villages, such as Saka, Sempayau and Pasir Panjang, the main source of livelihood for the village is palm oil production or working on palm plantations, and these activities, according to the community members interviewed, will not change as a result of the new incomes generated. Lastly, in the case of some villages, the mangroves or remaining forests they are conserving do not support palm oil because the soil is too wet or inclined so villagers are open to using the areas for other purposes. Interviews with two villages revealed that if the necessary capital is available to a household it will likely enter palm oil production given its high profitability. In Kutai Timur, KALFOR supported the manufacture and sale of an herbal immune booster to Bio-Perkasa, an herbal medicine producer, to generate income for villages. Thus far, however, the community still has a tendency to convert their land to palm oil and KALFOR aims to address this. One exception, reportedly, is Sinar Kuri village in Ketapang, where villagers tended to clear their forest for agriculture, but have now reduced this after KALFOR's training on business management for the village's ecotourism activity.

61. As part of its strategy to improve community livelihoods through forest-sustaining activities, KALFOR recently initiated a value-chain analyses and market assessments study of major NTFP's in the four districts. The study also aims to identify specific challenges and opportunities in the different NTFP value chains that can be addressed and leveraged, respectively, to increase production, income and employment for the villages. This is a positive step, and in the view of the MTR is equally important for Outcome 3, as explained later in this report. What is not clear is why the value-chain study is not based on the research and analysis other organizations have already done on NTFP opportunities in Kalimantan and the country, and why KALFOR is not linking with the efforts of some of these organizations, including the MOEF department responsible for NTFP development, and research and academic institutions, since there is likely to be a significant amount of work that has already been done on the topic.

62. In addition to strengthening alternative, sustainable income streams, KALFOR also developed village regulations enabling communities to own and maintain their respective forest areas. These regulations were supported for three villages, Sempayau, Saka and Batu Lepoq villages in Kutai Timur, covering a total of 8,756ha.⁸ While the APL forest and mangrove areas under ownership do not appear to have been overexploited, the regulations can act to ensure conservation in the long-term. KALFOR also initiated the establishment of the Pulau Seribu Management Institute in Sempayau to improve the village's management of the mangrove forest area and drafted a regulation for the body's legal recognition. In other communities, in Ketapang, Sinar Kuri, Riam Bunut, Tanjung Pasar and Pangkalan Suka, KALFOR strengthened community APL forest management through supporting the mapping of village forest areas equalling 1,265.6ha.

63. At the community level in the pilot districts, KALFOR has made some meaningful contributions, particularly the development of village regulations for community ownership and management of APL

⁸ Village Regulation No. 1 of 2021 concerning the Designation of Utilization Areas and Protected Areas of Sempayau Village—6,754ha; Village Regulation No. 1 of 2021 concerning the Designation of Village-Owned Forests (Saka village)—541ha; Village Head Decree No. 141/281/XI/2020 concerning the Designation of Forested Areas outside of Forest Areas as Forests belonging to the Batu Lepoq Village—1,461ha.

forest areas. Additionally, the villages supported in each district are geographically close to one another, which may create some contiguity among the areas for improved biodiversity conservation and ES provision. At the same time, these areas and other village forests from which communities are deriving additional income amount to a relatively small share of the total APL forest area in their respective districts; Sintang contains 61,981ha, Ketapang, 106,507, Kotawaringin Barat 18,058, and Kutai Timur 161,374ha of APL forest. Complementing community management and ownership, KALFOR will need to conceive of strategies to achieve APL forest conservation at larger scales and more efficiently as it moves into the second half of its duration.

64. In addition to supporting communities, KALFOR sought to strengthen the capacity of the Forest Management Units (FMU's) at district level. Training was provided to 6 out of the 8 FMU's collectively in the districts in 6 basic skills related to GIS. The training was not at the level where district staff could work with GIS independently, according to the training institutions involved. Another 12 topics for training are planned, including valuation of environmental benefits, incentive mechanisms, and identifying financial sources for such mechanisms. The capacity strengthening is intended for only the FMU's at the local level, but it would be beneficial to include other local sector entities, such as the spatial planning and agricultural units, and perhaps even more important to target them, for the future trainings.

Outcome 3

65. Regarding Outcome 3, KALFOR's work began late but has progressed. The mid-term target on the Outcome is to design and have ready for implementation financial incentive schemes to help reduce deforestation and forest fragmentation driven by the estate crop sector, namely of palm oil. The project though has taken different approaches, less focused on incentives directed at palm oil concessions, as originally envisioned in the Prodoc. Additionally, many of the schemes the project has considered or initiated do not involve financial incentives for performance per se.

66. The project has been exploring the feasibility of the "Ecological Fiscal Transfer" concept, where subnational governments may receive additional budget amounts from their higher levels of government for conducting environment-related activities. It has therefore conducted an inventory and examination of various regulations at the district, provincial and national levels. These have consisted of several draft regulations in the four districts concerning the determination and implementation of village budget allocations and village financial assistance since these regulations include budget allocation guidelines based on environment-friendly development.⁹ The regulation for Kotawaringin Barat has been endorsed while those for the other districts are in the process of review. The MTR notes, however, that the regulations do not actually outline incentive mechanisms involving payments for forest or environmental conservation, but instead detail what additional funds are available to villages based on their socio-economic and environmental characteristics. Such funds may indeed contribute to APL forest conservation at the local level and should be utilized where available. But based on stakeholder interviews, the additional funds available to villages for conservation are likely to be small. Furthermore,

⁹ Draft of the Sintang Regent Regulation (Year 2020) concerning Implementation of Village Transfer Funds and Village Financial Assistance for Each Village in Sintang District Fiscal Year 2021 with Tembawang Indicator.
Draft of the Ketapang Regent Regulation concerning Allocation and Determination of Village Fund Allocation, Tax Revenue Sharing and Regional Retribution for Fiscal Year 2021.
Draft of Kotawaringin Barat Regent Regulation (Year 2020) concerning the Implementation of Environment and Forestry-Based District Budget/PAKLIK.
Draft of the East Kutai District Regulation (Year 2020) concerning Amendments to Regent Regulation No. 36 of 2019 concerning Village Fund Allocation Guidelines.

the Ecological Fiscal Transfer regulation in Kutai Timur was not approved in part because there remained a need to clarify the incentive mechanism and its budget. In its efforts, KALFOR thus focused on examining funding opportunities for village government, and not potential incentives for the estate crop sector. Following the submission of the draft MTR report, the project reports that it is facilitating development of a national-to-subnational performance-based Ecological Fiscal Transfer mechanism, based on a forestry and environment quality index. But the MTR team is unable to verify this.

67. Where KALFOR has focused on payment for environmental services (PES) to potentially conserve APL forest was in its provision of expertise for drafting an MOEF regulation on PES, to further elaborate on the ministry's Regulation (no. 46, 2017) Concerning Environmental Economic Instruments. The draft provides a wide umbrella framework for the development of various PES schemes, and for a range of environmental issues, under which more specific schemes applicable to APL forest conservation in Kalimantan and relevant for KALFOR's efforts could be developed following the regulation's approval.

68. To provide a basis for developing PES incentive schemes, KALFOR conducted a study, "Development of Methodology for Ecosystem Services and Economic Valuation Within APL in Kalimantan." The study provides some foundation for designing PES initiatives for APL forest conservation. What the project could make clearer at this stage is which entities among the many involved, provincial and district government, villages and palm oil companies are being considered as the target recipients of the future incentive schemes and why. Will they be the pilot villages (that may already have enough incentive to maintain their forests, as discussed above) or the district governments, which decide on how APL lands, at larger scales, are to be used, or other actors? Any future incentive scheme will also depend significantly on which entity(ies) is to receive PES and the how the benefits of the payments compare to the benefits from that actor using APL forest areas for other activities, especially palm oil production. A study of the benefits and costs to each potentially targeted incentive scheme recipient from receiving PES versus using the APL area for estate crop development should also be conducted.

69. In an effort to engage with palm oil companies, KALFOR with the support of an NGO partner has initiated pilot collaborations between two companies and the respective communities living within their concession areas. The companies and the villages, in Sintang and Ketapang, in 2021 developed non-binding MOU's to cooperate on conserving customary forest and HCV areas in the concessions, improving the community economies and, in one of the cases, maintaining and increasing carbon stocks in the area.¹⁰ Such collaborations may constitute potentially productive ways to conserve APL forest areas, as the prospect of improving their livelihoods gives communities an incentive to maintain them. And, they may serve to reduce tensions between palm oil companies and villages that have customary though legally unrecognized forests in concession areas. Yet at this stage at least they do not indicate the use of any performance-based incentive to reduce deforestation or fragmentation.

70. One reason for KALFOR's reduced emphasis on seeking incentives for palm oil companies to conserve APL forests appears to be that after communication with the Sustainable Palm Oil Initiative (SPOI) project, under the UNDP Commodities Integrated Approach Programme's (CIAP) Good Growth Partnership (GGP), and the ministries of agriculture and environment and forest, the project learned that

¹⁰ Draft Memorandum Of Understanding-The Management Of High Conservation Value Areas (Hcvas) Between Pangkalan Suka Village With Pt. Sepanjang Intisurya Mulia; and Draft Memorandum Of Understanding Between Tuja Semirah Forest Management Institution And Pt. Kencana Alam Permai And Solidaridad Network Foundation Indonesia On A Strategic Partnership Of Sustainable Management Of Bukit Tempurung In Bangun Village, Sintang District.

SPOI is addressing palm oil sector sustainability in Sintang and decided not to overlap with the programme.¹¹ The project, nevertheless, has involved the SPOI team in its district forums. There remains an opportunity, however, for KALFOR to disseminate and explore the applicability of SPOI's experiences and lessons on palm oil sector sustainability to the other districts in which the project is working.

71. For Outcome 3, KALFOR has laid a partial foundation for the development of incentive schemes in the future, and could have focused more on the concept of financial incentives more in its work. At the same time, the MTR considers that the inclusion in the project of a challenging outcome on developing incentives for the estate crop sector, in addition to the work of improving APL forest planning and management at all levels of government, was too ambitious since such an outcome could by itself constitute its own project. Indeed, the analysis and activities to be pursued under Outcome 3, according to the Prodoc, are unrealistic for a single component.¹²

72. At a deeper level, providing incentives to large palm oil companies to reduce deforestation is, according to several government stakeholders interviewed for the MTR, quite difficult given the high profitability of the sector and the resultant challenge of developing incentives that match the benefits of the sector. A more appropriate component would be for the development of alternative, large- or medium-scale enterprises that sustain APL forests, such as in the NTFP sector, which could involve developing sets of incentives for such companies and their investors to establish their businesses. As discussed earlier, KALFOR is conducting value-chain analyses and market assessments of various NTFP's extracted in its four districts, and the findings could be relevant for Outcome 3 as well by identifying which NTFP enterprises should be the focus of efforts. But while the study includes examining the enabling factors (e.g. policies, financing, institutions and others) for business development, it would benefit by going beyond this to actually involve successful NTFP companies in Indonesia and the region to understand what benefits they might bring and the barriers they face, and what incentives could be given for them to expand their business in the provinces.

73. Another, more feasible but equally relevant avenue on incentives relating to the estate crop sector would be to develop them for small palm oil growers. In the view of many diverse stakeholders interviewed for the MTR, much unregulated deforestation of APL areas occurs from the activities of these actors. Among the incentives that could be provided, according to the Prodoc, is financial support for yield improvements if spatial constraints on expansion are followed. Another package of incentives for smallholders may be to cultivate, extract and process NTFPs for enterprises that sustain APL forests, or to practice agroforestry. But regardless of the array of incentives developed, given the cross-sectoral issues relating to APL forest conservation, there will need to be greater and formal engagement with the other relevant sector ministries, such as agriculture, as an umbrella framework with the ministry will also facilitate KALFOR's relations with agricultural offices, growers and companies at the subnational level, and with other departments within MOEF focusing on NTFP development.

¹¹ The project also meets every month with several NGOs and donor organizations, such as GIZ, with projects in Kalimantan in order to avoid any overlapping activities.

¹² Among the elements the Prodoc lists for assessment and possible change are, for example: 1) Changes to inter-governmental fiscal transfer system to enable the most efficient and equitable options for incentivizing increased productivity and conservation of spare land, while better reflecting current and potential level of ecosystem services; (2) Ways to base access to credit and tax incentives on improved oil palm production practices; and (3) Identify how performance against certification and standards (RSPO and ISPO) can be linked to fiscal incentives such as credit guarantees and tax concessions, as well as differentiated tariffs for certified exports.

Outcome 4

74. Since it began implementation, KALFOR has produced a large number of quality communication products and channels to increase stakeholders' and the general public's understanding of the need for APL forest conservation and what activities KALFOR has been undertaking for this goal. In addition to developing a website and Twitter account for the project, KALFOR has produced 11 policy briefs on the subjects of sustaining APL forests, and in several of the individual districts, and on gender mainstreaming in APL forest conservation. The briefs have reportedly been disseminated widely; fliers, high-quality videos in Bahasa and English on the challenges and achievements of the project, which have been made available on Youtube; and various factsheets. Many of the communication products have also been presented at various national and global events. Finally, different artistic contests for youth were held nationally and regionally around the theme of forest conservation, and study tours for two pilot villages were conducted.

75. In late 2020, KALFOR had a contractor develop a draft communications strategy to guide the project's work. The strategy lays out elements for a logical approach, consisting of targeting particular audiences, designing communications to achieve KALFOR's goals and to win broad for them, being clear on the objectives a specific communication, and getting target audiences to act to support KALFOR. The development of the strategy earlier would have benefited the project as its approach with the products it had developed was rather diffuse, and it is unclear how KALFOR sought to use its different communications material to directly support the achievement of its Outcomes. An exception though is reportedly at the local level, in Sintang, where communication products were used to strengthen village capacities and the experiences and lessons from the site were shared through different material with the district government for it to use in future village trainings.

76. A major result related to knowledge management to which KALFOR is contributing is a web portal for the MOEF's Department of Forest Planning and Governance. The ministry has been interested in upscaling the project's website to cover forest area planning issues in the whole country, and the portal will provide documents, training and data as well as permitting for land users. The IPB University is developing a concept paper for the portal and KALFOR is providing significant funding for it.

77. Communications to publicize KALFOR's work, especially to foster active support for the project are essential. Though considering that GEF projects are intended to act as catalysts for broader change, it would be helpful for KALFOR to at this point begin developing material consisting of its aims and experiences regarding APL forest conservation at provincial, district and village level, and guidance built upon these experiences, and begin sharing them with other districts in Kalimantan. Outcome Indicator 4.2 actually refers to this sharing and replication in other districts, although its mid-term target is too ambitious.

Remaining barriers to achieving the project objective

78. The project is meeting its mid-term target of forest cover, and additional APL forest areas are likely to come under enhanced protection through regulations, decrees and processes that KALFOR has helped to develop, such as those for conserving forests in palm oil concessions or for communities to obtain forest ownership, making the achievement of the project's end target feasible. But it is also possible, as explained below, that KALFOR has already reached its full potential with some of the approaches it has pursued, for example, the development of community forest management village by village, which is relatively slow given the goals for APL forest area to be covered. The project will need to develop new approaches and address some key barriers to achieve its objective.

79. The late and slower implementation of Outcome 3 has been a barrier to developing effective incentives for subnational governments and palm oil growers to conserve forests on APL lands on large scales. Related to this, there has been a conceptual constraint; from its activities it is not evident that KALFOR appreciates the need to arrange and present to district governments alternative, forest-sustaining enterprises, and incentives for them that are as attractive as palm oil production in terms of economic growth, job creation and public revenues.¹³

80. Another barrier emerging is that the process of supporting community ownership of forests, despite its positive aspects of village empowerment and others, will likely be a slow one for protecting the remaining APL forests in the districts, and there will be competition from other potential uses. The livelihood benefits to communities are also likely to be small in scale and insufficient to conserve large areas of APL forest.

81. At the broader level, while the total forest APL cover KALFOR has contributed to conserving has been significant, a challenge KALFOR must address to make the achievement of the project objective meaningful is the fragmentation of much the area conserved and what it means in terms of the conservation value of the different forest patches and their ability to provide biodiversity and ES functions.

82. Related to the barriers above, another key one is the capacity of district governments to collectively undertake smart land-use planning for APL forest conservation. As mentioned earlier, APL forest areas suffer fragmentation from in the permitting process for palm oil and other concessions, and forest conservation principles will need to be better mainstreamed into land-use decision-making processes if the goal is to protect HCV areas.

4.3 Project Implementation and Adaptive Management

Management Arrangements

83. The PMU has been well managed, and according to its members, team roles and responsibilities have been quite clear. Staff are assigned according to the project Outcomes. There has also been strong coordination of, and communication within the team, as the regional facilitators and the Jakarta-based team use a variety of ways, including a WhatsApp group so that the experiences of the facilitators in each of the regions, and of staff working on other Outcomes can be shared. The management of the work at subnational level is also helped by the role of a supervising facilitator and staff overseeing Outcomes 2 and 3. In this large and complex project, the NPM is up to date on each Outcome and developments in it, stays in touch with progress at the local levels, and is quick to respond to and assist team members with any decision-making required. While there are project assistants in the provinces to support each Regional Facilitator, the KALFOR sub-offices are in the province so communication with the district level can take time.

84. The NPD and GEF OFP, and the Project Board as a whole are also well-engaged in, knowledgeable of and supportive of KALFOR, taking thoughtful decisions on key issues facing the project. In UNDP, CO staff together with the RTA's have provided oversight functions, and in recent months there has been increased engagement and guidance by one of the RTA's.

¹³ According to KALFOR's economic valuation and ecosystem services study, the districts are already committing 80 percent of their APL lands to palm oil production.

Work planning

85. After the project was approved in December 2017, the Inception Workshop took place in August 2018. Following that the PMU was established and implementation began in August 2018, after some delay. The implementation of KALFOR was timely overall before the Covid19 pandemic, although Outcome 3 was initiated late. It suffered adverse effects from the pandemic as it slowed down activities, prohibited staff travel, and in-person meetings with stakeholders. The project though has been quite flexible, and to manage the new Covid19 risk to implementation the KALFOR team has shifted to virtual activities and laid the contractual foundation for various upcoming activities with stakeholders and partners.

Finance and co-finance

86. The shifts in the project's implementation due to the pandemic are also reflected in KALFOR's budget expenditures. Project spending was proceeding only moderately well in the early years, but then increased before the pandemic. Covid19 led to substantially decreased expenditures, and the budget was revised to reduce the allocation for travel, since the pandemic affected this line item most. Yet after adjustments in its workplan, the project is now essentially on track. In fact, for both 2019 and 2020 cumulative disbursements were over 90 percent. Co-financing by the MOEF and UNDP have also met expectations, as illustrated in the table below, with funding from the partners at over 50 percent at this mid-term stage.

Sources of Co-financing	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	US\$50,050	26,224	52.0
Government (MOEF)	In-kind	US\$50,000,000	31,659,410	63.3
TOTAL		US\$50,050,050	31,685,634	63.3

Project-level monitoring and evaluation systems, and Reporting

87. The project's M&E has relied on a team member dedicated to this function, who is supported by the regional facilitators and other PMU staff in gathering results from the field and from KALFOR's implementing partners, such as NGOs. The data KALFOR has collected and reported has been substantial in quantity, though from an examination of the Progress Implementation Reports (PIRs) and other documents, the data reported has in many cases not matched that required by the indicators in the Results Framework. The pandemic has also made it difficult to verify results at the local level where partner NGOs implemented project activities. More recently, though, KALFOR has made significant improvements in M&E and reporting, and its achievements against the project indicators is now much clearer. The project has also collected gender-disaggregated data on the number of community members it has assisted.

Stakeholder engagement

88. The project's engagement of stakeholders has been strong, and it has in fact been a key part of KALFOR's approach in its work at the provincial and district levels. The project has aimed to adapt to local government preferences regarding APL forest management to identify conservation opportunities and have subnational officials take ownership of the achievements. For every regulation drafted, there are several consultations with stakeholders conducted through the process to gain the greatest consensus possible. One issue is that the participation of women in the forums (~20 percent of attendees) and in

decision-making is low, though it is largely outside KALFOR's ability to decide which government personnel should attend meetings.

Social and Environmental Standards (Safeguards)

89. Following the emergence of the pandemic, Covid19 was identified as a new social and environmental risk, and KALFOR has taken appropriate steps to address the challenge by developing a new Free Prior Informed Consent (FPIC) guideline to be used with indigenous and other communities. The project has made it a requirement that the new FPIC guidelines are used, including by its NGO partners, when activities are being undertaken at the district and village levels.

Communications & Knowledge Management

90. The project contains an entire Outcome dedicated to knowledge management and communications, and since it began implementation KALFOR has disseminated a wide variety of communications material. The project produced eleven policy briefs; one for each of the first three Outcomes, one on gender mainstreaming, and one for each of the provinces and pilot districts. The development and dissemination of the products was somewhat diffuse in its targeting, and overall did not directly support the achievement of KALFOR's Outcomes. But in 2020, a communications strategy was developed for KALFOR that outlines clear objectives for the communications work. Regarding knowledge management, KALFOR has generated a substantial amount of data through its partners on the participating areas. And, there are significant scope and benefits to utilizing more of this data. One example is the more-refined data on the different values of HCVF areas, which KALFOR can incorporate to for conserving APL forests in the districts.

4.4 Sustainability

91. Certain aspects of KALFOR's strategy are increasing the likelihood that the project's achievements will be sustained after project-end. These are engaging a range of sector offices in government at subnational level and other stakeholders in the dialogue on APL forest conservation to build a wide foundation of support for the project's aims and results even if there is a change in the head of government. This is evidence that KALFOR has actively sought to manage the risk to the project stated in the Prodoc and progress reports that MOEF has only limited authority over APL lands. The project is also developing regulations to conserve APL forests at each level of government and for villages so that they reinforce one another. The approval of a regulation means that a budget is allocated to support its implementation, thus supporting its sustainability. There are also indications of MOEF's commitment to APL forest conservation, as seen in the development of the virtual portal and its plans for continued monitoring of forest areas outside of state forest.

92. There are nevertheless risks to sustainability that exist, and these are moderate overall. The project will therefore need to develop a full-fledged exit strategy to address them and to also ensure that the services KALFOR has provided to its different stakeholders will be continued once the project is over. It should also be noted that the risks that exist at mid-term may change over the remainder of KALFOR's duration, and the exit strategy should be modified accordingly.

Financial risks to sustainability

93. The project's results face several different financial risks. One is that the pilot communities that have been assisted with establishing sustainable income-generating schemes will be unable to obtain the funds necessary to maintain and expand their activities. Village budget allocations may help to address the needs, but this remains uncertain. Another risk, at a higher level, and which also constitutes an institutional framework risk, relates to the ability to sustain the services KALFOR has provided to

subnational government offices and other stakeholders in terms of information and analysis conducted, expertise provided for drafting legislation, and stakeholder consultations. Much work remains to conserve APL forests in the four project districts and the others in Kalimantan, and funding for a project team in MOEF to continue pursuing forest conservation will be required.

Socio-economic risks to sustainability

94. At present, the socio-economic risks to KALFOR's achievements appear low as there has been solid support among the pilot villages for managing and owning community forests.

Institutional framework and governance risks to sustainability

95. The project is seeking to put the institutional framework and policies in place for the sustained conservation of APL forests, but the future of these areas will depend to a large degree on the will and policies of the heads of government at the subnational levels, and these will change over time. The risks are currently low in Sintang and Ketapang districts, where the district heads are open to conserving APL forests and elections will not take place for some years. In Kutai Timur as well the District Head was recently elected and has shown commitment to APL forest conservation. Greater risks are also posed in East Kalimantan owing to plans to relocate the capital to the province and create an engine of growth there. Furthermore, at the national level, and affecting all provinces, is the Omnibus Law, which brings risks. The law's wording assigns subnational governments with the authority for management and protection of forests, and these entities and other parties may provide incentives for the conservation of forest areas. At the same time, the law has repealed certain forest protection laws (the requirement that at least 30 percent of forest area is to be conserved for each watershed area or island) and eased the requirements for companies to carry out environmental impact assessments. Several stakeholders interviewed for the MTR expressed concern about the potential effects of the law on APL forest conservation in Kalimantan.

96. More specifically in the provinces where KALFOR is working, the greatest risk is that there is not sufficient buy-in of the subnational governments to conserve major areas of APL forests in their jurisdictions given that palm oil companies generate greater revenue, growth and employment (and are sometimes finance political campaigns) and there are few economic incentives to conserve forest areas on APL lands. Where forests are conserved, the long-standing problem of inadequate capacity, budget and government will for enforcement against deforestation were mentioned by stakeholders interviewed for the MTR.

Environmental risks to sustainability

97. As mentioned earlier, according to district forest cover maps and experts, APL forest areas are highly fragmented, both across district landscapes and within forest blocks. This means that their ability to maintain biodiversity and furnish ES is likely to be compromised, and in turn, that areas KALFOR has assisted in conserving in these same landscapes will not be able to function as HCVFs.

98. In April 2021, a draft exit strategy for KALFOR was developed, indicating an effort of the project to address its sustainability. At present the draft contains a good framework for developing a strategy, and KALFOR and its supporting stakeholders would benefit from formulating an actual strategy, taking into account the specific results accomplished, what would be required to sustain them and the risks they face.

5. Conclusions and Recommendations

5.1 Conclusions

99. Overall, KALFOR has been successful in expanding the amount of APL forest cover under enhanced protection in the three provinces it is working in, and it has achieved the conservation gains through being flexible and supporting local aims or initiatives already underway regarding APL forests, engaging with the wide range of subnational government entities, and from different sectors, in the provincial and district forums, and working at all levels, from the national to the community, to support regulations and decisions that reinforce one another. The project has thus been able to meet its mid-term target for APL forest cover, and more areas may come under conservation in the future as a result of the regulations developed.

100. Yet considerably more scope remains to mainstream the goals of biodiversity and ES conservation into KALFOR's activities and the policies and regulations it supports, and the project's successes mask the serious issue of APL forest fragmentation. For KALFOR's success on its project objective to be meaningful, the issues of forest intactness and integrity must be given greater attention. The project has made efforts to promote the consideration of biodiversity and ES in the regulations it has supported, and has improved awareness among provincial and district governments of the importance of maintaining APL forests. Yet given the large number of regulations of the different concerned sectors and offices, such as agriculture and spatial planning, there remain areas where the policies across the ministries and sectors are not harmonized for APL forest conservation, and there is a need to examine the policies in those sectors as well to identify and address the gaps, and to further involve those sector ministries for this purpose. The study the project has conducted on the policies of other sectors is a good starting point.

101. At the district and community levels, where KALFOR was to demonstrate innovative spatial planning approaches, the project has contributed through supporting and strengthening community ownership and management of forest areas, and enhancing village alternative, environmentally sustainable income-generation efforts. In a context where customary land and forest rights of communities are often not recognized, KALFOR is supporting a model that makes a difference, particularly to indigenous groups. At the same time, for the purpose of conserving the remaining APL forests in the districts, the strategy of assisting villages one by one will likely be too slow and inefficient, as there will be competition from other potential land uses as well. The livelihood benefits to the communities from forest-friendly income streams are also likely to be small in scale and insufficient to provide incentive to conserve large areas of APL forest. The project will therefore need to think of more strategic approaches to extending forest ownership to communities, and ones that bring livelihoods that can sustain their members.

102. On the issue of incentives to conserve APL forests, KALFOR has tried to create economic incentives for villages to maintain their forest areas, but for Outcome 3 it will have to develop a clearer direction and strategy for designing incentives involving performance-based payments and on a larger scale to conserve the forests more efficiently. Presently, as the Progress Towards Results table indicates, Outcome 3 is rated as "not on track." While KALFOR's strategy remains relevant and is overall clear, the latter consisting of a mix of control through regulations and financial incentives, Outcome 3 is too ambitious in its expectations. This is so especially because it seeks incentives for large palm oil companies to conserve their forest, which is difficult because the incentives have to match revenues from the sector, and because designing and implementing such incentives could merit its own project. A more feasible and targeted approach might be to support NTFP enterprises and design incentives for their establishment for them and district governments. Given the interests of local governments in creating economic growth and jobs, reducing poverty and generating tax revenues, KALFOR needs to help offer economic activities other than

palm oil production that could meet these ends. Furthermore, while large palm oil companies are addressed through the various regulations, small growers, who undertake forest clearing for palm oil cultivation are not, and they could be targeted with incentives to adopt more sustainable practices and livelihoods.

103. Apart from Outcome 3, other aspects of the project's design, such as the gender analysis and social and environmental safeguards screening, could have been stronger. The greatest deficiency is in the M&E framework. Many of the indicators and targets were not well-developed and this has made it difficult to capture the project's achievements. Though like implementation, the design was done with substantial stakeholder involvement.

104. The project has also seen good management overall, and the team practices close communication and coordination. Apart from the Covid-19 pandemic and the slowdown in implementation and expenditures it caused, KALFOR has been carried out in a relatively timely way. However, an area requiring improvement is M&E and reporting since data reported in progress reports thus far has often not corresponded to that required by the indicators, and the evidence base for the achievements needs to be stronger.

105. On the sustainability of the results to which KALFOR has contributed, there are steps and processes the project is undertaking to improve its likelihood. Yet risks to sustainability do exist, and at this mid-term stage it would be wise to develop a full, detailed plan for how they will be addressed as well as plan, as Outcome 4 calls for, how KALFOR could replicate itself in other districts in the three provinces.

5.2 Recommendations

Corrective actions for the design, implementation, monitoring and evaluation of the project

1. For, GEF, UNDP and the PMU: Revise the indicators and targets in the Results Framework so that they can more effectively and efficiently capture the results of the project can realistically achieve. More specifically:
 - i. Change the mid-term target of the Objective's third indicator, "1,000 people from local communities and including forest-dependent peoples, benefitting from strengthened livelihoods due to improved systems for protection of ecosystem services", to "alternative, forest-based income-generating schemes have been established with local communities, including forest-dependent peoples", to make it more realistic.
 - ii. Move Outcome Indicator 2.1, "Tons of CO₂e emissions avoided within the three Kalimantan provinces", to come under Outcome 1, where it is more relevant.
 - iii. Fully develop Outcome Indicator 2.3, on local institution capacity building, and the mid-term and project-end targets for it since these are undeveloped and how to report on them is not clear.
 - iv. Remove Outcome Indicator 2.4, "No. of district-level forest safeguarding plans approved and endorsed by key stakeholders", and its mid-term and project-end targets. While the indicator is clear, it is largely repetitive of Indicator 2.5. And, the mid-term and project-end targets were either formulated in error or are far too ambitious.

- v. Add a second indicator under Outcome 3 to capture the APL forest area conserved specifically through the implementation of performance-based incentive mechanisms.
 - vi. Replace Outcome Indicator 4.1, given that it involves using a scorecard methodology that was not available to KALFOR and its targets are unclear, with an indicator on the number of communications and knowledge management products that directly support the achievement of the project's other Outcomes and the Objective.
2. For the PMU: Formulate and implement a comprehensive exit strategy to ensure that the risks to sustainability the project faces are fully addressed and that the support KALFOR, along with its partner universities and NGOs, have provided will continue after the project ends. Since the risks may change over time, and new results will emerge, the exit strategy will need to be adaptive.
 3. For the PMU: Develop a set of lessons learned from KALFOR's experience in supporting APL forest conservation in the three provinces, four districts and communities, along with tools and guidance for promoting forest conservation, and share these actively with other districts and provinces in Kalimantan to achieve broader change. And, involve supportive district and provincial heads of government in the three provinces in the effort to advance KALFOR's goals in other areas.
 4. For the PMU, UNDP and GEF: The PMU should improve its monitoring and reporting on the project indicators, making sure the data provided matches what the indicators require. Furthermore, the offices with responsibility for quality assurance and financial support, UNDP at the country and regional levels and the GEF, should ensure in the project progress reports they receive that there is clear reporting on KALFOR's levels of achievement, and according to the indicators.

Actions to follow up or reinforce initial benefits from the project

5. For the PMU: In its work to expand APL forest area under enhanced protection as well as conserve biodiversity and ES functions, the PMU should make efforts to prevent forest fragmentation and support intactness wherever feasible. Among the measures the project could take are the following: i) revising the permit approval processes of the estate crop sector as they concern spatial planning in APL forests, (ii) training subnational government entities, particularly those responsible for spatial planning, in the principles and practices of conservation area planning and management, (3) identifying where large HCV areas and corridors exist across palm oil plantation landscapes and seeking to secure those areas through additional provincial regulations or other means.
6. For the PMU: For the purpose of conserving HCV forests and the biodiversity and ES functions they provide, aim as much as possible, to prioritize APL forest areas based on their size, HCV status, connectivity and intactness. The more detailed data that partner universities possess on APL forests in their respective provinces should also be used to help identify priority areas for conservation. Along with this, KALFOR should focus to a greater extent on conserving APL forests in Kutai Timur in East Kalimantan and in Ketapang and Sintang in West Kalimantan, and in these provinces more broadly, since they hold larger remaining areas of APL forests.

7. For the PMU: Based on the inventory of policies concerning APL forests that KALFOR has conducted (and any additional inventory that may be needed), identify and assess the gaps in provincial and district policies regarding APL forest conservation and the mainstreaming of biodiversity and ES, especially in the policies of other sectors, such as estate crop and agriculture. And, seek to address these gaps through building wide stakeholder consensus.
8. For the PMU: Explore and develop other ways to achieve and expand community ownership of forest areas on a larger scale. These might include: i) promoting provincial or district regulations for community ownership, similar to the Central Kalimantan decree drafted for community forests, to provide an enabling environment at a higher level for village forest ownership, and (2) reaching out to the specific ministry with the authority over a given village forest area for ownership rights, as Sampayau village has done with the Ministry of Home Affairs, claiming their forest as an asset.

Proposals for future directions underlining main objectives

9. For the PMU: Given that the community pilots are relatively small regarding the livelihoods they support and the forest areas they conserve, and that district and provincial governments are interested in supporting enterprises that bring investment, growth, employment and poverty reduction, KALFOR should promote large-scale NTFP enterprises that bring these benefits and develop incentives for the enterprises and governments to help establish the companies. In doing so, KALFOR should draw on, and collaborate with the work done by the MOEF department responsible for NTFP development, research organizations examining NTFP development and private NTFP companies.
10. For the PMU: Accompanying the recommendation above, KALFOR should pursue incentives for small palm oil growers to participate in NTFP activities that sustain APL forests.

Annex 1. Mid-term Review ToR (excluding ToR annexes)

Midterm Review Terms of Reference

Standard Template 2: Formatted information to be entered in UNDP Jobs website¹⁴

This is an adjusted standard terms of reference for Mid-Term Reviews of UNDP-supported GEF/LDCF/SCCF-financed projects taking into account the impact of COVID-19 on evaluations, including consideration for COVID-19 situation assessment within countries, impact and restrictions on evaluations, alternative approaches, methodologies and considerations to mitigate the impact of COVID-19 on evaluations.

Underlying this guidance is a principle of “do no harm”, and a consideration that the safety of staff, consultants, stakeholders and communities is paramount and the primary concern of all when planning and implementing evaluations during the COVID-19 crisis.

BASIC CONTRACT INFORMATION

Location: Indonesia

Application Deadline:

Type of Contract: Individual Contract

Post Level: International Consultant

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

Starting Date: 01 April 2021

Duration of Initial Contract: 40 working days

Expected Duration of Assignment: April 2021 – June 2021

BACKGROUND

A. Project Title

This is the Terms of Reference (ToR) for the Midterm Review (MTR) of the *full* -sized UNDP-supported GEF-financed project titled **Strengthening Forest Area Planning and Management in Kalimantan (KALFOR Project)** (PIMS 5029) implemented through the *Ministry of Environment and Forestry (MoEF)*, which is to be undertaken in 2021. The project started on the 22 December 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 during the Covid19 Pandemic of UNDP-Supported, GEF-Financed Projects* (<https://intranet.undp.org/unit/office/eo/SitePages/gef-evaluation-guidelines.aspx>).

B. Project Description

The project was designed to: maintain forest areas, including the biodiversity and ecosystem functions, of

¹⁴ <https://jobs.undp.org/>

Kalimantan's lowland and montane areas in the face of growth and development of the estate crop sector. The project aims to create significant global benefits related to biodiversity conservation, sustainable land use and mitigation of GHG emission, particularly in the HoB. Systemic and institutional barriers to improved strategic plantations/commodities siting and plantation management will be addressed at the national, provincial and landscape levels, backed by incentives for making any plantation expansion policy compatible with green growth.

The project intervention is focused on three pilot provinces: West Kalimantan (Sintang and Ketapang districts), Central Kalimantan (Kotawaringin Barat district) and East Kalimantan (Kutai Timur district). The project team has identified that there are over 2.36 million ha of currently forested land within forest located outside state owned forest land (Area Penggunaan Lain – APL) and convertible production forest (Hutan Produksi Konversi-HPK) in the three provinces. It estimates that up to 70% of such lands are found within the biologically critical Heart of Borneo area and that 15-20% of these areas are found on ecologically fragile and fire-prone peat soils. Currently, data and information regarding the above-defined land areas have been collected by the Kalfor's team by running four (4) program components:

- i) Component 1: Mainstreaming of forest ecosystem service and biodiversity considerations into national, provincial, and district policies and decision-making processes for forest area planning and management;
- ii) Component 2: Strengthened and expanded implementation of best practices in the estate crops sector in maintaining biodiversity and ecosystem services in four target landscapes in Kalimantan;
- iii) Component 3: Creation of incentives system to safeguard forests, including biodiversity and ecosystem services, from estate crop sector;
- iv) Component 4: Knowledge management and M&E.

Gender mainstreaming strategy is a development strategy that takes into account the different conditions, experiences, aspirations and needs of women and men in development. As a strategy, gender mainstreaming strategy is a systematic effort to address gender disparities, through corrective measures in relation to resource access and control, to realize gender equitable and equitable power relations.

The implementation of the gender mainstreaming strategy in the Kalfor project has started since the project planning stage. This can be seen from the gender analysis and the formulation of a gender strategy in the project in general. In the project proposal document, this can be seen, among others, in the formulation of gender issues in the project and the formulation of a gender action plan to address these gender issues.

The activities supported by Kalfor project has provided equally important opportunities for the women and men in developing and managing the biodiversity conservation, sustainable land use and mitigation of GHG emission related activities. The project has provided equal opportunities for women in managing the activities supported by seed grants/micro grants. The Kalfor project has promoted women roles for instance, through the development and management of home industry in producing variety of non-timber forest products, producing merchandise (such as printed shirts, hats, pins), and in adapting with the covid-19 pandemic by promoting health protocol for the local community (such as making cloth mask, maintaining facilities to wash hand properly with water and soap, producing health supplements made of local herbs etc.).

Regarding covid-19 outbreak, as of 17 January 2021, there were 907,929 confirmed cases of Covid-19 in Indonesia, of which 25,987 were fatalities and 736,460 persons recovered. Covid-19 has been spread in 34 provinces and 487 regencies/cities across Indonesia. Some regions implemented large social restrictions to

prevent of Covid-19 pandemics. Covid-19 pandemics have affected the implementation of the project. Based on our assessment, some works can continue on-schedule, some work remains the same but involves delays, some works need to redesign to achieve the expected output.

The seven years Kalfor project is funded by the Global Environment Facility (GEF), with the Ministry of Environment and Forestry as the Implementing Partner. The project has a total budget of USD 59,050,000 comprising of a grant from GEF-Supported funding of USD 9,000,000 and the parallel co-finance from the government of USD 50,000,000 and UNDP of USD 50,000. The project document was signed on 22 December 2017 and start to operational in 2018 for 7 years project period.

C. MTR Purpose

As an integral part of the project implementation cycle, UNDP has initiated a project evaluation that will analyze the achievements of the KalFor project against its original objectives while providing project partners with an independent review of project outputs/outcomes. Result of the MTR will be submitted to the GEF. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration.

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, including gender mainstreaming and approach to the vulnerable group, and its risks to sustainability. The risk of sustainability should include assessment to social and non-social aspects with clear analysis on impacts from mitigation efforts conducted by project so far, if any, and other challenges that might still occur. 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:

- a. 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.
- b. 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.
- c. Review also technical and managerial aspects and consider issues of effectiveness, efficiency, relevance, impact and sustainability. This review should be conducted through out project's components, strategy and approach against its objectives, output and outcome targets.

- d. Identify factors that have facilitated and/or impeded the achievement of objectives and should result in recommendations and lessons learned that will help project managers in reorienting and re-prioritizing project activities and managerial arrangements as needed for the remainder of the project. The MTR should take into account all relevant factors including social and/or gender factors that may hinder achievement of objectives. Hence, gender lens should be applied in the whole approach and methodology of evaluation review.
- e. Forward looking, giving future directions and recommendations for the project team, donors, government and partners and providing them with a clear understanding of the major outcomes and with a strategy and policy options to achieve the project's expected results more effectively and efficiently.
- f. Provide the basis for learning and accountability for managers and stakeholders.

The MTR team is expected to follow a collaborative and participatory approach¹⁵ 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 (list of stakeholders can be found in the annexes); 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 Jakarta, including the following project sites Kutai Timur, Kotawaringin Barat, Sintang, and Ketapang.

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. Whenever is required, the MTR team could conduct separate discussion of men and women to prevent situation of unequal gender power relation hinder the data/information gathering

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.

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

¹⁵ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

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.

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.

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?
- If there are major areas of concern, recommend areas for improvement.

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

Progress Towards Outcomes Analysis:

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

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

Project Strategy	Indicator ¹⁶	Baseline Level ¹⁷	Level in 1 st PIR (self-reported)	Midterm Target ¹⁸	End-of-project Target	Midterm Level & Assessment ¹⁹	Achievement Rating ²⁰	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved Yellow= On target to be achieved Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right before the Midterm Review.

¹⁶ Populate with data from the Logframe and scorecards

¹⁷ Populate with data from the Project Document

¹⁸ If available

¹⁹ Colour code this column only

²⁰ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- 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.

1. 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.
- When the project has gender action plan, and is it implemented ?, the MTR should cover its review.

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?

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
		TOTAL			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount 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 risks²¹ (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.

²¹ Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF’s “types of risks and potential impacts”: Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

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).

2. 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 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. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

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

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See the TOR Annexes for the Rating Table and Rating Scales.

Table. MTR Ratings & Achievement Summary Table for (Kalimantan Forest Project)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

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: (19 April 2021)
- **Presentation:** MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: (11 May 2021)
- **Draft MTR Report:** MTR team submits the draft full report with annexes within 3 weeks of the MTR mission. Completion date: (28 May 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: (18 June 2021)

Midterm Review Deliverables

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission. Date 19 April 2021	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission. Date: 11 May 2021	MTR Team presents to project management and the Commissioning Unit
3	Draft Final MTR Report	Full report	Within 3 weeks of the MTR mission. Date 28 May 2021	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final MTR Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 2 weeks of receiving UNDP comments on draft. Date: 18 June 2021	Sent to the Commissioning Unit

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

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 the travel arrangements within the country for the MTR team, if the travel is permitted. 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.

The Commissioning Unit and Project Team will provide logistic support in the implementation of remote/virtual meetings if travel to project site is restricted. An updated stakeholder list with contact details (phone and email) will be provided by the Commissioning Unit to the MTR team.

If travel is possible, the National Consultant shall conduct a field visit to the pilot project locations among Samarinda, Palangka Raya, Pontianak, Kota Waringin Barat, Sintang, Ketapang, and Kutai Timur.

No	Indicative Location	Frequency	Number of Travel Days
1	Sintang	1	5
2	Ketapang	1	5
3	Kota Waringin Barat	1	5
4	Kutai Timur	1	5

H. Duration of the Work

The total duration of the MTR will be approximately *40 days* over a period of *8 weeks* starting on 01 April 2021, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- *(12 February 2021):* Application closes
- *(19 March 2021):* Selection of MTR Team
- *(24 March 2021):* Prep the MTR Team (handover of project documents)
- *(09 April 2021) 4 days :* Document review and preparing MTR Inception Report
- *(19 April 2021) 7 days:* Finalization and Validation of MTR Inception Report- latest start of MTR mission
- *(20 April- 10 May 2021) 15 days:* MTR mission: stakeholder meetings, interviews, field visits
- *(11 May 2021):* Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- *(28 May 2021) 6 days :* Preparing draft report
- *(18 June 2021) 4 days :* Incorporating audit trail on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)
- *(24 June 2021):* Preparation & Issue of Management Response
- *(25 June 2021):* (optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
- *(30 June 2021):* Expected date of full MTR completion

The date start of contract is (01 April 2021).

I. Duty Station

- The contractor's duty station will be home-based with possibility of subject to the approval from RR or Head of Unit.
- 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/>

REQUIRED SKILLS AND EXPERIENCE

J. Qualifications of the Successful Applicants

A team of *two independent consultants* will conduct the MTR - *one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert from Indonesia (National Consultant)*. 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, etc.)*

The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Indonesia. In the case of international travel restriction and the 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:

Education

A master's degree or higher in forestry, natural sciences, environmental studies, social development, public policy, and/ or related fields. (15%)

Experience

- Experience with result-based management evaluation methodologies and applying SMART indicators and reconstructing or validating baseline scenarios (15%);
- Minimum 8 years of experience in conducting evaluation of development projects supported by UNDP/UN agencies, GEF or any donors (30%)
- Relevant professional experience (for at least 10 years) in the technical areas of natural resource management, climate change, agriculture/commodity crops, forestry (15%);
- Demonstrated understanding of issues related to gender and (biodiversity, climate change, land degradation, sustainable forest management) including experience in gender sensitive evaluation and analysis (15%)
- Experience working in Asia Pacific region (5%);
- Knowledge of UNDP or GEF Monitoring, and Evaluation Policy will be an advantage (5%).

Language

- Fluency in written and spoken English. Knowledge of Bahasa Indonesia would be an advantage.

Cumulative Analysis

The award of the contract shall 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

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 delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%²²:

- 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.

²² The Commissioning Unit is obligated to issue payments to the MTR team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the MTR team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

APPLICATION PROCESS

M. Recommended Presentation of Offer

- a) **Letter of Confirmation of Interest and Availability** using the template²³ provided by UNDP;
- b) **CV** and a **Personal History Form (P11 form)**²⁴;
- 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 (Strengthening Forest Area Planning and Management in Kalimantan (KALFOR Project) (PIMS 5029) Midterm Review” or by email at the following address ONLY: (bids.id@undp.org) by **(23:59 PM GMT +7 on 12 February 2021)**. 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*)

- ToR ANNEX A: List of Documents to be reviewed by the MTR Team
- ToR ANNEX B: Guidelines on Contents for the Midterm Review Report²⁵
- ToR ANNEX C: Midterm Review Evaluative Matrix Template

²³

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

²⁴

http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

²⁵ The Report length should not exceed **40** pages in total (not including annexes).

- ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants²⁶
- ToR ANNEX E: MTR Ratings and Achievements Summary Table and Rating Scales
- ToR ANNEX F: MTR Report Clearance Form
- ToR ANNEX G: Audit Trail Template
- ToR ANNEX H: Progress Towards Results Matrix
- ToR ANNEX I: List of Stakeholders

²⁶ <http://www.unevaluation.org/document/detail/100>

Annex 2. MTR Evaluative Matrix

Evaluation Questions	Indicators	Data Sources	Methodology
Relevance: Project Strategy—To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
<u>Strategic relevance</u>			
To what extent is the KALFOR project addressing national priorities, as outlined in national development and sector plans?	Level of coherence between project objective and outcome, and national and sub-national development and sector plans	KALFOR Project Document National development, MOEF and other relevant sector strategies and plans External academic literature Project team Stakeholders External experts	Document analysis Literature analysis Interviews with project team Interviews with stakeholders Interviews with external experts
How relevant is the project to the context (environmental, socio-political, economic, agricultural, etc.) at the national and subnational levels?	Appropriateness of project strategy to development and conservation challenges and trends Perceptions of stakeholders as to whether Project responds to national priorities and existing capacities		Assessment of the project's rationale.
<u>Quality of Project Design</u>			
Are the KALFOR project's objective, outcomes and components clear and feasible within the project timeframe?	Clarity of objectives and outcomes Feasibility of intervention in project duration	Project documents Project team Project stakeholders & beneficiaries	Document analysis Interviews with: Project team Stakeholders and beneficiaries Focus group discussion with project community
Are the project's theory of change, or logframe, and its assumptions valid for achieving the intended results? Have there been any changes to the context that warrant a revised project design?	Soundness of theory of change/logframe Changes in project logic		
Were the perspectives of all stakeholders who could be affected by the project and its outcomes taken into consideration during the design processes?	Inclusion of stakeholder needs and views in project design Degree of involvement and inclusiveness of stakeholders in project design		

Were lessons from other relevant projects in the country, e.g. on reducing deforestation and biodiversity loss and sustainable palm oil production, considered when designing the KALFOR project?	KALFOR project’s use of findings and recommendations from similar projects		
Were relevant gender issues taken into account during project design?	Extent to which project addresses needs and conditions of women in pilot sites		
What is the quality of the monitoring system for capturing project performance? Are the indicators and midterm and end-of-project targets “SMART” (specific, measurable, attainable, relevant, time-bound), or otherwise, appropriate? Is there scope or a need to include other indicators to capture broader development benefits of the KALFOR project?	Indicators and targets meet SMART criteria Presence of quality exit strategy in Prodoc Presence of strategy in Prodoc for upscaling & replication		
Does the project’s design include an exit strategy and a strategy for catalyzing replication and upscaling of the KALFOR project’s model and benefits?	Suitability of safeguards applied		
Were the Social and Environmental Safeguards, including the new safeguards employed in UNDP, applied appropriately by the project?			
<i>Effectiveness: Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far, and according to the Project Results Framework output indicators for each Outcome?</i>			
What progress has the KALFOR project made in achieving its intended mid-term targets, and according to its indicators? ²⁷	Results Framework indicators Level of confidence of stakeholders in achievement of project results	Project documents including policies developed Project staff Project partners	Review of project documents Interviews with project staff

²⁷ Following the requirements of the TORs for MTRs of GEF projects, the MTR will also complete the Progress Towards Results Matrix to assess progress against mid-term targets and in accordance with the log frame indicators. See Annex 5 for the complete matrix. Progress will be marked using a color code "traffic light system"; ratings will be assigned for each outcome; and recommendations will be made for areas marked as "Not on target to be achieved."

Have the different policies, briefs and regulations that the KALFOR project has helped develop address the gaps that existed in APL policies regarding forest and biodiversity conservation and sustainable estate crop production?	Effectiveness of policies and regulations	Focus Group Discussions	Interviews with project partners Focus group discussion with project community Data analysis
What have been the concrete results from the many stakeholder facilitations and forums the project has conducted at provincial level?	Changes to policies, practices, perspectives, etc.		
To what extent has the KALFOR project addressed the <i>implementation</i> and <i>enforcement</i> of the new policies and regulations it has helped design to ensure the policy changes bring impacts? Has the project taken into account the capacity, budgetary and other institutional challenges to policy revision, implementation and enforcement related to forest conservation on APL areas, and what, if any, measures has it taken to address them?	Existence of effective implementation and enforcement mechanisms for environmental policies Changes in policies and regulations of other relevant sectors		
To what extent has the KALFOR project sought to make revisions to the policies and regulations of other involved sectors and ministries, such as agriculture, to support sustainable estate crop production, and forest and biodiversity conservation? Has there been ownership of the KALFOR project's aims by other key ministries?	Creation of livelihood opportunities with comparable income to estate crop production		
Given the attraction of estate crop production for large and small growers, what alternative, feasible and profitable activities, or other incentives, has the KALFOR project been promoting, and have they shown success?	Financial and social improvements in lives of women resulting from project		

Regarding gender mainstreaming, what changes in women's engagement and socio-economic wellbeing have resulted in local communities and indigenous groups as a consequence of the KALFOR project's activities? Do they support sustainable estate crop production and forest and biodiversity conservation in APL areas?			
In seeking to document examples of specific lessons shared and applied in other sub-national and national situations, is the project already engaging national and sub-national stakeholders and on a continuous basis by communicating to them emerging lessons to ensure ownership, sustainability and the application of models to other sites? Are stakeholders in the other relevant sectors and ministries (e.g. agriculture and the more powerful ministries of finance and development planning) also receiving information on experiences and lessons so that they support environmentally sustainable solutions?	Communications of project approaches and successes to other relevant ministries Commitment of other sectors to aims of project Steps taken to promote upscaling of project		
Is the project helping to support a national system for producing more accurate forest cover baselines in APL's and for improving policies and regulations in other provinces and districts?	Presence of KM component activities that share successes and lessons with other key sectors		
To what extent has the KALFOR project sought to communicate its progress and lessons from its pilots to the national level, other districts and relevant sectors and stakeholders (through its Knowledge Management component or other avenues) to generate ownership and project expansion/replication?			
Efficiency: Project Implementation and Adaptive Management			

What has the quality of project team management been overall? Are work-planning processes results-based, are team member communications, and roles and responsibilities clear? What has the gender balance of staff been?	Clarity in roles and responsibilities for operational and management structure Team-member satisfaction with management systems	Project documents Project staff Project partners Project beneficiaries, incl. communities	Review of project documents Interviews with project staff Interviews with project partners Analysis of financial data Assessment of M&E data
To what degree has the KALFOR project been implemented in a cost-effective manner, i.e. how efficiently have the different resources (financial, human, physical, etc.) been utilized? How well has the project adapted to any changes in conditions?	Perceptions as to cost-effectiveness of program Level of execution of program budget, and by outcome Allocation of human resources to outcomes Extent of compliance of work plan with schedule		
What has the timeliness of project execution been? Have there been any delays, and if so, why?	Perception of stakeholders as to whether project activities are on track Inclusion of stakeholders in implementation and decision-making Degree of achievement of gender action plan Stakeholder satisfaction with inclusion in decision-making		
How well has the KALFOR project engaged its partners and stakeholders, including women and Indigenous Peoples in implementation, decision-making and on reporting of project outcomes? If there is a gender action plan, how well as it been implemented?	Amount of co-financing, per outcome as determined by the MTR team		
What has the level of co-financing for the project been, and are the resources being used strategically, through partner consultations, to help meet the objectives of the project?	Level of satisfaction of project team with GEF FP and UNDP guidance		
What assessment should be made of the support provided by the GEF Partner Agency, UNDP?	Changes in logframe/project logic Soundness of new project logic		

Have any explicit or implicit adaptive management changes been made, e.g. in the strategy, due to contextual changes for the purpose of achieving the intended results? If so, were they appropriate?	Level of data-gathering Degree of use of M&E information to make management decisions/adaptive management		
How well is the KALFOR project's M&E system being implemented? Is the necessary information being gathered, including with regard to gender and Indigenous Peoples, and is the system aligned with national and subnational ones? What has the quality of reporting been to partners and the GEF?	Percentage of budget spent on M&E Extent to which lessons learnt have been communicated to project stakeholders		
How well has the KALFOR project addressed the risks (the overall risk rating and/or the identified types of risks) outlined at the approval stage and reported through implementation (e.g. in PIRs)? Have other risks emerged or have existing risks increased? If so, how has the project responded to them?	Changes in risk rating Emergence of new risks		
Is the Social and Environmental Standards risk categorization assigned at the design stage still valid? What measures have been taken on any Environmental and Social Management Plan, or other type of plan, to address the risks, and have they been adequate?	Relevance of risk categorization to current situation Changes in SES risk strategy		
<i>Sustainability</i>			
What measures have been taken to implement an exit strategy and ensure the sustainability and upscaling of the project's benefits? How well is the strategy understood and being implemented by key stakeholders?	Level of completion of exit strategy Stakeholder understanding of strategy	Project documents National policies and strategies Project staff Project partners Project beneficiaries (communities where	Review of project documents Review of national strategies and plans Interviews with project

What are the financial risks to sustainability; i.e. what is the likelihood that the necessary financial and economic resources, public and/or private, will not be available to sustain the benefits the project has achieved once it ends?	National and sub-national resources to sustain achievements and activities Availability of funding for sustaining project's outcomes by the end of the project	pilot activities are/were implemented) financial data	staff Interviews with project partners Interviews with communities representatives Focus group discussion with project community Analysis of financial resources at national and sub-national levels
Are there any social or political risks, in the form of stakeholder ownership or political acts, to the sustainability of project outcomes?	Social or political phenomena in conflict with project achievements Level of social and political risks according to stakeholders		
Are there any risks in the form of policies, legislation, or governance structures and processes that pose risks to the sustainability of the KALFOR project's achievements?	Legislative, policy changes in conflict with project benefits and activities Level of risks according to stakeholders' perceptions		
Do any environment-related phenomena pose risks to the sustenance of project outcomes?	Environmental trends posing risk to project benefits		
What are the key risks to sustainability that require attention in order to improve prospects of sustainability of project outcomes and the potential for replication of the project model?	Key risks from above		
In conclusion, how likely is it that the project and its benefits will be sustained?	Aggregation of risks		
What risks or other barriers exist to the project having a catalytic effect in improving policies for APL areas nation-wide?	Financial, social, political, legislative or environmental risks to catalytic effect of project		

Annex 3. Examples of Semi-structured Questionnaires Employed

Note: the interview questions for each interview were tailored to the role of the stakeholder regarding the project and his/her responsibilities in their institution

Questions for PMU Staff

1. Can you first describe your role and responsibilities in the PMU?
2. How well do you think the project is being managed? Are roles and responsibilities, and communication clear?
3. What have been the concrete results from the many stakeholder facilitations and forums the project has conducted at provincial level?
4. Many achievements under Outcome 2 mention facilitation of policies. What do we mean by “facilitation”? Is there capacity at local levels to make necessary adjustments in policy over the long-term?
5. If National Land Agency has jurisdiction and influence over APL, why was it not a partner counterpart agency in project with MOEF? How much is the project involving the NLA? Does it have offices at provincial and district levels?
6. Are there any provincial and district-level goals or expectations for palm oil production that act as disincentives for forest conservation?
7. How has the Min. of Agriculture been involved in Outcomes 2 and 3, for example to incentivize improved palm oil production efficiency and sustainability?
8. The March 2021 progress report and PIRs state that it is difficult to get government units at different levels and of different sectors to work together. Can you give some examples of the problem?
9. Were some government actions unpredicted (ex. -Re: Presidential Instructions no.8/2018 (moratorium), and no. 5/2019 (termination of the issuance of new licenses and the improvement of management of primary natural forests and peatlands). Did the gov’t do these on its own, without KALFOR involvement? What about W. Kalimantan Regional Reg. no. 6/2018 (allocation of 7% of forest area for land-based businesses)?
10. Have the different policies, briefs and regulations that the KALFOR project has helped develop address the gaps that existed in APL policies regarding forest and biodiversity conservation and sustainable estate crop production?
11. To what extent has the KALFOR project addressed the implementation and enforcement of the new policies and regulations it has helped design to ensure the policy changes bring impacts? Has the project taken into account the capacity, budgetary and other institutional challenges to policy revision, implementation and enforcement related to forest conservation on APL areas, and what, if any, measures has it taken to address them?
12. To what extent has the KALFOR project sought to make revisions to the policies and regulations of other involved sectors and ministries, such as agriculture, to support sustainable estate crop production, and forest and biodiversity conservation? Has there been ownership of the KALFOR project’s aims by other key ministries?

13. Given the attraction of estate crop production for large and small growers, what alternative, feasible and profitable activities, or other incentives, has the KALFOR project been promoting, and have they shown success?
14. Is there some strategy being implemented to sustain the benefits from the project under Outcomes 2 and 3? And, what are the risks to sustainability?
15. Are there any activities to share the experiences from the Outcomes with the national, provincial governments and other districts to help replicate the project? What are the barriers to replication and expansion?
16. What do you think are the most important challenges and strengths regarding Outcomes 2 and 3? Are the project's outcomes 2 and 3 clear and feasible within the project timeframe?
17. If you could change the design of the Outcomes, what would you do?

Questions for Provincial Government Offices

1. Please explain your role and the role of your unit in the province government. How long have you been in your position?
2. What role does your office play in land-use planning and forest conservation in APLs?
3. What are all the activities of the project in your province? What have been the project's achievements or contributions?
4. What were the policies and practices regarding APLs before the project? Has the project helped to address the gaps that existed in APL policies regarding forest and biodiversity conservation and sustainable estate crop production?
5. Was biodiversity and ecosystem services mainstreamed in the policies and regulations in the province? If so, what process was used?
6. What have been the challenges for the project?
7. How well does the project engage different stakeholders? Who are all the stakeholders involved, and what were relations between sectors before the project? How does the project involve palm oil companies?
8. How much are women involved?
9. Since MOEF does not have control over APL lands, what conflicts exist of the land and forest? Are the agriculture and land offices also engaged in the project? How are they resolved, and how are the APL forests saved?
10. How much does the facilitation address issues of the implementation and enforcement of policies to ensure the policy changes bring impacts?
11. If the project was not there, would there be any difference? Would there be improved regulations and APL forest conservation anyway? And engagement of different stakeholders as well?

12. After the project is over, will the province have the planning and stakeholder engagement capacity to continue the project's work? What are the financial, political, legal and other challenges that could prevent the project's achievements from continuing?
13. Background question: how does the province earn its revenue? If it is from palm oil companies, is there not an incentive to support palm oil expansion?
14. Can you tell us about the Provincial to District Benefit Sharing Mechanism and your views on or experience with it?
15. Are all the forest areas in APL's really HCVF? If forests are being lost, why are forests zoned for conversion?
16. What could the project do better to conserve HCVF on APL land?

Annex 4. Performance Ratings Scales

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

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

Annex 5. MTR Mission Itinerary

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
5/5/2021	Agus Hernadi, Project Associate Outcome 2 & 3, UNDP	Male	Zoom meeting		08.00-09.00	SCH PMU
	Laksmi Banowati, National Project Manager	Female	Zoom meeting		09.00-10.15	SCH PMU
	Machfudh, Monev KalFor	Male	Zoom meeting		10.30-11.45	SCH PMU
	Nila Silviana, Regional Facilitator Kalbar - Ketapang, KalFor	Female	Zoom meeting		12.00-13.00	SCH PMU
	Rudy, Project Assistant Kalbar-Ketapang, KalFor	Male	Zoom meeting		12.00-13.00	SCH PMU
	Dodi Andriadi Suhendar, Project Assistance Group Jakarta	Male	Zoom meeting		13.00-14.00	SCH PMU
	Serenus Iriandy, Project Assistance Group Sintang	Male	Zoom meeting		13.00-14.01	SCH PMU
	Raditya Mohammad Hasby, Project Assistance Group Kotawaringin Barat	Male	Zoom meeting		13.00-14.02	SCH PMU
	Resky Udayanti, Project Assistance Group Kutai Timur	Female	Zoom meeting		13.00-14.03	SCH PMU
	Muthia Evirayani, Junior Project Clerk	Female	Zoom meeting		13.00-14.04	SCH PMU
6/5/2021	Dessy Ratnasari, Regional Facilitator Sintang	Female	Zoom meeting		08.00-09.00	SCH PMU
	Alhamdi Yosef Herman, Project Assistant GIS	Male	Zoom meeting		09.00-10.00	SCH PMU
	Panthom Priyandoko, Regional Facilitator East Kalimantan	Male	Zoom meeting		10.15-11.15	SCH PMU
	Sitti Haryani Kadir, Regional Facilitator Central Kalimantan	Female	Zoom meeting		12.00-13.00	SCH PMU
7/5/2021	Nefretari Sari, Project Associate Outcome 1 & 4	Female	Zoom meeting		08.00-09.00	SCH PMU
	Ardiansyah Abidin, Project Assistant Design and Communication	Male	Zoom meeting		08.00-09.00	SCH PMU
17/5/2021	Agus Prabowo, Head of Unit Environment, UNDP	Male	Zoom		08.00-09.00	UNDP

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
			meeting			
	Yuyu Rahayu, Former Consultant	Female	Zoom meeting		09.15-10.15	Implementing Partner
	Judin Purwanto, DNPd of KalFor	Male	Zoom meeting		10.30-11.30	UNDP
	Anton Sri P, Programme Officer, Env Unit UNDP	Male	Zoom meeting		11.45-12.45	UNDP
	Iwan Kurniawan, Programme Manager of NRM, Unv Unit UNDP	Male	Zoom meeting		11.45-12.45	UNDP
	Syahyani, Sekretaris DLH Kotawaringin Barat, Kalteng	Male	Zoom meeting		13.00-14.00	Local Government
	Bambang Djatmiko, Kepala DLH Kotawaringin Barat	Male	Zoom meeting		14.15-15.15	Local Government
	M. Arifin, Kasi RHL, Dishut Kalteng	Male	Zoom meeting		15.30-16.30	Local Government
18/5/2021	Belinda Arunawati M., NPD of KalFor Project	Female	Zoom meeting		08.00-09.00	SCH PMU
	Ari Sylvia Febriyanti, Monev KalFor	Female	Zoom meeting		09.15-10.15	SCH PMU
	Yana Juhana, Monev KalFor	Male	Zoom meeting		09.15-10.15	SCH PMU
	Sigit Nugroho, Monev KalFor	Male	Zoom meeting		09.15-10.15	SCH PMU
	Nurlela Komalasari, Secretariate Monev KalFor/International Cooperation Section Chief	Female	Zoom meeting		09.15-10.15	SCH PMU
	Dedi Irawadi, Head of Center of Technology and Data, LAPAN	Male	Zoom meeting		10.30-11.30	Implementing Partner
	Rubini Jusuf, Center of Technology and Data, LAPAN	Male	Zoom meeting		10.30-11.30	Implementing Partner
	Lusy A Sardy, Project Assistant Finance	Female	Zoom meeting		11.45-12.45	SCH PMU
	Septiandi, Project Assistant Procurement	Male	Zoom meeting		11.45-12.45	SCH PMU
	Joko Mulyono, Staff Bid. RHL, Dishut Kalteng	Male	Zoom meeting		14.15-15.15	SCH PMU
	Pathur Rachman As'ad, Biro Ekonomi Pemprov Kaltim	Male	Zoom		15.30-16.30	SCH PMU

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
			meeting			
19/5/2021	Laksmi Dhewanthi, OFD of GEF Indonesia	Female	Zoom meeting		08.00-09.00	GEF
	Nur Hygiawati R., Director of Forestry and Water Resource Conservation	Female	Zoom meeting		09.15-10.15	National Government
	Sunanto, Kasubis SDAL, Bappeda Kalbar	Male	Zoom meeting		10.30-11.30	SCH PMU
	Ujang Rachmad, Disbun Kaltim	Male	Zoom meeting		13.00-14.00	SCH PMU
	Kustanto, Kabalai BPKH Samarinda, Kaltim	Male	Zoom meeting		14.15-15.15	SCH PMU
	Andi Z. A., Kasi Informasi SDHL, BPKH Samarinda, Kaltim	Male	Zoom meeting		14.15-15.15	SCH PMU
	Asmirilda, Kabid Disbun Kaltim	Female	Zoom meeting		15.30-16.30	SCH PMU
20/5/2021	Albertus Agung Imam, DLH Kalbar	Male	Zoom meeting		08.00-09.00	SCH PMU
	Doni Prabowo, Kasi PKH, BPKH Pontianak, Kalbar	Male	Zoom meeting		13.00-14.00	Local Government
	Tarmidji, Kasi Pemantau Kualitas Lingkungan, DLH Kalteng	Male	Zoom meeting		14.15-15.15	Local Government
	Nanang Hanafi, Kaprodi Kehutanan, UMPR, Kalteng	Male	Zoom meeting		15.30-16.30	Implementing Partner
21/5/2021	Laksmi Banowati, National Project Manager	Female	Zoom meeting		06.00-07.00	SCH PMU
	M Yayat Affianto, Monitoring and Reporting Officer for NRM Cluster	Male	Zoom meeting		08.00-09.00	UNDP
	Ucup Supriyanta, Kepala Balitbang Ketapang	Male	Zoom meeting		09.15-10.15	Local Government
	Suherman, PJ Sekda Ketapang	Male	Zoom meeting		09.15-10.15	Local Government
	Adi Mulia, Sekretaris Dinas TPHP, Ketapang, Kalbar	Male	Zoom meeting		10.30-11.30	Local Government
	Tashi Dorji, Consultant HQ/GEF	Male	Zoom meeting		11.45-12.45	GEF
	Kaavya Varma, Consultant HQ/GEF	Male	Zoom		11.45-12.45	GEF

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
			meeting			
	Maryami, TPHP Kotawaringin Barat, Kalteng	Female	Zoom meeting		13.00-14.00	Local Government
	Michael Padmanaba, LSM Inobu, Kotawaringin Barat, Kalteng	Male	Zoom meeting		15.30-16.30	Local Government
24-5-2021	Arif Setya Budi, Plantation and Agricultur Office of Sintang Regency	Male	Zoom meeting		08.00-09.00	Local Government
	Martin Rantan, Head of District Office of Ketapang	Male	Zoom meeting		10.30-11.30	Local Government
	Wawan Hermawan, Forum Kalbar	Male	Zoom meeting		11.45-12.45	Local Government
	Aji Wijaya Effendie, Head of Kutai Timur District Office	Male	Zoom meeting		13.00-14.00	Local Government
	Muhammad Amin Abdul Karim, Kutai Timur District Plantation Service	Male	Zoom meeting		14.15-15.15	Local Government
	Ery Mulyadi, Development Planning Agency in Kutai Timur District	Male	Zoom meeting		15.30-16.30	Local Government
25/5/2021	Yudha Prawiyanto, Environmental Service of Sintang District	Male	Zoom meeting		08.00-09.00	Local Government
	Kartiyus, Secretary of Sintang Forum	Male	Zoom meeting		09.15-10.15	Local Government
	Widian Sukri, Secretariate Coordinator of Sintang Forum	Male	Zoom meeting		09.15-10.15	Local Government
	Gusti Hardiansyah, Universitas Tanjung Pura	Male	Zoom meeting		10.30-11.30	Implementing Partner
	Irawansyah, Sekda Kutai Timur, Kaltim	Male	Zoom meeting		14.15-15.15	Local Government
	Didik Prayitno, Sustainable Plantation Forum of Kutai Timur District	Male	Zoom meeting		15.30-16.30	Local Government
26/5/2021	Laksmi Banowati, National Project Manager	Female	Zoom meeting		06.00-07.00	SCH PMU
	Agus Hernadi, Project Associate Outcome 2 & 3, UNDP	Male	Zoom meeting		06.00-07.00	SCH PMU
	Rudianto Amirta, Dean Mulawarman University	Male	Zoom meeting		08.00-09.00	Implementing Partner
	Nyoto Santoso, IPB University	Male	Zoom		09.15-10.15	Implementing

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
			meeting			Partner
	Perdinan, IPB University	Male	Zoom meeting		09.15-10.15	Implementing Partner
	Ovi Luthfia Faizal, Central Kalimantan Provincial, Plantation Service	Male	Zoom meeting		13.00-14.00	Local Government
	Fahruni, Universitas Muhammadiyah Palangkaraya	Male	Zoom meeting		14.15-15.15	Implementing Partner
	Esti Handayani, Forest and Fisheries Herbs Researcher, Universitas Mulawarman	Female	Zoom meeting		15.30-16.30	Implementing Partner
27/5/2021	Billy M. Hasbi, Yayasan Solidaridad Network Indonesia	Male	Zoom meeting		08.00-09.00	Implementing Partner
	Arief Perkasa, Earthworm Foundation	Male	Zoom meeting		08.00-09.00	Implementing Partner
	Ujang Susep Irawan, Operasi Wallacea Terpadu	Male	Zoom meeting		09.15-10.15	Implementing Partner
	Antonius, Universitas Kapuas	Male	Zoom meeting		10.30-11.30	Implementing Partner
	Mutia Afianti, Terasmitra	Female	Zoom meeting		13.00-14.00	Implementing Partner
28/5/2021	Imanuel Tibian, PT. Kencana Alam Permai	Male	Zoom meeting		08.00-09.00	Private
	Saeiful Bahri, PT Dharma Satya Nusantara	Male	Zoom meeting		10.30-11.30	Private
	Deni Wahyudi, GIZ-SCPOPP	Male	Zoom meeting		13.00-14.00	Implementing Partner
	Mohammad Nasir, CV Parakayu	Male	Zoom meeting		14.15-15.15	Implementing Partner
	Rustam Fahmy, CV Geosylva Lestari	Male	Zoom meeting		15.30-16.30	Implementing Partner
31/5/2021	Tamrin, head of Saka Village	Male	Zoom meeting		08.00-09.00	Community members of the community of Saka and Sempayau Village
	Tabyani, Ketua BPD, Saka Village	Male	Zoom meeting		08.00-09.00	
	Purdah, Community Leader of Saka Village	Male	Zoom meeting		08.00-09.00	
	Pei, Head of Sempayau Village	Male	Zoom		08.00-09.00	

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
			meeting			
	Ani Alisna, Community leader of Sempayau Village	Female	Zoom meeting		08.00-09.00	
	Sofendy, BPD, Sempayau Village	Male	Zoom meeting		08.00-09.00	
	Fransiskus Heri, Head of Ensaid Panjang Village	Male	Zoom meeting		09.15-10.15	Community members of the Ensaid Panjang Village
	Recardus Sembay, Forest Management Forum, Ensaid Panjang	Male	Zoom meeting		09.15-10.15	
	Hermanus Bintang, Traditional Head of Betang House, Desa Ensaid Panjang	Male	Zoom meeting		09.15-10.15	
	Katarina Andriani, Head of Weaving Group Desa Ensaid Panjang	Female	Zoom meeting		09.15-10.15	
	Helena, Younger generation of Ensaid Panjang	Female	Zoom meeting		09.15-10.15	Community members of the Kotawaringin Barat District
	Rini, Saka Madu Kelulut	Female	Zoom meeting		10.30-11.30	
	Sehat, Jurung Tiga Park	Male	Zoom meeting		10.30-11.30	
	Sugeng Riyadi, Jurung Tiga Park	Male	Zoom meeting		10.30-11.30	
	Ferari Puji, Local Champion	Female	Zoom meeting		10.30-11.30	Local Government
	Daddy Ruhayat, Excecutive Chairman of Regional Council on Climate Change	Male	Zoom meeting		11.45-12.45	
	Multi Ali, Kawal Borneo Community	Male	Zoom meeting		13.00-14.00	Implementing Partner
1/6/2021	Laksmi Banowati, National Project Manager	Female	Zoom meeting		07.00-08.00	SCH PMU
	Marius Marcellus, Expert - Former Consultant	Male	Zoom meeting		08.00-09.00	Implementing Partner
	Sigit Wibisono, KPH Kotawaringin Barat	Male	Zoom meeting		09.15-10.15	Local Government
	Kaavya Varma, Consultant HQ/GEF	Male	Zoom meeting		10.30-11.30	GEF
4/6/2021	Laksmi Banowati, National Project Manager	Female	Zoom		06.00-07.00	SCH PMU

Date	Name	Gender	Meeting Location	Mode of Transport and Travel Time	Meeting Start & End Time	Type of stakeholder
			meeting			

Annex 6. List of persons interviewed

No.	Name	Position	Organization/Institution	Contact Info (email, telephone)		Gender
				Email	Telephone	
1	Laksmi Banowati	NPM KalFor	Project Management Unit KalFor	laksmi.banowati@undp.org	081213879059	Female
2	Machfudh	Monev Consultant	Project Management Unit KalFor	mfood2003@yahoo.com	0811110027	Male
3	Nefretari Sari	Project Associate Outcome 1 & 4	Project Management Unit KalFor	nefretari.sari@undp.org	0816745649	Female
4	Agus Hernadi	Project Associate Outcome 2 & 3	Project Management Unit KalFor	agus.hernadi@undp.org	0811840733	Male
5	Dessy Ratnasari	Regional Facilitator Sintang	Project Management Unit KalFor	dessy.ratnasari@undp.org	08125614378	Female
6	Nila Silvana	Regional Facilitator West Kalimantan & Ketapang	Project Management Unit KalFor	nila.silvana@undp.org	081345347071	Female
7	Panthom Priyandoko	Regional Facilitator, East Kalimantan & Kutai Timur	Project Management Unit KalFor	panthom.priyandoko@undp.org	0811556539	Male
8	Sitti Haryani Kadir	Regional Facilitator, Central Kalimantan	Project Management Unit KalFor	sitti.haryani@undp.org	081340166872	Female
9	Septiandi	Project Assisstant Procurement	Project Management Unit KalFor	septiandi@undp.org	087778535553	Male
10	Lusy Anggraini Sardy	Project Assisstant Finance	Project Management Unit KalFor	lusy.sardy@undp.org	085219494894	Female

No.	Name	Position	Organization/Institution	Contact Info (email, telephone)		Gender
				Email	Telephone	
11	Dodi Andriadi Suhendar	Project Assisstant Gender	Project Management Unit KalFor	dodi.suhendar@undp.org	0818102565	Male
12	Muthia Evirayani	Junior Project Clerk	Project Management Unit KalFor	muthia.evirayani@undp.org	085658423276	Female
13	Serenus Iriandy	Project Assisstant Sintang	Project Management Unit KalFor	serenus.iriandy@undp.org	085245670955	Male
14	Rudy	Project Assisstant Ketapang	Project Management Unit KalFor	rudy@undp.org	081258375522	Male
15	Raditya Mohamad Hasbi	Project Assisstant Kotawaringin Barat	Project Management Unit KalFor	raditya.hasbi@undp.org	081287032920	Male
16	Reski Udayanti	Project Assisstant, East Kalimantan & Kutai Timur	Project Management Unit KalFor	reski.udayanti@undp.org	085250804443	Female
17	Alhamdi Yosef Herman	Project Assisstant GIS	Project Management Unit KalFor	alhamdi.herman@undp.org	085695408008	Male
18	Ardiansyah Abidin	Project Assisstant Design & Comm	Project Management Unit KalFor	ardiansyah.abidin@undp.org	085921118919	Male
19	Agus Prabowo	Head Unit of Environment	UNDP Indonesia	agus.prabowo@undp.org	0811883572	Male
20	Anton Sri Probiyantono	Program Officer, Environment Unit	UNDP Indonesia	anton.probiyantono@undp.org	08119203435	Male
21	Iwan Kurniawan	Program Officer for NRM, Environment Unit	UNDP Indonesia	iwan.kurniawan@undp.org	08129008050	Male

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22	Muhammad Yayat Affianto	Monitoring and Reporting Officer for NRM Cluster	UNDP Indonesia	muhammad.afiato@undp.org		Male
23	Laksmi Dhewanthi	OP GEF Indonesia	OFP of GEF	laksmidr@gmail.com	0215730385	Female
24	Tashi Dorji	Consultant HQ/GEF	RBAP			
25	Kaavya Varma	Consultant HQ/GEF	RBAP			
26	Belinda Arunarwati Margono	Dir of Forest Inventory and Monitoring of Forest Resources /NPD KalFor	Directorate General of Forest Plan and Environment Governance, Ministry of Environment and Forestry	arunarwati@gmail.com	081383684855	Female
27	Judin Purwanto	Head of Sub-Dir Forest PSDH/DNPD KalFor	Directorate General of Forest Plan and Environment Governance, Ministry of Environment and Forestry	judinpurwanto@gmail.com	081319541442	Male
28	Ari Sylvia Febriyanti	Monev KalFor	Directorate General of Forest Plan and Environment Governance, Ministry of Environment and Forestry	arrie_sf@yahoo.com	0811828837	Female

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29	Nurlela Komalasari	Monev KalFor	Directorate General of Forest Plan and Environment Governance, Ministry of Environment and Forestry	donny_satria@yahoo.com	08157941064	Male
30	Sigit Nugroho	Monev KalFor	Directorate General of Forest Plan and Environment Governance, Ministry of Environment and Forestry	sigit.nugroho.ssi@gmail.com	08194061320	Male
31	Yana Juhana	Monev KalFor	Directorate General of Forest Plan and Environment Governance, Ministry of Environment and Forestry	yana.juhana@yahoo.com	081314239123	Male
32	Nur Hygiawati Rahayu	Director of Forestry and Water Resource Conservation	National Planning Development Agency (BAPPENAS)	nur.hrahayu@bappenas.go.id	08179855116	Female
33	Dedi Irawadi	Head of Center of Technology and Data	LAPAN	dedi.irawadi@lapan.go.id	0811442358	Male
34	Rubini Jusuf	Center of technology and Data	LAPAN	rubini.jusuf@lapan.go.id	08119338980	Male

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				Email	Telephone	
35	Suherman	PJ. Sekda Ketapang Kalbar	West Kalimantan Head of district Office	-	08125799725	Male
36	Jovi Indo Barus	Biro Hukum Kalteng	Central Kalimantan Governor Office	-	082148706321	Male
37	Pathur Rachman As'ad	Economic Bureau Officer	East Kalimantan Governor Office	pathuy@gmail.com	082255137603	Male
38	Sunanto	Kepala Sub Bidang Sumberdaya Alam dan Lingkungan	Regional Planning Development Agency West Kalimantan	nanto.ptk@gmail.com	081256200149	Male
39	Ovi Luthfia Faizal	Head of Business Development and Institutional Empowerment Division	Central Kalimantan Provincial Plantation Service	oviluthfiafaizal@yahoo.co.id	08125103387	Male
40	Ir. Asmirilda, MP.	Head of Sustainable Plantation Division	East Kalimantan Provincial Plantation Service	asmi.pml@gmail.com	081346552241	Female
41	Ir Ujang Rachmad, M.Sc.	Head of East Kalimantan Provincial Office	East Kalimantan Provincial Plantation Service	ujangrachmad@gmail.com	081222619777	Male
42	Albertus Agung Imam Kalis	West Kalimantan Provincial Environment and Forestry Service	West Kalimantan Provincial Environment and Forestry Service	agungkalis@yahoo.com	081345678877	Male
43	Arifin	Head of Forest and Land Rehabilitation Sub Division	Central Kalimantan Provincial Forestry Service	arifin.setia71@gmail.com	0811525384	Male

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44	Tarmidzi	Head of the Environmental Quality Monitoring Section	Central Kalimantan Provincial Environment Service	-	08125034451	Male
45	Doni Prabowo	BPKH III Pontianak	BPKH Wil III Pontianak	doni_prabowo16@yahoo.com	081345344151	Male
46	Novie Trionoadi	BPKH III Pontianak	BPKH Wil III Pontianak	trionoadi@yahoo.com	081353309600	Male
47	Kustanto	Head of Region Office	Central Forest Region (BPKH) IV Samarinda	-	-	Male
48	Andi Zafryuddin Alma'rief	Environment & Forest Resources Information Officer.	Central Forest Region (BPKH) IV Samarinda	anzafal@gmail.com	081347572893	Male
49	Doni Sri Putra	BPKH XXI Palangkaraya	BPKH Will XXI Palangkaraya	donisriputra@gmail.com	081380141898	Male
50	Syahyani	Seretary of Environment Service	Kotawaringin Barat District Environment Service	syahyani74@gmail.com	08125095431	Male
51	Bambang Djatmiko	Head of Environment Service	Kotawaringin Barat District Environment Service	bang_djati18@yahoo.com	08125218955	Male
52	Aji Wijaya Effendie, S.Hut., M.Si.	Head of Kutai Timur District Office	Kutai Timur District Environment Service	ajiwijayaeffendie@gmail.com	081250246866	Male

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				Email	Telephone	
53	Ucup Supriyatna	Kepala Badan Penelitian dan Pengembangan Kab. Ketapang	Environmental Service of Ketapang District	kangucuptea@gmail.com	082151504727	Male
54	Yudha Prawiyanto	Environmental Service of Sintang District	Environmental Service of Sintang District	yudha.stg@yahoo.co.id	081345213562	Male
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56	Sigit Wibisono	Forest Consolidation Center of Kotawaringin Barat	Forest Consolidation Center of Kotawaringin Barat	wibisonoster@gmail.com	085249041455	Male
57	M. Amin Abdul Karim, S.Hut. MM.	Secretary of District Office	Kutai Timur District Plantation Service	thopuaurinding@gmail.com	085325919999	Male
58	Adi Mulia	Distanakbun Ketapang	Plantation and Agriculture Office of Ketapang District	adimulia999@yahoo.co	082151504727	Male
59	Arif Setya Budi	Plantation and Agriculture Office of Sintang Regency	Plantation and Agriculture Office of Sintang Regency	arsebu1975@gmail.com	081345911088	Male
60	Wawan Hermawan	Head of Sek-Ber	Province Forum of West Kalimantan	hermawan0512@gmail.com	081257281455	Male

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				Email	Telephone	
61	Joko Mulyono	Staff of Forest and Land Rehabilitation Sub Division	Province Forum of Central Kalimantan	naufaldino03@gmail.com	082149482999	Male
62	Prof. Dr. Daddy Ruhiyat	Executive Chairman	Province forum of East Kalimantan: East Kalimantan Regional Council on Climate Change (DDPI)	daddyruhiyat@yahoo.com	08125326970	Male
63	dr. H. Jarot Winarno, M. Med. Ph	Head of District Office of Sintang	Head of District Office of Sintang	jarot.winarno.jw@gmail.com	081257033668	Male
64	Martin Rantan, S.H	Head of District Office of Ketapang	Head of District Office of Ketapang	-	-	Male
65	Hj. Nurhidayah	Head of District Office of Kotawaringin Barat	Head of District Office of Kotawaringin Barat	-	-	Female
66	Suyanto	Regional Secretary of Kotawaringin Barat	District Office of Kotawaringin Barat	suyantodiardja1@gmail.com	8125024154	Male
67	<u>Dr. H. Irawansyah, M.Si</u>	Secretary of Kutai Timur District	Kutai Timur District	-	-	Male
68	Ery Mulyadi, SP., MM.	Head of Regional Planning and Dev. Division	Kutai Timur District Development Planning Agency	1163.ery@gmail.com	085349804757	Male

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71	Michael Padmanaba	Conservation and Biodiversity Manager	Earth Innovation Research Institue	mpadmanaba@inobu.org	08121105828	Male
72	Ir. Didik Prayitno, M.Sc.	Member / Head of Sustainable Plantation Division on Kutai Timur Distict Plantation Service	Sustainable Plantation Forum of Kutai Timur District	didikprayitno@ymail.com	081346218578	Male
73	Gusti Hardiansyah	Dean of Faculty of Forestry	Universitas Tanjung Pura	gusti.hardiansyah@gmail.com	082254948985	Male
74	Prof. Dr. Rudianto Amirta	Dean of the Faculty of Forestry	Mulawarman University	rudiantoamirta@gmail.com	081347747651	Male
75	Prof. Dr. Esti Handayani	Forest and Fisheries Herbs Researcher	Mulawarman University	estieriyadi2011@gmail.com	0811553981	Female
76	Nanang Hanafi	Department of Forestry, University of Muhammadiyah Palangkaraya	Universitas Muhammadiyah Palangkaraya	nananghanafi@gmail.com	081349615781	Male
77	Fahruni	Universitas Muhammadiyah Palangkaraya	Universitas Muhammadiyah Palangkaraya	fahruni1974@gmail.com	085251602389	Male

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79	Nyoto Santoso	IPB university	IPB University	ns.bagindo@yahoo.co.id	08111190043	Male
80	Perdinan	IPB University	IPB University	perdinan@apps.ipb.ac.id	085693555405	Male
81	Billy Hasbi	Solidaridad Indonesia	Non-Governmental Organization (CSO)	billy.hasbi@Solidaridadnetwork.org	082351070933	Male
82	Ujang Susep Irawan	Operasi Wallacea Terpadu (OWT)	Non-Governmental Organization (CSO)	ujangsi@yahoo.com	081296086986	Male
83	Mukti Ali	Kawal Borneo Community Foundation (East Kalimantan)	Non-Governmental Organization (CSO)	ali@kawalborneo.org	08114081414	Male
84	Mutia Afianti	Terasmitra	Non-Governmental Organization (CSO)	mutiaafianti@gmail.com	081386595068	Female
85	Arif Perkasa	Earthworm Foundation (East Kalimantan)	Non-Governmental Organization (MPC)	a.perkasa@earthworm.org	081381644488	Male
86	Deni Wahyudi	SCPOPP GIZ (East Kalimantan)	Non-Governmental Organization (MPC)	deni.wahyudi@giz.de	08115597085	Male

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89	Immanuel	PT. Kencana Alam Permai (KAP)	Palm Oil Companies	Immanuel.tibian72@gmail.com	0811527704	Male
90	Saeful Bahri	PT. DSN (East Kalimantan)	Palm Oil Companies	dadam.saefulbahri@dsngroup.co.id	081210345972	Male
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92	Tabyani	Head of BPD, Saka Village	Local Communities	-	-	Male
93	Thamrin	Head of Saka Village	Local Communities	-	-	Male
94	Purdah	Tokoh masyarakat Saka Village	Local Communities	-	-	Male
95	Pei Sapei	Head of Sempayau Village	Local Communities	-	-	Male
96	Ani Alisna	Tokoh masyarakat Sempayau Village	Local Communities	-	-	Female

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				Email	Telephone	
97	Sofendy	BPD, Sempayau Village	Local Communities	-	-	Male
98	Fransiskus Heri	Head of Ensaid Panjang Village	Local Communities	-	-	Male
99	Recardus Sembay	Pulau Seribu Management Institute (LPPS), Ensai Panjang	Local Communities	-	-	Male
100	Hermanus Bintang	Kepala Adat Rumah Betang, Ensaid Panjang Village	Local Communities	-	-	Male
101	Katarina Andriani	Ketua Kelompok Penenun Ensaid Panjang Village	Local Communities	-	-	Female
102	Helena	Perwakilan Generasi Muda Ensaid Panjang	Local Communities	-	-	Female
103	Rini	Saka Madu Kelulut Community	Local Communities	-	-	Female
104	Sugeng Riyadi	Jurung Tiga Park	Local Communities	-	-	Male
105	Ferari Puji	Local champion	Local Communities	-	-	Female

Annex 7. List of documents reviewed

1. Government Constitution No. 11 the year 2020 on Job Creation
2. Presidential Instruction No. 5 the year 2019 on Moratorium of Primary Forest and Peatland Permits
3. West Kalimantan Governor Regulation No. 137 the year 2020 on Community Monitoring in Supervision of Conservation Areas in Sustainable Land-Based Business Management
4. West Kalimantan Governor Regulation No. 60 the year 2019 on Procedures and Mechanisms for Designating Conservation Areas in Sustainable Land-Based Business Management
5. Head of Kotawaringin Barat District Regulation No. 19 the year 2021 on Application of District Budget Allocation based on Environment and Forestry (Ecological Fiscal Transfer)
6. West Kalimantan Governor Regulation No. 8 the year 2019 on Forest Management
7. Government Regulation No. 23 year 2021 on Forestry Administration
8. Government Regulation No. 24 the year 2021 on Administrative Sanction Imposition Procedures and Non-tax State Implementation Procedures from Administrative Fine in Forestry
9. East Kalimantan Governor Regulation No. 12 the 2021 on HCV Criteria
10. East Kalimantan Provincial Regulation No. 7 the year 2018 on Sustainable Plantation Development
11. West Kalimantan Governor Regulation No. 139 the year 2020 on Guidelines for Granting Administrative Disincentive in Sustainable Land-Based Business Management
12. West Kalimantan Governor Regulation No. 115 the year 2020 on Protection, Management and Assistance in Sustainable Land-based Business Management in Conservation Areas
13. West Kalimantan Governor Regulation No. 6 the year 2018 on Sustainable Land Based Business Management
14. Sintang Head District Letter (no. 522/1827/SDA/2021) on determination of conservation areas in palm oil plantation permits (follow up of the West Kalimantan Regional Regulation no 6. the year 2018 and West Kalimantan Governor Regulation no. 60 year 2019)
15. Presidential Instruction No. 8 the year 2018 on Moratorium and Evaluation of Palm Oil Plantation Permits and Increased Productivity of Palm Oil Permits and Increased Productivity of Palm Oil Plantations
16. Draft of Minister of Environment and Forestry Regulation on Payment for Environmental Services
17. Draft of East Kalimantan Governor Regulation the year 2021 on Benefit Sharing Mechanism for GHG
18. Draft of Kotawaringin Barat District Regulation on Green Open Space Management
19. Draft of Head of Ketapang District Regulation on Village Fund Allocation, for Tax Results and Regional Retribution for 2020 Budget Year (Ecological Fiscal Transfer)
20. Draft of Central Kalimantan Governor Regulation on Community Forest
21. Draft of Central Kalimantan Governor Regulation on Urban Forest
22. Draft of Head of Kutai Timur District Regulation on Change to the Head of Kutai Timur District Regulation on Village Fund Allocation (Ecological Fiscal Transfer)
23. Draft of Head of Sintang District Regulation on Implementation of Villages Transfer Fund Based on Tembawang (Ecological Fiscal Transfer)
24. Draft of Central Kalimantan Governor Regulation on Forest Park (TAHURA)
25. Draft of Minister of Environment and Forestry Regulation on Payment for Environmental Services
26. Sempayau Village Consultative Body Decree No. 2 the year 2021 – Agreement on the establishment of Draft Village Regulation concerning the establishment of the Pulau Seribu Management Institution
27. Sempayau Village Regulation No. 2 the year 2021 – Establishment of the Pulau Seribu Management Institution for Sempayau Village

28. Sempayau Village Head Decree No. 05.2011 the year 2020 – Field Ground Check Team
29. Sempayau Village Regulation No. 1 the year 2021 – Establishment of Utilization and Protection Area for Non-State Forest Area (APL) in Sempayau Village
30. Sempayau Village Consultative Body Decree No. 1 of 2021 – The Agreement on the Establishment of Draft Village Regulations - the Designation of Utilization Areas and Protected Areas for Sempayau Village
31. Saka village Consultative Body Decree No. 2 the year 2021 – Agreement on the Establishment of Draft Village Regulations Concerning the Designation of Village-owned Forests
32. Village Regulation of Saka Village No. 2 the year 2021 – Establishment of Village Owned Forest Management Institution
33. Memorandum of Understanding of Saka Head Village and Saka Village Consultative Body no. 2 and no. 3 the year 2021 – Village Regulation No. 2 / 2021 concerning Establishment of Village-owned Forest Management Unit
34. Saka Village Head Decree No. 2004.05-01 the year 2021 – The Structure of Village-Owned Forest Management Institution
35. Saka Village Consultative Body Decree No. 4 the year 2021 – Agreement on the Stipulation of Draft Village Regulations concerning the establishment of Village-owned Forest Management
36. Saka Village Regulation no. 1 the year 2021 – Village Owned Forest Designation
37. Batu Lepoq Village Head Decree No. 142 of 2020 – Establishment of Batu Lepoq Forest Management Village Unit
38. Batu Lepoq Village Head Decree No. 141 the year 2020 – Designation of Non-state owned forest area as Batu Lepoq's Forest
39. Regent Regulation of Kotawaringin Barat No. the year 2018 on the Regional Plan of Kotawaringin Barat 2019
40. Statement Letter of Terasmitra – Survey Data of village pilot projects (Kotawaringin Hilir, Lada Mandala Jaya and Pasir Panjang) in Kotawaringin Barat
41. Minutes of meeting – Calculation of Carbon Stock in Kalfor Project sites
42. PIF (Project Initiation Plan)
43. UNDP Initiation Plan
44. UNDP Project Document
45. UNDP Social and Environmental Screening Procedure (SESP)
46. Project Inception Report
47. Project Implementation Report Year 2019 -2020
48. Annual Report Year 2018-2020
49. KalFor Project Progress Report
50. National Project Activity Report
51. Ketapang District Project Activity Report
52. Sintang District Project Activity Report
53. Kutai Timur District Project Activity Report
54. Kotawaringin Barat District Project Activity Report
55. Study Report - FPIC Document
56. Country Programme Documents (CPD)
57. Quarterly Monitoring Report (QMR) – Internal Project Assurance Report (IPAR)
58. Study Report – Training on Product diversification of woven fabric in Ensaid Panjang Village
59. Study Report – Training on Development of Village Regulation for designation and management of APL Forest
60. Study Report – Incentive mechanism for APL Management by CV. Dhen Konsultan
61. Study Report – Academic Manuscript for apportionment and determination of Village Fund Allocation (PAKLIK)

62. Study Report - Implementing The EFT at District Level Mechanism Concept in Kutai Timur District (*Transfer Anggaran Berbasis Hutan dan Lingkungan* - ASISTANLING)
63. Study Report - Inter-connection of APL Forest and State Forest – Kutai Timur
64. Study Report - Immune Booster Herbs KalFor East Kalimantan
65. Study Report – Report on Basic and Advance Training of GIS in Kutai Timur 2020
66. Study Report - CNA n Building Strategy Capacity KalFor - LSP
67. Study Report - Communication Strategy
68. Study Report - Economic Services and Economic Valuation in APL - LAPI ITB
69. Study Report - Gender Strategy and Action Plan - MCS
70. Study Report - Improving Forest Released Mechanism and Developing Policy Options for Plantation Company on Management of HCVF - IPB
71. Study Report - KalFor Youth Innovation 2020
72. Study Report - Scenario FMU (KPH) - Sebijak
73. Study Report - Baseline HCV Sintang District
74. Study Report - Baseline HCV Ketapang District
75. Study Report - Baseline HCV Kotawaringin Barat District
76. Study Report - Roadmap Kotawaringin Barat
77. Study Report - Identification and Management of HCV (ABKT) in APL and APK in Kutai Timur
78. Study Report - Study on Management Model and Endemic Flora-Fauna in the Kutai Timur District Botanical Garden - Kutai Timur
79. Study Report - The Implementation of Presidential Instruction Number 8 of 2018 concerning Postponement and Evaluation of Oil Palm Plantation Permit and Increased Productivity of Oil Palm Plantation in Kutai Timur
80. Study Report - Training Advance GIS for Kutai Timur 2020 - AKA
81. Study Report - Work Plan Development 2020 - 2024 Kalimantan Forest Project (KalFor) in Kutai Timur
82. Document Minutes of Meeting Project Board Meeting
83. Document Gender Strategy and Action Plan for Kalfor Project
84. Document Policy Brief Gender Mainstreaming for APL Forest Management
85. Document Kalfor-10GEF 7 Core Indicators
86. Activities Book of Carbon Sequestration and Emission

Annex 8. Confirmed Sources of Co-financing for the Project by Name and by Type

PLEASE COMPLETE FOR ALL PROJECTS AT MTR AND TE STAGES

Please include evidence for co-financing for the project with this form

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment mobilized	Amount (\$)
GEF Agency	UNDP	In-kind	Recurrent expenditures	26,224
Recipient Country Government	Ministry of Environment and Forestry	In-kind	Recurrent expenditures	31,659,410
Total				31,685,634

Annex 9. Community-Level Trainings, & Attendee Figures Disaggregated by Gender

Sintang District

Villages	Male	Female	Total
Ensaid Panjang	158	111	269
Socialization (FPIC)	30	32	62
FGD of Forest and Natural Resources Management	22	7	29
Mapping Forested Areas in APL	17	-	17
Discussion of Participatory Forest Mapping Results in APL	29	7	36
Establishment of forest management organizations and training of forest management institutions	22	6	28
Weaving Dayak ikat product diversification training	-	20	20
Financial Skills Training	-	21	21
Remapping of Tawang Sepayan and Tawang Semilas	16	-	16
Weaving product diversification training for youth	2	18	20
Ecotourism Training	10	-	10
Spatial Planning Training	10	-	10
Bangun	128	56	184
Socialization (FPIC)	26	32	58
FGD of Forest and Natural Resources Management	17	-	17
Mapping Forested Areas in APL	15	-	15
Discussion of Results of Participatory Forest Mapping	24	12	36
Formation of forest management organizations and training of forest management institutions	18	6	24
Preliminary discussion of exploring the collaboration of the Bangun Village community and PT. KAP	7	1	8
The second discussion explores the collaboration of the Bangun Village community and PT. KAP	21	5	26
Sungai Buluh	148	50	198
Socialization (FPIC)	45	7	52
FGD of Forest and Natural Resources Management	19	4	23
Mapping Forested Areas in APL	16	-	16
Discussion of Results of Participatory Forest Mapping	33	12	45
Formation of forest management organizations and training of forest management institutions	21	7	28
Financial Skills Training	5	19	24
Spatial Planning Training	9	1	10
Total	434	217	651

Ketapang District

Villages	Male	Female	Total
Sinar Kuri	252	82	334
Socialization (FPIC)	14	3	17
Social Identification & Village Planning	15	17	32
Seedling and Nursery Making Training	10	1	11
Durian product Training	3	4	7
Village conservation cadre training (District level)	11	5	16
BUMDES capacity building training (District level)	14	6	20

Nursery Development	31	5	36
Mixed garden demonstration plot development and maintenance (embroidery)	39	8	47
Participatory mapping APL	7	-	7
Village Pegulation	8	1	9
Facilitation of APL Management Planning	50	16	66
Formation of APL Forum in Sungai Laur District	8	2	10
Expose the smart practice of APL management in the Musreimbang activities of Sungai Laur District	42	14	56
Riam Bunut	158	50	205
Socialization (FPIC)	29	13	42
Social Identification & Village Planning	21	10	31
APL participatory mapping	7	-	7
Facilitation of APL management planning	16	3	19
Establishment and strengthening of farmer groups	85	24	106
Pangkalan Suka	165	40	205
Socialization (FPIC)	32	8	40
Social Identification & Village Planning	26	3	29
APL participatory mapping	9	-	9
Nursery development and seed production	8	5	13
Village Regulations	52	20	72
Village Musrenbang	23	4	27
Facilitating APL management cooperation	15	-	15
Tanjung Pasar	28	55	83
Socialization (FPIC)	10	24	34
Social Identification & Village Planning	9	18	27
Craft training	3	1	4
APL participatory mapping	4	-	4
Determination and strengthening of the group	2	12	14
Total	575	172	744

Kotawaringin Barat District

Villages	Male	Female	Total
Pasir Panjang	84	44	128
Socialization (FPIC)	30	16	46
FGD of Community livelihoods and gender issues	9	7	16
Discussion of the form of the Jurung Tiga TWH management permit	8	1	9
Formation of HKm Jurung Tiga Forest Farmers Group	12	8	20
Mapping the location of the Jurung Tiga HKm submission	5	3	8
Trigona Honey Packaging and Moisture Reduction Training	11	3	14
Pangkalan Bun . Group Management Training	7	4	11
Pangkalan Bun . Workshop	2	2	4
Lada Mandala Jaya	98	70	168
Socialization (FPIC)	29	20	49
FGD of Utilization of Natural Resources	7	9	16
Visioning	18	9	27
Formation of Tourism Awareness Group	22	13	35
Discussion of the Main Tasks and Functions of POKDARWIS	13	12	25

Pangkalan Bun . Group Management Training	6	4	10
Pangkalan Bun . Workshop	3	3	6
Kelurahan Kotawaringin Hilir	38	6	44
Socialization (FPIC)	32	6	38
Survey	3	-	3
Pangkalan Bun . Workshop	3	-	3
Pemerintah/Lembaga di Kabupaten Kotawaringin Barat	7	4	11
Pangkalan Bun . Workshop	7	4	11
Total	227	124	351

Kutai Timur District

Villages	Male	Female	Total
Saka	29	7	36
Socialization (FPIC)	16	3	19
Social Identification & Village Planning	8	3	11
Comparative study	5	1	6
Sempayau	32	11	43
Socialization (FPIC)	20	6	26
Social Identification & Village Planning	8	3	11
Comparative study	4	2	6
Batu Lepoq	33	15	49
Socialization (FPIC)	21	9	30
Social Identification & Village Planning	8	2	11
Comparative study	4	4	8
Total	94	33	128

TOTAL Person-Trainings	1,330	546	1,874
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Total Person-Trainings for Alternative, Sustainable Income-Generating Activities (yellow-shaded rows)

503

Average no. of Trainings per Village

2.7

No. of people trained in livelihoods activities

186

Assuming 5 members per household:

5

Total estimated no. of Community Members Benefiting from Income-generating Schemes in the Future

931

Annex 10. Signed UNEG Code of Conduct forms

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:

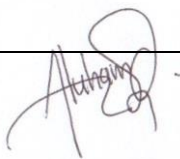
Name of Consultant: Muhammad Anggri Setiawan

Name of Consultancy Organization (where relevant): _____

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

Signed at Yogyakarta (Place) on 11 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.
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: Ashwin Bhuraskar

Name of Consultancy Organization (where relevant): --

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

Signed at Washington DC, USA on (Date) June 16, 2021

Signature:



Annex 11. MTR Report Clearance Form

(to be completed and signed by the Commissioning Unit and RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit (M&E Focal Point)

Name: _____

Signature:

Date:

Regional Technical Advisor (Nature, Climate and Energy)

Name: _____

Signature:

Date: