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**Enhancing the Protected Area Network in Sulawesi**

**for Biodiversity Conservation (EPASS)**

**UNDP PIMS: 4392**

**Atlas Project ID: 00077733**

**GEF ID: 4867**

**GEF Implementing Agency: United Nations Development Programme**

**Executing Agency: Ministry of Environment and Forestry, Republic of Indonesia**

**Country: Indonesia**

**Region: Asia and the Pacific**

**Focal Area: Biodiversity (GEF-5)**

**Project Timeframe: April 2015-March 2020**



**Report of the Mid-term Review Mission**

**July 2018**

**Juan Luis Larrabure (Independent International Consultant)**

**Ari Wijanarko Adipratomo (Independent National Consultant)**

# Midterm Review Opening Page

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Project Name:** | Enhancing the Protected Area Network in Sulawesi For Biodiversity Conservation (EPASS) Project, Indonesia | | | | | |
| **GEF Project ID:** | 4867 | | | | | |
| **UNDP PIMS ID:** | 4392 | | | | | |
| **Country:** | Indonesia | | | | | |
| **Region:** | Asia and the Pacific | | | | | |
| **Focal Area:** | Biodiversity | | | | | |
| **GEF-5 Strategic Program:** | BD-1, Outcome 1.1; BD-1, Outcome 1.2 | | | | | |
| **GEF CEO Endorsement Date:** | 23 January 2014 | | | | | |
| **ProDoc Signature by Secretary General, Ministry of Forestry:** | 12 March 2015 | | | | | |
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| **Implementation Timeframe:** | **Start:** | | 12 March 2015 | **Closure:** | | March 2020 (planned) |
| **Implementing Agency:** | United Nations Development Programme | | | | | |
| **Implementation Modality:** | National Implementation Modality (NIM) | | | | | |
| **Executing Agency:** | Ministry of Environment and Forestry (MoEF) | | | | | |
| **Other Responsible Parties:** | not applicable | | | | | |
| **Project Cost:** | USD 50,250,000 | | | | | |
| **GEF PPG Grant:** | USD 100,000 | | | | | |
| **GEF Project Grant:** | USD 6,265,000 | | | | | |
| **Co-financing, Pledged:** | USD 43,950,000 | | | | | |
|  | UNDP, Grant:  UNDP, In-Kind | | | USD 250,000  USD 2,000,000 | |
|  | Government, In-Kind: | | | USD41,500,000 | |
|  | Selamatkan YAKI, In-Kind | | | USD 200,000 | |
| **Midterm Review Timeframe:** | July-August 2018 | | | | | |
| **Evaluation Team:** | E:\C\Mis documentos\Mis escaneos\escanear0001.jpg  Ari W Adipratomo Juan Larrabure  National Consultant International Consultant | | | | | |
| **MTR Reporting Language: English** |  | | | | | |

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But special mention must be made of Mr. M. Arief Toengkagie, National Project Manager (PMU), Mr. Agus Sriyadi Budi, Directorate of KHK and former National Project Manager, Mr. Lilik Yuliarso, FCU Coordinator in Tangoko, Ms. Ilfianti Kasmudin, FCU Coordinator in Lore Lindu, Ms Elisabet Puriastuti, FCU Coordinator in Bogani and their staff, for all their support the field and valuable knowledge of the project’s implementation history and of the geographic, socio-economic and cultural context..

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# Executive Summary

This Mid-term Review (MTR) has been conducted as part of the Monitoring and Evaluation plan of the UNDP/GEF Project: “Enhancing the Protected Area Network in Sulawesi for Biodiversity Conservation (EPASS)” and will be referred to as the “Project” in the scope of this report. The MTR mission to Indonesia was conducted from 16th to 27th July 2018. Extensive consultations with the project partners were also conducted prior and following the mission to ensure a good understanding of the project’s results; leading to the submission of the MTR report on the date of this report.

**Project Information Table**

As per requirements for MTR, the Project Summary Table is provided below:

**Table 1: Project Information Table**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Project Summary Table** | | | | | |
| **Project Title:** | Enhancing the Protected Area Network in Sulawesi For Biodiversity Conservation (EPASS) Project, Indonesia | | | | |
| **Atlas Award ID:** | **00077733** |  | | **at Endorsement**  **(US$)** | **Spent at Mid-Term (US$)** |
| UNDP Project ID: | **PIMS 4392** | GEF Fund: | | 6,265,000 | 3,004,003.84 |
| Country: | Indonesia | UNDP | | 250,000 |  |
| UNDP (Kind) | | 2,000,000 | 1,550,912.84 |
| Govt. of Indonesia (Kind) | | 41,500,000 | 1,440,996.98 |
| Selamatkan YAKI (NGO) – (kind) | | 200,000 |  |
| Region: | East Asia |
| Focal Area: | Biodiversity | Total co-financing: | | **50,250,000** |  |
| Executing Agency: | Ministry of Environment, Republic of Indonesia | **Total Project Cost:** | |  |  |
| Other Partners involved: | * Ministry of National Development Planning (BAPPENAS) * North Sulawesi Provincial Natural Resources Conservation Center (BKSDA) * Bogani-Nani Wartabone National Park * Tangkoko Forest Conservation Management Unit (KPHK) * Lore Lindu National Park * Yayasan Selamatkan Yaki * World Conservation Society | ProDoc. Signature (date project began): April 2015 | | |  |
| (Operational) Closing Date: | Proposed:  10th of March 2020 | | Actual: |

**Project Description**

Enhancing the Protected Area System in Sulawesi for Biodiversity Conservation (E-PASS) is an international cooperation project designed to support the Ministry of Environment and Forestry (MoEF) to enhance conservation management in Sulawesi. This project was conceived in 2011 and has gained grant support from GEF (Global Environment Facility) of US$ 6,265,000.0 for the 5-year period (2015-2020).

The project objective is to enhance the management system of the protected areas (PA) into which is well integrated to its adjacent landscapes and eventually leads to a higher degree of sustainability, inclusive and collaborative management and is able to bring equitable development to communities surrounding the PA in Sulawesi. Strengthening the effective management and financial sustainability of the Sulawesi’s PA system are the ultimate goals. The intervention is made at the Island-level in order to enhance terrestrial PA system and expected to deliver three outcomes:

* Enhance the systemic and institutional capacity for planning and management of the Sulawesi PA system;
* Increase the financial sustainability of the Sulawesi PA system;
* Reduce threats and strengthen collaborative governance in target PA and buffer zones.

The three outcomes will be achieved through three components below:

* Component 1: Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system.
* Component 2: Financial sustainability of the PA system.
* Component 3: Threat reduction and collaborative governance in the target PA and buffer zones.

Components 1 and 2 of the project will be focusing on the enhancement of Sulawesi’s PA system, while Component 3 will be focusing specifically on three pilot sites, where it will determine and/or enrich approaches to threat elimination and collaborative governance of the PA.

The PA selected for pilot project are based on the following criteria: (i) biodiversity importance/ international significance; (ii) existing PA support initiatives; (iii) opportunities for financing diversification, including application of REDD+ and other approaches, and (iv) potential for developing unique models for co-management and integration of PA system in local and provincial development and fiscal plans, by up-scaling the existing co-management arrangements.

The chosen pilot project PA are:

* Lore Lindu National Park (Central Sulawesi)
* Bogani Nani Wartabone National Park (Gorontalo)
* Greater Tangkoko Conservation Area (North Sulawesi)

For each of the sites, a tailored package was made available. These will comprise combinations of support under the following three outputs:

* Integrated land use planning
* Support to PA site-level operations
* Joint PA/ buffer zone governance and management.

**Project** **Relevance**

Indonesia, with only 1 percent ownership of the Earth’s land Area, Indonesia’s rainforests hold more than 10 percent of the world’s plant species which has been identified to date. More than 12 percent of mammal species and more than 17 percent of world bird species call the Indonesian forests their home. Some of the most endangered species also reside in Indonesia, namely the orangutans, Javan and Kalimantan rhinos, whale sharks and the eminent Sumatran tigers. Indonesia also possess a higher number of mammals than any other country in the world, an amazing 515 species and still counting. With its vast and massive ecosystem spreading throughout its 5 major islands and the other tens of thousands of smaller islands, it is estimated that more than half of Indonesian species are yet to be recorded.

Indonesia has 566 Protected Areas (PA) covering 36,069,368.04 ha which consist of 490 terrestrial PA (22,540,170.38 ha) and 76 marine PA (13,529,197.66 ha). The terrestrial PA includes 43 National Parks, 239 Nature Reserves, 70 Game Reserves, 13 Hunting Parks, 22 Grand Forest Parks, and 103 Nature Tourism Parks. Marine protected areas comprise 4,589,006.10 ha which are managed by local governments.

Indonesia signed the United Nations Convention on Biological Diversity (UN CBD) in 1994. Under the article 6 of the convention, Indonesia, as a party to the CBD, is obliged to prepare a national biodiversity strategy (or equivalent instrument) and to ensure that this strategy is mainstreamed into the planning and activities of all those sectors whose activities can have an impact (positive and negative) on biodiversity. Under the Aichi Target number 17, ‘Indonesia has to also fulfil the target to develop, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan by 2015’.

This project strengthens capacity of Indonesia to create better management practices and better financing for the National Park system, including the involvement of adjacent communities in managing the protective areas, in order to fulfil the participatory aspect as required by the convention.

# Project Progress Summary

Full details of the project’s implementation progress can be found in **Annex IV**, with respect to its outputs, and in **Annex V**, where the indicators of the strategic results framework have been scored. Both these Annexes should be referred to in order to fully appreciate the progress achieved to date and the main shortcomings to be addressed. The overall scores are tabulated below and briefly described.

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

| **MTR Ratings and Achievements Summary** | | | |
| --- | --- | --- | --- |
| **Project:** | Enhancing the Protected Area Network in Sulawesi for Biodiversity Conservation (EPASS) Project, Indonesia  GEF ID: 4867 PIMS ID:4392 | | |
| **Measure** | | **MTR Rating** | **Achievement Description** |
| **Project Strategy** | | Satisfactory | Enhancing the Protected Area System in Sulawesi for Biodiversity Conservation (E-PASS) is an international cooperation project designed to support the Ministry of Environment and Forestry (MoEF) so as to enhance conservation management in Sulawesi. This project was conceived in 2011 and has gained grant support from GEF (Global Environment Facility) of US$ 6,265,000.0 for the 5-year period (2015-2020).  The project objective is to enhance the management system of the protected areas (PA) into which is well integrated to its adjacent landscapes and eventually leads to a higher degree of sustainability, inclusive and collaborative management and is able to bring equitable development to communities surrounding the PAs in Sulawesi. Strengthening the effective management and financial sustainability of the Sulawesi’s PA system are the ultimate goals.  Under the article 6 of the CBD convention, Indonesia as a party to the CBD, is obliged to prepare a national biodiversity strategy (or equivalent instrument) and to ensure that this strategy is mainstreamed into the planning and activities of all those sectors whose activities can have an impact (positive and negative) on biodiversity. Under the Aichi Biodiversity Target number 17, Indonesia has to also fulfil the target to “developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan by 2015…”. This project strengthens capacity of Indonesia to create better management practices and better financing for the National Park system, including the involvement of adjacent communities in managing the protective areas, in order to fulfil the participatory aspect as required by the convention.  The Project as designed, needed to be corrected. The idea of executing it through the hiring of individual consultants proved impractical. Therefore, the project had to be revised and a number of expected outputs were aggregated into a single contract. While the overall responsibility for the implementation of the project rested with the MoEF through the PMU, Outcome 2, the project was designed with Outcome 2 to be implemented by BAPENAS. The MTR Team noted with some preoccupation that the PMU was not fully cognizant of the state of implementation of this key Outcome. It appeared that there is a need for strengthening the communication channels between these key actors. |
| **Progress towards Results** | | Objective Achievement:  **Satisfactory** | Progress towards achieving the project’s objective is Satisfactory, based on: the four indicators that cover ecosystem health (S), effective management of PA (S), financing the implementation of a provincial Wetland Conservation Strategy (MS), reduction in threats to the functioning of wetland ecosystems (Likely S[[1]](#footnote-1)); and on progress towards the three project outcomes, which are scored below. |
| Outcome 1 Achievement:  **Highly Satisfactory** | **Outcome 1.**  Despite difficulties in the beginning of the project, the PMU has been able to complete important outputs and working with WCS has managed to deliver a series of interventions that indicates progress towards the attainment of Outcome 1. If this Outcome is to be completely achieved however, it will be essential for the MoEF to implement all the key recommendations that are contained in the 14 outputs produced by WCS in support of Outcome 1. This is still a work in progress. To facilitate the monitoring of where the project stands on this, the MTR Team includes Annex IX, showing which actions have been taken to implement these recommendations and which are still outstanding. |
| Outcome 2 Achievement:  **Moderately Satisfactory** | **Outcome 2**. The MTR Team managed to secure the report on Eco-Systems Valuation of the Sulawesi PA system prepared by WCS, as well as 20 reports have been prepared by consultants for BAPPENAS. These are the ones that focus on: (1) the extra-budgetary legal regulatory framework; (2) on exploring Payments for Environmental Services (PES) as potential sources of income (i.e. watershed management, geothermal energy production, conservation values; renewable forest resources gathering etc.) (3) on potential revenue from eco-tourism; (4) on funding modalities such as Conservation Trust Funds or the establishment of semi-autonomous self-financing, public service agencies known locally as BLUs. The next step is to propose a “model” for future financing (sustainability) for the PA in Sulawesi. In the opinion of the MTR team, none of the models being looked into offers assurances of long-term sustainability. |
| Outcome 3 Achievement:  Moderately  **Satisfactory** | **Outcome 3**. The achievement of this Outcome is key to the long-term success of this effort. Encroachment and Poaching are carried basically by people belonging to the surrounding communities to the PA and it is very important that they be turned 180 degrees, from encroachers and poachers into staunch defenders of PA conservation. The project has a three-pronged strategy for this. The first is to establish the baseline data and methodology for this. WCS prepared 8 reports that provide the basis for this. The MTR Team is convinced that the first one has achieved. The second has been to communicate messages on the need for conservation and the potential link between conserving the forests and an improved future for the surrounding communities. The MTR Team is also convinced that this has been achieved too. The third and in our opinion the most crucial prong of the strategy consists of the drafting and signing joint Community Conservation Agreements (CCAs) by which communities engage themselves to protect the PA in exchange for access to funding for productive projects that will increase their income without resorting to environmentally destructive practices. Only 23 of 45 planned CCAs have been signed and no disbursements to community groups from the Micro-grants fund have been made. These delays in project implementation risk losing the credibility within these communities. THIS IS YET TO BE ACHIEVED. |
| **Project Implementation and Adaptive Management** | | **Satisfactory** | The Project has been well-organized and well-managed up to the MTR. The project has been able to provide the high-quality outputs. Good adaptive management system has been implemented to cope with unforeseen changes. The execution of some of its major goals might need to be enhanced, especially on Output 2 |
| Sustainability:  Still to be determined | | Financial Risks to Sustainability:  **Still to be determined** | The sustainable form of funding needs to be formulated as soon as possible, at the MTR stage there are only a variety of options but there are no real options for long-term sustainability and would be able to provide sufficient funding |
| Socio-Economic Risks to Sustainability:  **Still to be determined** | Solid institutions involved in the project including private sector showed increased awareness and changed behaviours linked to conservation and the protection of conservation area risk management. However, in discussions with community members a level of frustration at the slow pace in which the CCAs were being approved was sensed. This in turn has delayed the channelling of funding through the micro-credit scheme, that should finance projects to increase their income in other ways rather than those that encroach on the PA (agriculture on invaded lands, poaching, illegal small mining and logging etc.). |
| Institutional Framework & Governance Risks to Sustainability:  **Still to be determined** | Project assigned responsible institution and are technically and legally strengthened Institutionally. Political transition didn’t pose any risks rather strengthened. The Institutional and Governance sustainability of the project is linked to the establishment of a financial model that will allow for adequate and predictable financing of conservation activities. This is still to be achieved. Also, the outstanding threat to the PA from the possible implementation of a new policy regarding ancestral lands, generates doubts as to the long-term sustainability of this effort. |
| Environmental Risks to Sustainability:  **Still to be determined** | The project aims to strengthen the effectiveness and financial sustainability of Sulawesi’s PA system to respond to threats to the globally significant biodiversity. It has a range of interventions at the national, provincial and site levels with the explicit objective of putting in place a system for safeguarding biodiversity and the environment in general. However, as or even more important than this, is the ability to provide surrounding communities with alternative income producing activities in order to avoid physical encroachment of the PA. This is yet to be achieved. |

# Summary of Conclusions and Recommendations

The project accomplished many of the targeted activities and is progressing to meet the targeted results. However, there is still a lot to be done, the MTR Team estimates progress at:

* 90% for Outcome 1

(As far as output production goes all 23 outputs -100% of those planned -have been produced, but not all key recommendations from these outputs have yet been acted on. See Annex IX below),

* 50% for Outcome 2

(several outputs have been produced, but there is still a lot of work to be done to settle on a viable model) and

* 30% for Outcome 3

(by the time of MTR field visits, only 23 out of 45 CCAs that should have been operated by the end of 2018 had been signed and no disbursements had been handed over yet to the communities from the Micro-Credit Fund)

All of this at the 31st month mark, and only 21 months left.

The project has also achieved several important successes since its inception. Amongst them are the following:

* **Community awareness of the relationship between their quality of life and the need to conserve the environment, its flora and fauna.** The MTR Team interviewed directly 46 community representatives from 20 community groups surrounding the three pilot PA as well as researchers from Universities and NGO members. One of the success stories came from Tapadaka Utara community which reside within buffer zone area of Bogani Nani NP. With the intervention of EPASS, the community willingly helped to restore the forest areas to prevent great deal of catastrophe such as great flood in 2007, while gaining the economic benefits of obtaining high economic value plants such as nutmeg and candlenut from the project. From these interviews, the MTR Team is quite satisfied of the level of awareness that the project has achieved.
* **While deforestation continues to be a problem, according to the figures the MTR Team secured from the PIR 2018, the rate of deforestation has been decreasing importantly for the three** PA. The figures showed that for Lore Lindu National Park the loss of forests was 10.5 square kms. for the period 2000-2015 and for the period 2000-2017 this figure was only 6.96 square kms. For Bogani Nani National Park the figures show a loss of 60.6 square kms for the period 2000-2015 and a loss of 1.1175 square kms in 2016 and 0.9245 square kms in 2017. For the Tangkoko Natural Reserve the figures were 26.05 square kms for 2000-2015 and it was reduced to 14.05 square kms for 2015- 2017. These figures were not linear. A strict scrutiny conducted through the SMART system has enable   
  E-PASS to get a more comprehensive realistic data of deforestation through direct observation method compared to previous data solely obtained from satellite imagery interpretation which was also not conducted on linear basis.
* **According to the figures the MTR Team was able to secure from the Project Implementation Review (PIR) Year 2018, the METT scores for the three pilot areas seem to have improved over the life of the project.** The figures for Lore Lindu NP went from 61% at the beginning of the project to 73% in 2017. For Bogani Nani NP the figures improved from 64% to 74% and for Tangkoko NR the figures improved from 55% to 61% during the same period.
* **Similarly, according to the figures the MTR Team secured from PIR 2018, Ecosystem Health Index also increased for all 3 PAs as follows**: Increased Health Index for Bogani Nani NP from 55 in 2015 to 66 in 2017 and for Tangkoko NR from 48- in 2015 to 69 in 2017 and further increase to 71 in 2018. Lore Lindu NP slightly declined from 68 in 2015 to 66 in 2017, due to the more accurate date from SMART Patrol which revealed the correct number compared to the underestimated baseline data of 2015.
* **Also, according to the figures the MTR secured from PIR 2018, the Threat Index decreasing for two PAs decreased as follows:**for Lore Lindu NP from 23 in 2015 to 20 in 2017, and for Tangkoko NR from 31 in 2015 to 20 in 2017 and further to 18 in 2018. While Bogani Nani NP slightly increase from 28 in 2015 to 31 in 2017 due to the more precise data provided by SMART Patrol system. The previous baseline apparently underestimated the real threat Index.

**The MTR team would like to propose 9 (nine) recommendations, as follow**

**Recommendation 1**: UNDP-CO should adjust the project budget in order to reduce the IN-KIND   
contributions to more realistic levels.

**Recommendation 2:** The MoEF should consider initiating actions to implement key recommendations made by WCS that have not yet been acted upon. (see Annex IX below)

**Recommendation 3**: BAPPENAS should accelerate the process of completing Outcome 2 and consider other models that might ensure a predictable, reliable, constant and sufficient flow of funds to ensure the future sustainability of the PA, such as the one the MTR Team has proposed below (see the Financial Sustainability Model the MTR Team proposes: section 4 page 44,)

**Recommendation 4:** The MoEF should allow PMU/FCU staff to work directly with the communities when PA staff is not available to accompany them.

**Recommendation 5:** The UNDP-CO should consider making a detailed financial analysis to

determine if there will be surplus funds available at the end of the project.

**Recommendation 6:** If so, the MTR believes they should be used to finance the WCS’ proposal for additional complementary activities which the MTR Team fully endorses, as per the proposal below (see Annex X).

**Recommendation 7:** The GEF and UNDP-CO should consider using any additional surplus funds that might be identified after a financial analysis, to reinforce the Micro-grants fund

**Recommendation 8:** The UNDP-CO and the MoEF should ensure that at least 50% of all the funding disbursed by the Micro-grants Fund go towards financing initiatives of women’s community groups.

**Recommendation 9:** MTR recommends “no additional cost” extension of one year, in order to allow the project to complete its three outcomes.

## **Strengths and Major Achievements Ratings**

Major achievements and strengths are summarized in the table below. Further evidence and rationale supporting these sections can be found in **Annexes IV** and **V**.

**Table 3: Evaluation of the project situation as per the log frame up to July 2018**

| **Component** | **Evaluation\*** | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **HS** | **S** | **MS** | **MU** | **U** | **HU** |
| **Outcome #1**: Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system |  |  |  |  |  |  |
| **Outcome #1.1:**  Capacity of the Ministry of Forestry strengthened to fully operationalise the “Resort-based management” system for implementation in the national, and particularly in Sulawesi’s, PA system, including all categories of Pas |  | X |  |  |  |  |
| 1.1.1 Development of PA management standards and individual performance monitoring systems for different categories of PAs. | X |  |  |  |  |  |
| 1.1.2 Training for enhanced law enforcement. | X |  |  |  |  |  |
| 1.1.3 Development of Capacity-development strategies and action plans for strengthening management effectiveness. | X |  |  |  |  |  |
| 1.1.4 Clear and well-tested guidelines for community engagement and co-management. |  |  | X |  |  |  |
| 1.1.5. Establishment of Incentive mechanism for resort-level innovation. |  |  | X |  |  |  |
| **Outcome #1.2**: An island-wide system for biodiversity, key species and habitat condition monitoring established with science-based survey mechanisms, protocols for monitoring, robust biodiversity indicators and with all necessary tools and capacity installed within the Directorate of Biodiversity Conservation and partner organisations | X |  |  |  |  |  |
| 1.2.1 Institutionalization of the island-wide mechanism for biodiversity monitoring and management, a species and habitat condition monitoring system. | X |  |  |  |  |  |
| 1.2.2 Collection and management of monitoring data through improving the existing monitoring & reporting process. | X |  |  |  |  |  |
| 1.2.3 Publication of national standards for PA-related data. | X |  |  |  |  |  |
| **Outcome #1.3**: Intelligence-based poaching and wildlife trade surveillance system operationalised through establishment and operations of a Sulawesi-based unit. |  | X |  |  |  |  |
| 1.3.1 Establishment of a decentralized (Sulawesi-based, intelligence-based poaching and wildlife trade surveillance) unit in Sulawesi; at a location to be determined. |  | X |  |  |  |  |
| 1.3.2 Development an island-level capacity to monitor, analyse and, working in co-operation with PA management authorities, confront poaching and wildlife trade across the island |  | X |  |  |  |  |
| **Outcome #1.4:** Spatial arrangement of the Sulawesi PA system improved based on the terrestrial PA system consolidation plan (including corridors, area expansion and boundary rationalization) for Sulawesi and integration of the plan into the provincial land use plans. | X |  |  |  |  |  |
| 1.4.1. Improved spatial arrangement of the Sulawesi PA system based on development of a terrestrial PA system consolidation plan (corridors, area expansion and boundary rationalization). | X |  |  |  |  |  |
| 1.4.2 Toward establishment of potential protection forest as new low land tropical forest national park. | X |  |  |  |  |  |
| **Outcome #2. Financial sustainability of the Sulawesi PA system** |  |  |  |  |  |  |
| **Outcome #2.1:** An environmental economic case is made to increase investment in the PA system**.** |  | X |  |  |  |  |
| 2.1.1. Increasing investment in the PA system by quantifying the value of Sulawesi’s PAs in terms of the full range of ecosystem goods and services being provided. |  | X |  |  |  |  |
| **Outcome #2.2:** Sulawesi island-wide PA System Financing Plan is developed, projecting the financial needs for PA management and expansion over the next 10 years and outlining the strategies for meeting these needs from both cost and revenue points of view. |  |  | X |  |  |  |
| 2.2.1 Developing Sulawesi island-wide PA System Financing Plan. |  |  | X |  |  |  |
| 2.2.2 Study on financial needs for effective management and development, based on PA management plans. |  |  | X |  |  |  |
| 2.2.3 Pilot implementation at site and/or sub-system level in Sulawesi to identify appropriate mechanism on PA financing system. |  |  | X |  |  |  |
| 2.2.4 Initial implementation of the financing plan as well as development of diversified financing mechanism. |  |  | X |  |  |  |
| **Outcome #2.3:** Diversified revenue generation mechanisms and other financing sources for PA management. |  | X |  |  |  |  |
| 2.3.1 Development of an enabling policy/legal environment related to the identified instrument. |  | X |  |  |  |  |
| 2.3.2 Design, negotiation and formalization and operationalization of the mechanisms. |  | X |  |  |  |  |
| 2.3.3 Development of a national mechanism for monitoring, reporting and verification of services, and payment distribution mechanisms. |  | X |  |  |  |  |
| 2.3.4 Awareness and capacity building for decision makers, local government officials and local and indigenous communities, to ensure continuity of ecosystem service provision and payments, in the application of land-use to maximise ecosystem service provision and its continuity over time. |  | X |  |  |  |  |
| **Outcome #3. Threat reduction and collaborative governance in the target PAs and buffer zones.** |  |  |  |  |  |  |
| **Outcome #3.1: Integrated land use plans, including PA alignment, developed and implemented in two districts.** | X |  |  |  |  |  |
| 3.1.1. Examination of PA boundaries in the context of biodiversity and ecosystem service considerations for optimizing land uses within a broader landscape. | X |  |  |  |  |  |
| 3.1.2. Biodiversity mainstreaming into planning process to enhance PA system sustainability. | X |  |  |  |  |  |
| 3.1.3. Participatory locally PA boundary maintenance using means such as native salak palm with thorns as well as edible fruits to act as a thick natural boundary wall. | X |  |  |  |  |  |
| 3. 1.4. Establishment and/or revitalization of community managed conservation areas. | X |  |  |  |  |  |
| **Outcome #3.2. PA site operation is strengthened.** | X |  |  |  |  |  |
| * + 1. Implementation of resort based management (RBM) at selected sites. | X |  |  |  |  |  |
| * + 1. Biodiversity and habitat conditions monitoring. | X |  |  |  |  |  |
| * + 1. Monitoring and combating of poaching and the wildlife trade, with the support of the island-level unit. | X |  |  |  |  |  |
| * + 1. Pilot case studies of environmental economic values. | X |  |  |  |  |  |
| * + 1. Implementation of site-level revenue generation mechanisms, based on environmental economic valuation studies and priorities identified by PA financing plan. | X |  |  |  |  |  |
| * + 1. Restoration of fragmented and degraded ecosystem. | X |  |  |  |  |  |
| * + 1. Development of management planning. | X |  |  |  |  |  |
| * + 1. Capacity need assessment and training for local partners & community. | X |  |  |  |  |  |
| **Outcome #3.3: Joint PA/buffer zone governance and management structure.** |  | X |  |  |  |  |
| * + 1. Building on, adapting and replicating the CCA establishment process. |  | X |  |  |  |  |
| * + 1. Development mechanism/incentive for securing alternative livelihoods to reduce the pressure and maintain biodiversity. |  | X |  |  |  |  |
| * + 1. Establishment of village education centre for awareness building related to the role and state of wildlife and the value of healthy ecosystem. | X |  |  |  |  |  |
| * + 1. Micro-capital grants to support small income-generating and/or conservation schemes. |  |  | X |  |  |  |
| **Outcome 4. Project Management** |  |  |  |  |  |  |
| Establishment and operationalization of Project Management Unit | X |  |  |  |  |  |
| Project assurance related activities | X |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Overall Project Rating** |  | X |  |  |  |  |

\* Note: HS = Highly satisfactory; S = Satisfactory; MS = Moderately satisfactory; MU= Moderately unsatisfactory;

U = Unsatisfactory; HU = Highly unsatisfactory. Components are hyperlinked to relevant section.

T**able 4: Major Project Achievement**

|  |  |
| --- | --- |
| **MTR REPORT** | **MAJOR ACHIEVEMENTS** |
| **PROGRESS TOWARDS RESULTS** | |
| **Objective** | To strengthen the effectiveness and financial sustainability of Sulawesi’s protected area system to respond to threats to globally significant biodiversity. |
| **Outcome 1**  Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system |  |
| **Outcome 1.1.**  A Capacity of the Ministry of Forestry strengthened to fully operationalize the “Resort-based management” system for implementation in the national, and particularly in Sulawesi’s, PA system, including all categories of PAs | **Outputs for Outcome 1.1.**  • WCS Deliverable #1: Baseline data for Forest cover of the three Project Sites updated, including forest cover, threat index, EHI, active encroachment,  • WCS Deliverable #3: Gap analysis report on existing policies and regulations for RBM, and RBM capacity and implementation and management and planning skills needed in the three project Sites  • WCS Deliverable #6: Capacity development strategies and action plan for KSDAE, LLNP, BNNP, and North Sulawesi BKSDA  • WCS Deliverable #7: Design the course outline, methodology, resource persons and materials for need trainings as in action plan above  • WCS Deliverable #16: Operational guidelines for RBM implementation, including RBM structure, functional position level and organization line, standard Resort facilities and equipment, standard competency for each job description, monitoring and evaluation criteria for HR development and incentives for innovative idea   * WCS Deliverable #17: Guideline for PA co-management and community engagement, including Buffer zone co-management structure and mechanisms at institutional level and community level and community engagement building |
| **Outcome 1.1.1** Development of PA management standards and individual performance monitoring systems for different categories of PAs.  Outputs for outcome 1.1.1.  The capacity development strategy and action plan for:  • Conservation forest management unit (CRFMU) Tangkoko has been legalized in September 12, 2017 for 2017-2026  • BNWNP has been legalized in December 20, 2017 for 2018-2027  • LLNP has been legalized in September 13, 2016 for 2016-2025 |
| **Outcome 1.1.2.** Training for enhanced law enforcement.  Outputs for outcome 1.1.2.  • Workshop to increase the knowledge and capacity of law enforcement officers on criminal acts against forest conservation was organized by BNWNP authority supported by the Project in Gorontalo Province, involving local courts, provincial forest, legal authority, local police, local attorney office, local government, and the media. The outcome of the workshop resulted in a Memorandum of Understanding (MoU) between the NP authority and local law enforcement for a joint program plan, and communication channel for the related parties through WA group to ensure real-time information sharing for timely action related to identified illegal activities. As a follow-up from the workshop, the MoU has been extended to engage North Sulawesi Nature Resource Authority.  • Baseline Study on Wildlife Poaching and Trade in Sulawesi (WCS Deliverable #4)  • Established MOU between BNWNP and Law Enforcement. |
| **Outcome 1.1.3.** Development of Capacity-development strategies and action plans for strengthening management effectiveness.  Outputs for outcome 1.1.3.   * Gap analysis for existing policies and regulation for RBM Capacity has been undertaken and subsequently skills needed for planning, implementation and Management have been identified and finalized for the three project sites. * Regulation on RBM guidelines has been developed to increase effectiveness of resort-based national park management. More specifically, the project supported and facilitated the Directorate of Conservation Area of the MoEF to develop this regulation. Despite RBM being introduced and included in the Strategic Plan of Directorate General of Forest Protection and Nature Conservation (PHKA) 2009-2014, there was no legal stand for RBM guideline yet. Therefore, to ensure efficient implementation of RBM and to strengthen the compliance of conservation authorities with RBM, EPASS Project has provided support to internalize RBM into regulation. Currently the final draft of RBM Guideline Regulation is awaiting ratification from the Director General of Conservation of Natural Resources and Ecosystem Conservation (to be legalized as DG Regulation). |
| **Outcome 1.1.4.** Clear and well-tested guidelines for community engagement and co-management   * The MTR team is not aware of any update or activity yet completed for this particular outcome. |
| **Outcome 1.1.5.** Establishment of Incentive mechanism for resort-level innovation.   * The MTR team is not aware of any update or activity yet completed for this particular outcome. |
| **Outcome 1.2**.  An island-wide system for biodiversity, key species and habitat condition monitoring established with science-based survey mechanisms, protocols for monitoring, robust biodiversity indicators and with all necessary tools and capacity installed within the Directorate of Biodiversity Conservation and partner organizations | **Outputs for outcome 1.2.**   * WCS Deliverable #10: Field Technical guidelines for biodiversity monitoring * WCS Deliverable #11: Monitoring Program with innovative /appropriate technology for key species of the three Sites, including methodology, suitable monitoring tools (e.g. camera trap, chips, rings), usage, analysis and reporting as well as estimated expenditure. * WCS Deliverable #13: Lead the monitoring Programme establishment, on the job-training for the PA Technical Officers on usage, data analysis, and reporting * WCS Deliverable #14: Provide inputs/specification for the Design of a IT- based biodiversity management platform at Sulawesi Island level (by EPASS MIS Officer) |
| **Outcome 1.2.1.** Institutionalization of the island-wide mechanism for biodiversity monitoring and management, a species and habitat condition monitoring system.  Output for outcome 1.2.1.   * Online Knowledge Sharing Platform for Biodiversity in three project sites have been institutionalized through website <http://www.epassbiss.org/> |
| **Outcome 1.2.2.** Collection and management of monitoring data through improving the existing monitoring & reporting process.  Outputs for outcome 1.2.2   * Series of trainings on EPASS SMART Patrol and EPASS BIS have been conducted to forest rangers in order to standardize their system of collecting and monitoring data and improve reporting process * Obtained PA Related data have been collected and managed through online system of EPASS BIS and SMART |
| **Outcome 1.2.3**. Publication of national standards for PA-related data.  Output for outcome 1.2.3.   * The PA related data have been standardized under EPASS SMART and epassbiss system and can be accessed at <http://www.epassbiss.org/> |
| **Outcome 1.3.**  Intelligence-based poaching and wildlife trade surveillance system operationalized through establishment and operations of a Sulawesi-based unit. | **Outputs for outcome 1.3.**   * WCS Deliverable #4 - Report of Baseline study on poaching and wildlife trade in Sulawesi * WCS Deliverable #15- Comparative study of intelligence-based surveillance unit models and proposed model for Sulawesi Island and establishment planning |
| **Outcome 1.3.1.** Establishment of a decentralized (Sulawesi-based, intelligence-based poaching and wildlife trade surveillance) unit in Sulawesi; at a location to be determined.  Output for outcome 1.3.1.   * Successfully forming a task force for illegal wildlife trading in Bitung city. In addition, the task force of anti-illegal protected wildlife trade has formed by Bitung Mayor |
| **Outcome 1.3.2** Development an island-level capacity to monitor, analyze and, working in co-operation with PA management authorities, confront poaching and wildlife trade across the island  Output for outcome 1.3.2.   * Field sampling protocol to measure population of 7 species (namely: montane anoa bubalus quarlesi, lowland anoa Bubalus depressicornis, babirusa Babyrousa babirussa, tarsius Tarsius fuscus, Sulawesi black Macaque macaca nigra, Moor macaque Macaca maura, and maleo Macrocephalon maleo). Field Technical Guidelines for Biodiversity Monitoring were developed by the Project based on coordination with conservation authorities in the three project sites. The adoption of these guidelines across project sites (as well as Island-wide) will strengthen the quality, reliability as well as comparability of data collected overtime, which will be used as a robust basis for management decision. |
| **Outcome 1.4.**  Spatial arrangement of the Sulawesi PA system improved based on the terrestrial PA system consolidation plan (including corridors, area expansion and boundary rationalization) for Sulawesi and integration of the plan into the provincial land use plans. | Outputs for outcome 1.4.   * WCS Deliverable #20: Design of spatial planning/alignment based on biodiversity importance, ecosystem and wildlife threat status, biogeographical representative of Sulawesi PA System, carbon sequestration potential and current land use. * WCS Deliverable #23: Terrestrial PA system consolidation plan and action plan for the entire Sulawesi terrestrial PA system based on spatial planning/alignment designed with mainstreaming of biodiversity importance & bio-geographical representatives of Sulawesi PA system, climate change adaptation, and connectivity |
| **Outcome 1.4.1**. Improved spatial arrangement of the Sulawesi PA system based on development of a terrestrial PA system consolidation plan (corridors, area expansion and boundary rationalization).  Outputs for outcome 1.4.1   * The project has undertaken mapping activity to identify potential PA buffer zones, its existing land use and PA Boundary condition of the Three Project Sites, including options for Biodiversity-Based Park Boundary. Recommendation from the mapping exercise included providing support to provincial government in preparing a proposal for Ecosystem Essential corridor development with priority in areas with strong community support. |
| **Outcome 1.4.2.** Toward establishment of potential protection forest as new low land tropical forest national park.  Output for outcome 1.4.2.   * The Project supported the launching of the new national park - Gandang Dewata in West Sulawesi (covering 214,186 Ha). Formally established through the MoEF Decree No.SK.773/Menlhk/Setjen/PLA.2/10/2016 on 3 October 2016. |
| **Outcome 2**  Financial sustainability of the Sulawesi PA system | Outputs for outcome 2   * BAPPENAS Deliverable: Initial Findings and Recommendations Of EPASS, Component 2 * BAPPENAS Deliverable: Component 2 Report – Development of Sustainable Conservation Area Funding * BAPPENAS Deliverable: Component 2 Annual Report |
| **Outcome 2.1**  An environmental economic case is made to increase investment in the PA system | Outputs for outcome 2.1.   * Economic valuation of ecosystem services in Sulawesi was conducted * Study on Potential Financing Mechanism for Sulawesi PA Management |
| **Outcome 2.1.1**. Increasing investment in the PA system by quantifying the value of Sulawesi’s PAs in terms of the full range of ecosystem goods and services being provided.  Outputs for outcome 2.1.1   * An economic valuation of ecosystem services in Sulawesi was conducted by the Project focusing on the three Project sites. The method used was full economic valuation TEEB (The Economics of Ecosystems and Biodiversity) as best practice approach and international benchmark in capturing the value of nature. The valuation found that the value of ecosystem services in the three project sites are:   + US$ 36.29 million in Bogani Nani Wartabone National Park,   + US$ 32.32 million in Lore Lindu National Park, and   + US$ 10.02 million in Tangkoko NR. * The findings concluded that the economic value of ecosystem in PA in Sulawesi is very high and at the same time, the economic dependency of the community in the buffer zone areas toward the PA is equally high. |
| **Outcome 2.2**  Sulawesi island-wide PA System Financing Plan is developed, projecting the financial needs for PA management and expansion over the next 10 years and outlining the strategies for meeting these needs from both cost and revenue points of view. | Output for outcome 2.2.:   * Accomplishment of Consultant Deliverable- Study on Potential Financing Mechanism for Sulawesi PA Management |
| **Outcome 2.2.1.** Developing Sulawesi island-wide PA System Financing Plan.  Output for outcome 2.2.1.     * Study on Potential Financing Mechanism for Sulawesi PA Management |
| **Outcome 2.2.2**. Study on financial needs for effective management and development, based on PA management plans.  Outputs for outcome 2.2.2   * The Project is currently reviewing the economic valuation and potential financing mechanism reports in order to formulate a Strategic Financing Plan for PAs, * Gap and Alternative Funding for Conservation Area Management TN. Lore Lindu, TN. Bogani Nani Wartabone, and Tangkoko KPHK-Deliverable #1-4 |
| **Outcome 2.2.3**. Pilot implementation at site and/or sub-system level in Sulawesi to identify appropriate mechanism on PA financing system.  Output for outcome 2.2.3.   * BAPPENAS Deliverable: Lore Lindu NP field visit Report – Financing Potentials and Cooperation Development |
| **Outcome 2.2.4**. Initial implementation of the financing plan as well as development of diversified financing mechanism.  Outputs for outcome 2.2.4   * BAPPENAS Deliverable: Conservation Area Business Process * BAPPENAS Deliverable: First draft report and analysis on the legal and regulatory framework for a funding mechanism outside State Budget (non-APBN) for biodiversity fund and conservation area * The MTR team is not aware of any update or activity for implementation of the financing plan |
| **Outcome 2.3**  Diversified revenue generation mechanisms and other financing sources for PA management. | Outputs for outcome 2.3.   * Several studies and policy brief have been produced to support this outcome |
| **Outcome 2.3.1** Development of an enabling policy/ legal environment related to the identified instrument.  Outputs for outcome 2.3.1.   * EPASS LLNP has been supported BAPPENAS in recruiting 3 consultant in Q2 2017, namely: Government relations, Conservation and program business specialist, Institutional Policy and Legal Expert in order to formulate sustainable financing mechanism. * BAPPENAS Deliverable: First draft report and analysis on the legal and regulatory framework for a funding mechanism outside State Budget (non-APBN) for biodiversity fund and conservation area * BAPPENAS Deliverable: Review on current legal and regulatory framework for a funding mechanism on selected project sites; * BAPPENAS Deliverable: Biodiversity Financing and Public Policy Expert-First Report * BAPPENAS Deliverable: Desk study on existing institution and regulatory framework analysis the gap to be addressed in order to implement business plan and pilot financing project * BAPPENAS Deliverable: Policy brief development of innovative regulatory framework concerning sustainable financing for PA management Deliverable |
| **Outcome 2.3.2**. Design, negotiation and formalization and operationalization of the mechanisms  Output for outcome 2.3.2.   * The project has been showcasing some financing models to be used in the three project sites, however the project has not decided yet which one will be used as a financing model |
| **Outcome 2.3.3**. Development of a national mechanism for monitoring, reporting and verification of services, and payment distribution mechanisms.   * The MTR team is not aware of any update or activity for this particular outcome |
| **Outcome 2.3.4.** Awareness and capacity building for decision makers, local government officials and local and indigenous communities, to ensure continuity of ecosystem service provision and payments, in the application of land-use to maximize ecosystem service provision and its continuity over time.  Output for outcome 2.3.4.   * Draft of communication strategy was developed by the Project as reference for project management in mobilizing various project activities and effective utilization of its results. The draft was discussed with relevant stakeholders and currently the draft is under revision based on feedback from stakeholders |
| **Outcome 3**  Threat reduction and collaborative governance in the target PAs and buffer zones. | Output for outcome 3   * WCS Deliverable #9: Strategic Action Plan for strengthen management effectiveness and threat reduction for KSDAE, LLNP, BNNP, and North Sulawesi BKSDA |
| Outcome 3.1. Integrated land use plans, including PA alignment, developed and implemented in two districts. | Outputs for outcome 3.1.   * WCS Deliverable #5: Mapping identification of potential PA buffer zone, its existing land use and PA boundary condition of the three Project Sites including options for biodiversity-based Park boundary * WCS Deliverable #22: Integrated land use planning model designed for PA boundary maintenance and alignment of buffer zone land use in the context of biodiversity and ecosystem service considerations in the three Project sites including option for marine extension in Greater Tangkoko Complex Area |
| **Outcome 3.1.1.** Examination of PA boundaries in the context of biodiversity and ecosystem service considerations for optimizing land uses within a broader landscape  Output for outcome 3.1.1.   * The project has undertaken mapping activity to identify potential PA buffer zones, its existing land use and PA Boundary condition of the Three Project Sites, including options for Biodiversity-Based Park Boundary. Recommendation from the mapping exercise included providing support to provincial government in preparing a proposal for Ecosystem Essential corridor development with priority in areas with strong community support |
| **Outcome 3.1.2.** Biodiversity mainstreaming into planning process to enhance PA system sustainability  Output for outcome 3.1.2.   * An economic valuation of ecosystem services in Sulawesi was conducted by the Project focusing on the three Project sites. The method used was full economic valuation TEEB (The Economics of Ecosystems and Biodiversity) as best practice approach and international benchmark in capturing the value of nature |
| **Outcome 3.1.3.** Participatory locally PA boundary maintenance using means such as native *Salak* (Snake fruit) palm with thorns as well as edible fruits to act as a thick natural boundary wall.  Output for outcome 3.1.3.   * the Project in LLNP encouraged and supported villagers in buffer zone to use high value plants such as durian, nutmeg, resin, candlenut, and avocado as PA natural boundary wall. This activity will help maintain the PA’s boundary markings while providing additional livelihood for the local community. |
| **Outcome 3.1.4.** Establishment and/or revitalization of community managed conservation areas.  Output for outcome 3.1.4.   * A total area of 15 hectares have been rehabilitated through project’s support |
| **Outcome 3.2.**  PA site operation is strengthened. | Output for outcome 3.2.   * Deliverable WCS #2: ToR for restoration of fragmented and degraded ecosystem in the three Project Sites |
| **Outcome 3.2.1** Implementation of resort based management (RBM) at selected sites  Outputs for outcome 3.2.1.   * In all three project sites, several activities to implement RBM have occurred including   + FGD of working plan arrangement in 3 resort model   + comparative study to Alas Purwo national park for basics learning RBM management   + comparative study to Bukit Barisan Selatan National Park to learn about smart patrol.   + an advance training on SMART apps for resort level |
| **Outcome 3.2.2** Biodiversity and habitat conditions monitoring.  Outputs for outcome 3.2.2  • EPASS Tangkoko and LLNP were already conducted smart patrol training in 2 resort and biodiversity monitoring, RBM training and smart patrol practice were also done in resort level.  • EPASS project also support Biodiversity monitoring and management, species and habitat condition monitoring system especially on Yaki (Macaca nigra)) has been implemented in Bacan Island central Halmahera north Maluku province on November 14-17 2017. |
| **Outcome 3.2.3** Monitoring and combating of poaching and the wildlife trade, with the support of the island-level unit.  Outputs for outcome 3.2.3.  • Successfully forming a task force for illegal wildlife trading in Bitung city. In addition, the task force of anti-illegal protected wildlife trade has formed by Bitung Mayor  • The Project has supported regular and functional patrol in LLNP and Tangkoko NR within and along the borders of the PAs |
| **Outcome 3.2.4** Pilot case studies of environmental economic values.  Output for outcome 3.2.4.  • The economic valuation of ecosystem services in Sulawesi was conducted by the Project focusing on the three Project sites. The method used was full economic valuation TEEB (The Economics of Ecosystems and Biodiversity) as best practice approach and international benchmark in capturing the value of nature. The valuation found that the value of ecosystem services in the three project sites are: US$ 36.29 million in Bogani Nani Wartabone National Park, US$ 32.32 million in Lore Lindu National Park, and US$ 10.02 million in Tangkoko NR. The project has been showcased some financing models to be used in the three project sites, however the project has not decided yet which one will be used as financing model |
| **Outcome 3.2.5.** Implementation of site-level revenue generation mechanisms, based on environmental economic valuation studies and priorities identified by PA financing plan.   * The MTR team is not aware of any update or activity for this particular outcome |
| **Outcome 3.2.6.** Restoration of fragmented and degraded ecosystem.  Outputs for outcome 3.2.6.   * Restoration Plan of Fragmented and Degraded Ecosystem in the three project sites has been developed based on survey and coordination with PMU, MoEF and the National Park Authorities. The plan is in conjunction with the PAs' new management plans and will be carried out by the authorities with support from the project. The extent of rehabilitated area supported by the Project in the area is 15 hectares in total. * In line with the restoration plan, priority areas for restoration in BNWNP has been identified through direct survey by Project and NP authority staff. The main cause of degradation in those areas is active encroachment from community’s activity such as plantation of seasonal crops. |
| **Outcome 3.2.7.** Development of management planning.  Outputs for outcome 3.2.7.   * The management planning development were conducted through participatory mode using SMART and BIS system. * The project also supported BNWNP, LLNP, and North Sulawesi conservation authorities to update their protected areas management plan for the period 2017-2026. Development of the management plan was done using participatory method involving conservation authorities, community in buffer zone areas, and local government and provincial government |
| **Outcome 3.2.8.** Capacity need assessment and training for local partners & community.  Outputs for outcome 3.2.8.   * The Capacity development strategy and action plan have been updated in three project sites. All capacity development strategy and action plan were established and legalized by the government * 150 Authorities personnel in three project sites were trained * Training of trainer in BNWNP also conducted and has increased the capacity and awareness of teacher, local NGO, Saka Wanabakti scout and the society about conservation. * workshop to increase the knowledge and capacity of law enforcement officers on criminal acts against forest conservation was organized by BNWNP authority supported by the Project in Gorontalo Province |
| **Outcome 3.3.**  Joint PA/buffer zone governance and management structure. | Outputs for outcome 3.3.   * WCS Deliverable #8: Socio-economic study of villages with existing Community Conservation Areas (CCAs) and potential ones in buffer zone of the three Project Sites * WCS Deliverable #18: Strategic Action Plan for CCA development in the three Project Sites * WCS Deliverable #19: Strategic action plan for strengthening collaborative management * WCS Deliverable #21: Action plan to designate buffer zone area with supporting policies and regulations from local government to biodiversity mainstreaming into spatial planning process in three Project Sites |
| **Outcome 3.3.1.** Building on, adapting and replicating the CCA establishment process.  Output for outcome 3.3.1.   * The project has been able to conduct activities with communities reside in buffer zone areas in all three sites. 23 community conservation agreements were established. |
| **Outcome 3.3.2.** Development mechanism/incentive for securing alternative livelihoods to reduce the pressure and maintain biodiversity.  Output for outcome 3.3.2.   * The Project in LLNP encouraged and supported villagers in buffer zone to use high value plants such as durian, nutmeg, resin, candlenut, and avocado as PA natural boundary wall. This activity will help maintain the PA’s boundary marking while providing additional livelihood for the local community. |
| **Outcome 3.3.3.** Establishment of village education centre for awareness building related to the role and state of wildlife and the value of healthy ecosystem.  Outputs for outcome 3.3.3   * EPASS Tangkoko has been facilitated mobile conservation unit along with educational module distribution around CFMU Tangkoko area whereas LLNP has already initiated nature school in Toro village. * EPASS BNWNP has already did training of trainer of education and awareness program for extension worker, resort staff, community, NGO, teacher and other stakeholders. * There are also 2 awareness team in North Sulawesi especially Saka wana bakti who did educational puppet show for conservation. There is also eco-tourism training for CCA village and CCA village candidate in Gorontalo. |
|  | **Outcome 3.3.4.** Micro-capital grants to support small income-generating and/or conservation schemes.   * The MTR team is not aware of any update or activity for this particular outcome. |
| **PROJECT IMPLEMENTATION** | |
| **Work planning  Reporting** | Work planning and reporting are undertaken conscientiously and to a fair standard. |
| **Finance and co-finance** | The rate of expenditures is substantially below expectation. As of April, 2018 only 44% of the GEF and 14% of the UNDP allocations have been spent. Urgent action to remedy is required and has been recommended in this report. |
| The level of co-financing could not be properly assessed due to difficulties in obtaining IN-KIND expenditure figures. |
| **Stakeholder engagement and partnerships** | Project has engaged well with a wide range of stakeholders. Partnerships with some government sectors, including schools, research and academic institutions and conservation NGOs have been strengthened, and co-management with communities is beginning to emerge. |
| **Communications** | A highly successful communications platform has been set up enabling the E-PASS PMU, national consultants, PA staff, PMO, NGOs, local government and service contractors to network with each other. |

**Table 5: Project’s Key Strengths**

|  |  |
| --- | --- |
| MTR REPORT | STRENGTHS |
| **PROJECT STRATEGY** | |
| Project Design | The project is conceptually well designed to strengthen effective management of Sulawesi protected areas in response to threats to globally significant biodiversity and essential ecosystem services. |
| **PROJECT IMPLEMENTATION** | |
| GEF Partner Agency, UNDP | The UNDP CO, as implementing agency has supplied an adequate degree of supervision and backstopping and its overall performance has benefitted as a result. |
| Executing Agency, HFD | The Ministry of Environment and Forestry assembled a coherent, well-integrated team at National level and FCU level. Coordination with implementing agencies were pretty strong although might be improved |
| Finance and co-finance | The financial management is sound and transparent yet the magnitude still to be determined. The co-finance IN-KIND contribution should be reduced to reflect a more realistic figure as this gives a false and very negative impression of actual delivery figures. |
| Project level M&E systems | M&E implementation has been carried out according to the standard, with excellent progress monitoring and strong internal activity monitoring. |

## **Key Shortcomings and Recommendations**

Weaknesses and recommendations are summarized in the tables below and cross-referenced to the relevant sections in this report for more details. Further evidence and rationale supporting these sections can be found in **Annexes IV** and **V**.

**Table 6: Major Project’s Key Shortcomings**

|  |  |
| --- | --- |
| **MTR Report**  **(Section No.)** | **KEY SHORTCOMINGS** |
|  | * The transfer of trained staff to other departments might affect the continuation of the Outcomes of this project. * At the time of MTR, a model to ensure the future sustainability of the project is not yet defined (Outcome 2). * The lack of counterpart staff and the budget allocated to conservation areas limit progress on Outcome 3. * As a result of these two last points, the project is under-implementing and underspending. |

**Table 7: Recommendations:**

| RECOMMENDATIONS | | |
| --- | --- | --- |
| **No.** | **Recommendations** | **Lead** |
| **Corrective actions for the design, implementation, monitoring and evaluation of the project** | | |
| 1. . | UNDP-CO should adjust the project budget in order to reduce the IN-KIND contributions to more realistic levels. | UNDP-CO |
| 1. . | The MoEF should consider initiating actions to implement key recommendations made by the WCS that have not yet been acted upon. (see Annex IX below). | MoEF |
| 1. . | BAPPENAS should accelerate the process of completing Outcome 2 and consider other models that might ensure a predictable, reliable, constant and sufficient flow of funds to ensure the future sustainability of the PAs, such as the one the MTR Team has proposed. | BAPPENAS |
| 1. . | The MoEF should allow PMU/FCU staff to work directly with the communities when PA staff is not available to accompany them. | MoEF |
| **Proposal for Future Directions underlying Main Objectives** | | |
| 1. . | The UNDP-CO should consider making a detailed financial analysis to determine if there will be surplus funds available at the end of the project). | UNDP-CO |
| 1. . | If so, the MTR believes they should be used to finance the WCS’ proposal for additional complementary activities which the MTR Team fully endorses, as per the proposal enclosed below (see Annex X ). | UNDP CO & PMU |
| 1. . | The GEF and UNDP-CO should consider using any additional surplus funds that might be identified after a financial analysis, to reinforce the Micro-grants fund | GEF  UNDP-CO |
| 1. . | The UNDP-CO and the MoEF should ensure that at least 50% of all the funding disbursed by the Micro-grants Fund go towards financing initiatives of women’s community groups. | UNDP-CO, MoEF |
|  | MTR recommends “no additional cost” extension of one year, in order to allow the project to complete its three outcomes. | GEF & UNDP-CO |

**Acronyms and Terms**

AMR Annual Monitoring Report

APR Annual Performance Report

ARR Annual Review Report

AWP Annual Work Plan

BAPI Biodiversity Action Plan for Indonesia

BAPPENAS *Badan Perencanaan dan Pembangunan National* (National Development Planning Agency)

BAPPEDA *Badan Perencanaan dan Pembangunan Daerah* (Provincial Development Planning Agency)

BAU Business as Usual

BI Birdlife International / Burung Indonesia

BKSDA *Balai Konservasi Sumber Daya Alam* (Natural Resources Conservation Center)

BNI *Bank Negara Indonesia*

BNW Bogani-Nani Wartabone

BNWNP Bogani-Nani Wartabone National Park

BPDAS *Badan Pengelola Daerah Aliran Sungai* (Agency for Watershed Management)

BLU *Badan Layanan Umum* (Public Service Agency)

CA Conservation Area

CBD Convention on Biological Diversity

CCA Community Conservation Area

CDM Clean Development Mechanism

CDR Combined Delivery Report

CEO Chief Executive Officer

CHM CBD Clearing House Mechanism

CI Conservation International

CITES Convention on International Trade in Endangered Species

CIFOR Centre for International Forestry Research

CMP Conservation Measure Partnership

CO Country Office

CPAP Country Programme Action Plan

CSO Cross Sector Organisations

CTA Chief Technical Advisor

DG Director General

DNS Debt for Nature Swap

EA Executing Agency

EAAFP East Asian Australasian Flyway Partnership

EBA Endemic Bird Area

ERC Evaluation Resource Center (of UNDP Evaluation Office)

EHI Ecosystem Health Index

E-PASS Enhancing the Protected Area System in Sulawesi for Biodiversity

Conservation

FAO Food and Agriculture Organization of United Nations

FCU Field Coordinating Unit

FMKH *Forum Masyarakat Konservasi Hutan* (Forest Conservation Community Forum)

GEF Global Environment Facility

GDP Gross Domestic Product

GoI Government of Indonesia

Ha Hectare

IA Implementing Agency

IAS Invasive Alien Species

IBSAP Indonesian Biodiversity Strategy and Action Plan

IBA Important Bird Area

IDR Indonesian Rupiah

IC International Consultant

IUCN International Union for Conservation of Nature

IW Inception Workshop

KKH *Konservasi dan Keanekaragaman Hayati* (Conservation and Natural Resources,

one of Directorate under MoEF)

KKMP Maros Karst Regions Pangkep

KLHK *Kementerian Lingkungan Hidup dan Kehutanan* (Ministry of Environment and Forestry)

KPHK *Kesatuan Pengelolaan Hutan Konservasi* (Conservation Forest Management Unit)

KSDAE *Konservasi Sumber Daya Alam dan Ekosistem* (Natural Resources and Ecosystem Conservation, one of the Directorate under MoEF)

LBN National Biological Institute

LIPI *Lembaga Ilmu Pengetahuan Indonesia* (Indonesian Institute of Sciences)

LKK *Lembaga Konservasi Kecamatan* (Sub District Conservation Body)

IP2M *Lembaga Penelitian dan Pengabdian Masyarakat*

LPM F/21 Lembaga Pemberdayaan Masyarakat/Community Empowerment

Institute F/21

LULUCF Land Use, Land-Use Change and ForestryM&E Monitoring and Evaluation

METT Management Effectiveness Tracking Tool

MIS Management Information System

MMP Community of Forestry Police Partners

MoEF Ministry of Environment and Forestry

MoU Memorandum of Understanding

MTR Mid-term Review

NAMA Nationally Appropriate Mitigation Actions

NGO Non-Government Organisation

NIM National Implementation Modality

NISP National Implementation Support Partnership

NP National Park

NPD National Project Director

NPM National Project Manager

NR Nature Reserve

NSC National Steering Committee

NWFP Non-wood Forest Products

OS Open Standard for Conservation Practice

PA Protected Areas

PEP *Pengawasan, Evaluasi dan Pelaporan* (Monitoring, Evaluation and Reporting)

PHKA *Perlindungan Hutan dan Konservasi Alam* (The Directorate General of Forest Protection and Nature Conservation, Ministry of Environment and Forestry)

PIF Project Identification Form (for GEF)

PIMS Project Information Management System

PIR Project Implementation Review

PIW Project Inception Workshop

PMU Project Management Unit

PoWPA Programme of Work on Protected Areas

PPG Project Preparation Grant

PPR Project Progress Report

ProDoc Project Document

PSC Project Steering Committee

PSCM Project Steering Committee Meeting

QA Quality Assurance

QC Quality Control

QMR Quarterly Monitoring Report

RAMSAR Ramsar Convention on Wetlands of International Importance

RBM Resort Base Management

RCU (UNDP-GEF) Regional Coordinating Unit

REDD+ Reducing Emissions from Deforestation and Forest Degradation

RFP Request for Proposal

RPJMN *Rencana Pembangunan Jangka Menengah Nasional* (Medium-Term

National Development Plan)

RPJMD *Rencana Pembangunan Jangka Menengah Daerah (*Sub-national Medium-term

Development Plan

RPJMDes *Rencana Pembangunan Jangka Menengah Desa* (Village Medium-term

Development Plan)

RKTP *Rencana Kerja Tahunan Propinsi* (Provincial workplan)

RKTK *Rencana Kerja Tahunan Kabupaten* (Regional workplan)

ROtI Review of Outcome to Impact

RRF Result and Resources Framework

RTA Regional Technical Advisor (of UNDP)

SFM Sustainable Forest Management

SMART Systemic Monitoring and Reporting Tools

SOP Standard Operation Procedure

SRF Strategic Results Framework

TN *Taman Nasional* (National Park)

TNC The Nature Conservation

ToR Terms of Reference

UN United Nations

UNDP United Nations Development Programme

UNDP-CO UNDP Country Office

UNDP EEG UNDP Environment and Energy Group

UNFCC United Nations Framework Convention on Climate Change

UNDAF United Nations Development Assistance Framework

UNDP HQ UNDP Headquarter

UNDP-RTA United Nations Development Programme – Regional Technical

Advisor

UNEP United Nations Environment Programme

UNESCO United Nations Educational, Scientific and Cultural Organization

UN-REDD United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries

UPT Technical Operation Unit

USD United States Dollar

UU *Undang-Undang* (Bill)

WCS The Wildlife Conservation Society

WWF World Wide Fund for Nature

Currency of Indonesia is the Indonesian Rupiah. At the time of the final evaluation, US$ 1 = IDR14,037.8

1. **Introduction**

# Purpose of the Mid-Term Review

In the light of UNDP's guidance for initiating and implementing Mid-Term Project Reviews of UNDP supported projects that have received grant financing from the GEF, this Mid-Term Review (MTR) has the subsequent corresponding purposes:

• To encourage accountability and transparency of the E-PASS project, and to evaluate and divulge the degree of project accomplishments.

• To synthesize lessons-learned which may help to improve the collection, strategy and enactment of future UNDP projects.

• To provide feedback on recurrent problems across the UNDP portfolio.

• To contribute to the overall assessment of results in achieving GEF strategic objectives which eventually contributed to global environmental benefits.

• To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.

The guidance is designed to improve acquiescence with both UNDP and GEF evaluation policies and procedural necessities, which are consistent and mutually strengthening, and use common standards. The guidance also responds to GEF requirements to ensure that Mid-term Review of GEF-financed projects should include ratings of project's relevance, effectiveness, efficiency, monitoring and evaluation implementation as well as sustainability of results (outputs and outcomes).

By adopting “UNDP’s guidance for Conducting Mid-term Review of UNDP-Supported GEF-Financed Projects”, this Mid-term Review responds to both UNDP and GEF requirements for Mid-term Reviews.

## **Scope and Methodology of the MTR**

This Mid-Term Review (MTR), carried out by a team composed of an independent international and an independent national consultant, was initiated by UNDP Indonesia as the GEF Implementing Agency (IA) for the project on “Enhancing the Protected Area System in Sulawesi for Biodiversity Conservation (E-PASS)” , in order to measure the effectiveness and efficiency of Project activities related to the stated objectives, and to collect lessons learned.

The MTR was conducted over a period of 40 work/days between 2 July 2018- 5 September 2018 by the team of consultants. The approach was determined by the terms of reference (Annex I) and the mission was carried out according to the itinerary (Annex II). The MTR mission focussed on the assessment of the concept and design of the Project; its implementation, financial planning and execution, as well as its monitoring and evaluation; the efficiency and effectiveness of activities carried out and the objectives and outcomes achieved. It also reviewed the future sustainability of its results, and the ownership of the project and the involvement of stakeholders in its execution. The draft report was revised upon receiving comments and finalized on 14th of September 2018

The review was conducted following a participatory approach to fully support the report with sufficient evidence upon which to base the conclusions:

* + Extensive direct interviews with the project management and technical support staffs.
  + A series of interviews with local stakeholders and project staffs at National Park and Field Coordination Unit;
  + One-on-one interviews with National Project Manager, Coordinator for E-PASS Component 2 from BAPPENAS, UNDP-GEF Advisor, UNDP Country Office, Lead Consultant for Forestry Program 3 of the GIZ, community leaders in adjacent areas and Director for Terrestrial of the World Conservation Society;
  + A detailed evaluation of project documents and other relevant texts, including the Project Document, revised log-frame, and monitoring reports, such as progress and financial reports prepared for UNDP and annual Project Implementation Reviews (PIR), technical reports and other activity reports, relevant correspondence, and other project-related material produced by the project staff or partners.

The MTR team of consultants carried out the Review in accordance with the criteria listed in the UNDP Monitoring and Evaluation Policy, namely:

* + Relevance – the extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time, as well as the extent to which the project is in line with the GEF Operational Programmes or the strategic priorities under which the project was funded.
  + Effectiveness – the extent to which an objective has been achieved or how likely it is to be achieved.
  + Efficiency – the extent to which results have been delivered with the least costly resources possible.
  + Results – the positive and negative, foreseen and unforeseen, changes to and effects produced by a development intervention. In GEF terms, results include direct project outputs, short to medium term outcomes, and longer-term impact including global environmental benefits, replication effects and other, local effects.
  + Sustainability – the likely ability of an intervention to continue to deliver benefits for an extended period after completion. Projects need to be environmentally as well as financially and socially sustainable.

The results of the evaluation were conveyed to UNDP and other stakeholders (Annex IV)

* 1. Structure of the Evaluation Report

The MTR report is designed in line with UNDP’s guidance (see Annex I). It initially presents an Executive Summary of the evaluation. This is followed by an Introduction outlining the main elements of the project.

The MTR report begins with a description of the project, indicating the duration, principal stakeholders, and the immediate and development objectives. The findings of the review are then broken down into the following aspects:

• Project strategy,

• Progress towards results,

• Project implementation and adaptive management, and

• Partnership arrangement

* Sustainability

The report culminates with a summary of the conclusions reached and recommendations, in the following categories:

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

• Actions to follow up or reinforce initial benefits from the project; and

• Proposals for future directions underlining main objectives.

## **Ethics**

The review was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the reviewers have signed the Evaluation Consultant Code of Conduct Agreement form (Annex XIII). In particular, the MTR team ensures the anonymity and confidentiality of individuals who were interviewed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders’ dignity and self-worth.

* 1. **MTR Limitations**

As is the case in most evaluations, the MTR Team faced some limitations. Amongst these were:

* **Duration of MTR Mission:** The field portion of the MTR mission had to be kept to 12 working days which for such a complex project, in the opinion of the MTR Team, proved to be short.
* **Language issues:** In addition to the fact that many of the reports produced by the project were available only in Bahasa Indonesian requires a very extensive translation effort on the part of the national consultant, many of the interviewees spoke only that language requiring interpretation for the interviews as well as for wrap-up meetings.
* **Date of reception of technical reports:** Prior to the field portion of the MTR mission, the consultants had been provided with the basic documents such as the Prodoc, the Inception Report, two PIRs for the years 2016 and 2017 etc. However, about thirty technical reports, many in Indonesian, were provided during the field mission.
* **Availability of certain important interviewees:** Some key people had to be interviewed by Skype as they were not present in Jakarta or Sulawesi. Internet connections were not always optimal.

## **Rating Scales**

Project achievements were rated with respect to the level of satisfactoriness achieved, in accordance with the 2014 MTR guidance, using the following scales below.

**Ratings for progress towards results:**

|  |  |
| --- | --- |
| **Highly Satisfactory (HS)** | Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”. |
| **Satisfactory (S)** | Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings. |
| **Moderately Satisfactory (MS)** | Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits. |
| **Moderately Unsatisfactory (MU)** | Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives. |
| **Unsatisfactory (U)** | Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits. |
| **Highly Unsatisfactory (HU)** | The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits. |

**Ratings for project implementation and adaptive management:**

|  |  |
| --- | --- |
| **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”. |
| **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. |
| **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. |
| **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. |
| **Unsatisfactory (U)** | Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management. |
| **Highly Unsatisfactory (HU)** | Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management. |

Sustainability of outcomes was evaluated across four dimensions of risk: including financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks. According to 2014 MTR guidance, all dimensions of risk are critical: i.e., the overall rating for sustainability cannot be higher than the lowest-rated dimension. Sustainability was rated according to a 4-point scale, as defined below.

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

|  |  |
| --- | --- |
| **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 |
| **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 |
| **Moderately Unlikely (MU)** | Significant risk that key Outcomes will not carry on after project closure, although some outputs and activities should carry on |
| **Unlikely (U)** | Severe risks that project Outcomes as well as key outputs will not be sustained |

1. Project Description, Development Context and Progress
   1. Project Start and Duration

The Project Document was signed on March 12th. 2015 for the duration of five years. However, few project activities were undertaken in the first year. Project activities were launched as of December 2015 after the Inception Workshop. The project is scheduled to end in April of 2020. The Mid-term Review was conducted between July 2nd and September 5th, 2018.

The key timelines which are planned or expected for project implementation are shown in Table below.

**Key timelines planned or expected for project implementation.**

|  |  |
| --- | --- |
| **Key project’s milestones** | **Date** |
| PIF Approval Date | 30 March 2012 |
| CEO Endorsement Date | 23 Jan 2014 |
| Project Document Signature Date (project start date): | Mar 12, 2015 |
| Date of Inception Workshop | Nov 20, 2015 |
| Expected Date of Mid-term Review | 16 April 2018 |
| Actual Date of Mid-term Review | 2 July – 31 August 2018 |
| Expected Date of Terminal Evaluation | 30 March 2020\* One month before project ended as stated by ProDoc |
| Original Planned Closing Date | April 2020 |
| Revised Closing Date | *(not set or not applicable)* |

* 1. Problems that the Project sought to address

**Immediate and Development Objectives of the Project**

**Objective:**

To strengthen the effectiveness and financial sustainability of Sulawesi’s protected area system to respond to threats to globally significant biodiversity.

The Project was designed to reach this through the achievement of three Outcomes:

1. An enhanced systemic and institutional capacity for planning and management of Sulawesi PA

system;

(2) The establishment of a financial sustainability model of the Sulawesi PA system; and

(3) Threat reduction in the target PAs and buffer zones through the establishment of a collaborative

governance model.

Outcomes and Expected Results as designed

To measure the achievement of the project, the following Outcomes and expected outputs were established as follows:

***Goal:*** The establishment of an effectively managed system of protected areas that is well integrated into its surrounding landscape contributing to sustainable, inclusive and equitable development in Sulawesi

***Objective*:** to strengthen the effectiveness and financial sustainability of Sulawesi’s PA system to respond to existing threats to globally significant biodiversity. With GEF support, interventions at the level of Sulawesi’s terrestrial PA system will:

(i) Enhance the systemic and institutional capacity for planning and management of the Sulawesi PA system;

(ii) Increase the financial sustainability of the Sulawesi PA system;

(iii) Reduce threats and strengthen collaborative governance in target PAs and buffer zones.

**Component Outcome #1. Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system**

**Outcome #1.1.**

*Capacity of the Ministry of Environment and Forestry strengthened to fully operationalise the “Resort-based management” system for implementation in the national, and particularly in Sulawesi’s, PA system, including all categories of PAs*

**Outputs:**

* Development of PA management standards and individual performance monitoring systems for different categories of PAs.
* Training for enhanced law enforcement.
* Development of Capacity-development strategies and action plans for strengthening management effectiveness.
* Clear and well-tested guidelines for community engagement and co-management.
* Establishment of Incentive mechanism for resort-level innovation.

**Outcome #1.2.**

*An island-wide system for biodiversity, key species and habitat condition monitoring established with*

*science-based survey mechanisms, protocols for monitoring, robust biodiversity indicators and with all*

*necessary tools and capacity installed within the Directorate of Biodiversity Conservation and partner*

*organisations.*

**Outputs:**

* Institutionalization of the island-wide mechanism for biodiversity monitoring and management, a species and habitat condition monitoring system.
* Collection and management of monitoring data through improving the existing monitoring & reporting process.
* Publication of national standards for PA-related data.

**Outcome #1.3.**

*Intelligence-based poaching and wildlife trade surveillance system operationalized through establishment*

*and operations of a Sulawesi-based unit.*

**Outputs:**

* Establishment of a decentralized (Sulawesi-based, intelligence-based poaching and wildlife trade surveillance) unit in Sulawesi; at a location to be determined.
* Development an island-level capacity to monitor, analyse and, working in co-operation with PA management authorities, confront poaching and wildlife trade across the island. Coordination with community-level outreach efforts being supported under Output 3.3.

**Outcome # 1.4.**

*Spatial arrangement of the Sulawesi PA system improved based on the terrestrial PA system*

*consolidation plan (including corridors, area expansion and boundary rationalization) for Sulawesi and*

*integration of the plan into the provincial land use plans.*

**Outputs:**

* Improved spatial arrangement of the Sulawesi PA system based on development of a terrestrial PA system consolidation plan (corridors, area expansion and boundary rationalization).
* Toward establishment of potential protection forest as new low land tropical forest national park.

**Component Outcome #2.** **Financial sustainability of the PA system**

**Outcome # 2.1.**

*An environmental economic case is made for increased investment in the PA system.*

**Outputs:**

* Increasing investment in the PA system by quantifying the value of Sulawesi’s PAs in terms of the full range of ecosystem goods and services being provided.

**Outcome # 2.2.**

*Sulawesi island-wide PA System Financing Plan is developed, projecting the financial needs for PA*

*management and expansion over the next 10 years and outlining the strategies for meeting these needs*

*from both cost and revenue points of view.*

**Outputs:**

* Developing Sulawesi island-wide PA System Financing Plan.
* Study on financial needs for effective management and development, based on PA management plans.
* Pilot implementation at site and/or sub-system level in Sulawesi to identify appropriate mechanism on PA financing system.
* Initial implementation of the financing plan as well as development of diversified financing mechanism.

**Outcome #2.3**

*Diversified revenue generation mechanisms and other financing sources for PA management at national and*

*regional levels*

**Outputs:**

* Development of an enabling policy/legal environment related to the identified instrument.
* Design, negotiation and formalization and operationalization of the mechanisms.
* Development of a national mechanism for monitoring, reporting and verification of services, and payment distribution mechanisms.
* Awareness and capacity building for decision makers, local government officials and local and indigenous communities, to ensure continuity of ecosystem service provision and payments, in the application of land-use to maximise ecosystem service provision and its continuity over time.

**Component Outcome #3: Threat reduction and collaborative governance in the target PAs and buffer zones.**

**Outcome #3.1.**

*Integrated land use plans, including PA alignment, developed and implemented in two districts.*

**Outputs:**

* Examination of PA boundaries in the context of biodiversity and ecosystem service considerations for optimizing land uses within a broader landscape.
* Biodiversity mainstreaming into planning process to enhance PA system sustainability.
* Participatory locally PA boundary maintenance using means such as native salak palm with thorns as well as edible fruits to act as a thick natural boundary wall.
* Establishment and/or revitalization of community managed conservation areas.

**Outcome #3.2.**

*PA site operation is strengthened*

**Outputs:**

* Activity Result 2: PA site operation is strengthened.
* Implementation of resort based management (RBM) at selected sites.
* Biodiversity and habitat conditions monitoring.
* Monitoring and combating of poaching and the wildlife trade, with the support of the island-level unit.
* Pilot case studies of environmental economic values.
* Implementation of site-level revenue generation mechanisms, based on environmental economic valuation studies and priorities identified by PA financing plan.
* Restoration of fragmented and degraded ecosystem.
* Development of management planning.
* Capacity need assessment and training for local partners & community.

**Outcome #3.3.**

*Joint PA/buffer zone governance and management structure*

**Outputs:**

* Building on, adapting and replicating the CCA establishment process.
* Development mechanism/incentive for securing alternative livelihoods to reduce the pressure and maintain biodiversity.
* Establishment of village education centre for awareness building related to the role and state of wildlife and the value of healthy ecosystem.
* Micro-capital grants to support small income-generating and/or conservation schemes.
  1. Main Stakeholders

Main stakeholders involved in the project were identified during project formulation, along with their

roles and responsibilities, and this information is summarised in below. Full details can be found in

the ProDoc

In the early stages of project development, many stakeholders were involved, including from non-natural resources-related institutions. Under the lead of Ministry of Environment and Forestry, other relevant government ministries/agencies, regional governments and regional natural resource agencies, NGOs and Universities were invited to discuss project concepts and identify loopholes. Community institutions were also engaged as stakeholders to ensure the whole ownership resides with Indonesia. The specific arrangements of Stakeholders are organized as follow:

Originally, the project was to be implemented by the then Ministry of Forestry. In the implementation phase of the project, the Ministry of Environment and the Ministry of Forestry were merged into the Ministry of Environment and Forestry (MoEF). The MoEF Chairs the Project Board and involves, as necessary, others such as the scientific community (Universities), local community representatives, and other stakeholders with interest in the Protected Area Management System.

At national level, the project formed a Project Board/ National Steering Committee (NPSC) which is Chaired by the Director of Natural Resources Conservation. The PSC is the highest decision-making component within the organizational structure of the E-PASS project. It is comprised of Echelon II equivalent officials from each of the institutions i.e. Ministry of Environment and Forestry, BAPPENAS and Ministry of Finance, as well as from UNDP and other agreed institutions

In addition to the line ministries and other government institutions with interest in the field of conservation of protected areas, provincial/districts/municipalities decision making bodies were also involved in the process, particularly in provinces and districts selected for piloting the activities related to increasing the capacity of protective area management, community empowerment and reducing threats to biological diversity.

TheUNDP Indonesia Country Office sits on the PSC, providing amongst other things, an independent, objective monitoring mechanism for following project activities. The Project Board was established to give directives to the National Project Director and through her, to the Project Manager/Head of the Project Implementation Unit (PMU) for follow-up. The project assurance function is attached to a UNDP program officer.

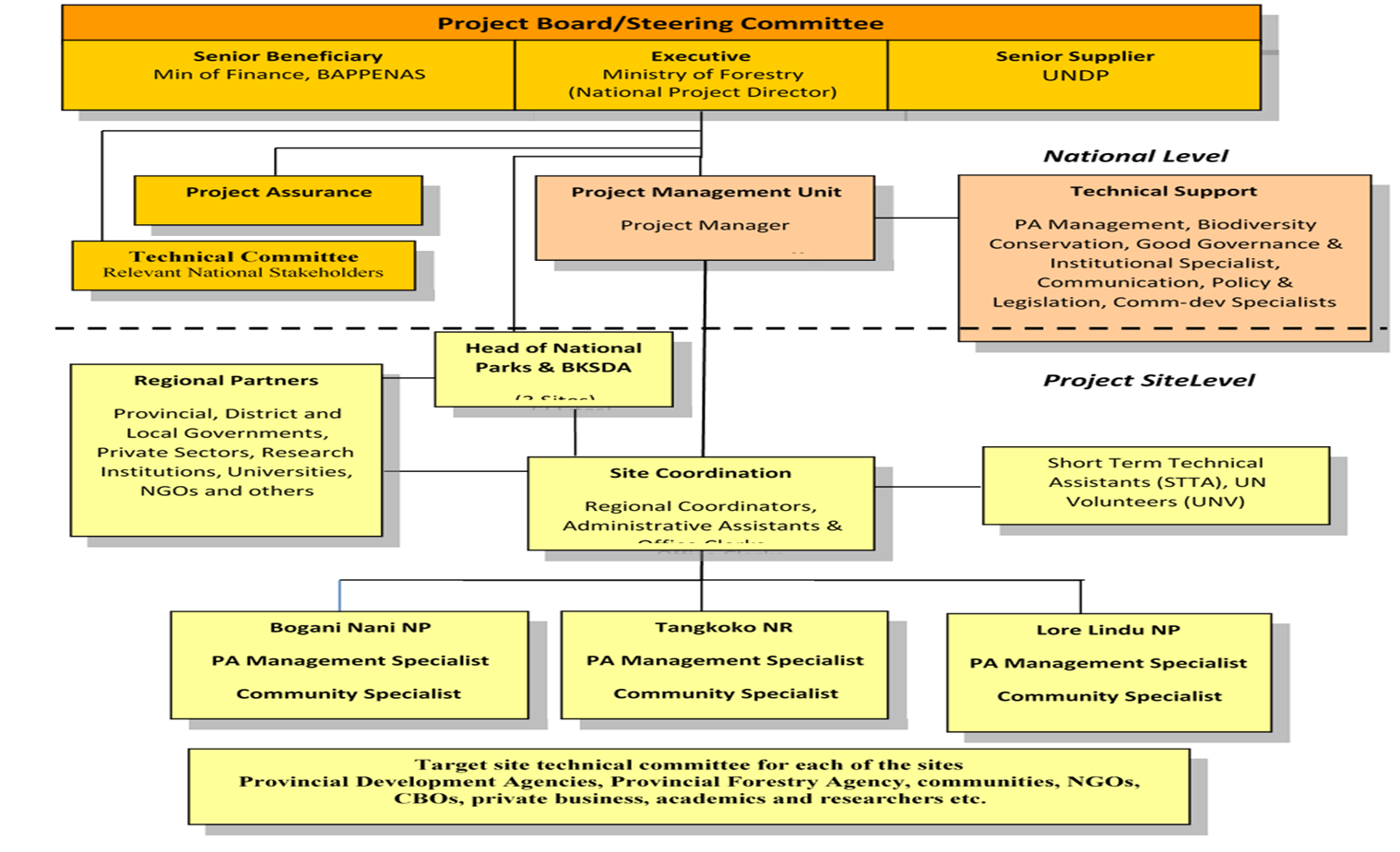
## **Implementation Arrangements**

The project, could not achieve its Outcomes without the support and ownership of other stakeholders. Therefore, the project was designed to ensure the inclusion of a wide range of stakeholders and partners that could contribute to the execution of activities and actively engage in capacity building for the management of the protected area in Sulawesi.

As stated, the E-PASS project at the national level has a Project Board (steering committee) whose main members are the Ministry of National Development / BAPPENAS, Ministry of Finance, Ministry of Environment and Forestry, and UNDP.

At the operational/technical level, the E-PASS project collaborates with various parties to carry out capacity building activities in management of natural resources. The World Conservation Society (WCS) was appointed as a partner in research efforts to obtain baseline data to support the project implementation and also provide inputs on various potential activities that can be developed to support the various outputs that have been prepared. WCS has also been asked to help improve the staff capacity of park rangers, especially in terms of implementing the SMART Patrol concept.

In proposing a conservation policy strategy, the EPASS project is not only cooperating with the government, but also with universities and NGOs. Some universities that participated in the compilation of the Conservation Action Strategy are Tadulako University, Gorontalo University and Sam Ratulangi University. NGOs were also involved such as the WCS, JAPESDA and Yayasan Rimbawan & Selamatkan Yaki. Details of the project management arrangements as reflected in the ProDoc and shown schematically below.



## **Project Budget and Finance and efficiency in the Use of Funds**

The total project cost is stated as US$50,215,000 which includes US$6,515,000 in cash and US$43,700,000 in the form of” in-kind” contributions. The GEF contributes US$6,265,000 in cash, and UNDP’s contribution is US$250,000 in cash. The in-kind support from the Government of Indonesia is stated as US$41,500,000, that of UNDP is stated as US$ 2,000,000 and that of Selamatkan Yaki is stated as US$ 200,000 (Tables 1 and 4).

By the time of the project’s Mid-Term Review, about 96.16% of the budget was still available. With regard to the in cash GEF budget, 57 % was still available and with the UNDP in cash budget about 84% was available. Similarly, 60.6% of kind contribution of UNDP CO and 100% of kind contribution from Selamatkan Yaki was still available. Figures for the GoI IN-KIND contribution were not available. Information on actual values of IN-KIND contributions made by the GoI was roughly estimated at US$1,440,996.98, but a more refined figure was difficult to collect as information from several ministries could not be obtained.

However, the MTR Team wishes to emphasize that these figures do not reflect reality. The IN-KIND contributions of the GoI and of the UNDP were, in the MTR’s Team opinion, greatly exaggerated at the time of drafting the project document and should be revised downward to realistic levels. This would avoid creating a very false image of true expected expenditures.

The executing and implementing agencies have monitored the expenditures on the in-cash contributions closely, linked them to program implementation and reallocated funds accordingly. This has helped to accomplish vital activities. However, the MTR Team wishes to again reiterate the need to accelerate expenditure rates (implementation of activities) if the desired Outcomes 2 and 3 are to be fully achieved by the project’s closure.

Tables 9 through 12 below breakdown the budget by Component Outcome and Source and Year and provide information on expenditures to date as well as disbursements made to date by each source.

Table 9: Total disbursement of funds by output (end of July 2018) (US$) against full project budget as per Project Document.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Component**  **Outcome** | **GEF** | | | **UNDP** | | | **GoI (in-kind)** | | | **Selamatkan YAKI (NGO)** | | |
| **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** |
| Outcome 1 | 1,109,001 | 1,160,497.76 | 105% | 0 | 0 |  |  | 748,549.33 |  | 200,000 | 94,708.97 |  |
| Outcome 2 | 1,227,000 | 370,864.22 | 30% | 0 | 0 |  |  | 79,357.60 |  |  |
| Outcome 3 | 3,543,550 | 1,058,501.57 | 30% | 0 | 0 |  |  | 388,129.40 |  |  |
| Outcome 4 | 385,450 | 127,329.41 | 33% | 200,000 | 28,022.00 | 14% |  | 224.960,65 |  |  |
| ME & PMU | 0 | 0.00 |  |  |  |  |  | 1,440,996.98 |  |  |  |  |
| **Total** | **6,265,001** | **2,717,193** | **44%** | **200,000** | **28,022** |  | **0** | **1,440,996.98** | **0** | **200,000** | **94,709** | **0** |

\*Tables 1 shows the disbursement of GEF and UNDP, GoI and Selamatkan Yaki funds by component. UNDP in-kind contribution covers, PMU staff salary and travel cost, office equipment, office running expenses including stationary and internets, board and evaluation/consultancy meeting costs. An analysis of budgeted and actual expenditures shows that the expenses on Outcome 1 (Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system) had exceeded the budgeted amount by 5% while disbursement on other activities/outputs were still below the expected amount for the midterm of the project. As stated, the Government contributions (in-kind) could not be analysed as information on exact expenses was not available.

Table 10: Total Disbursement of GEF funds (US$) by Component by Year against budgeted as per Project document. Expense as of April 2018 from AAA Report

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Component**  **Outcome** | **2015** | | | **2016** | | | **2017** | | | **2018** | | |
| **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** |
| Outcome 1 | 345,000 | 72,243.76 | 21% | 251,100 | 294,110 | 117% | 156,600 | 638,738.01 | 408% | 90,100 | 155,405.77 | 172% |
| Outcome 2 | 343,000 | 51,103.72 | 15% | 197,200 | 114,502 | 58% | 205,200 | 192,898.51 | 94% | 198,600 | 12,359.92 | 6% |
| Outcome 3 | 697,000 | 100,317.76 | 14% | 689,050 | 287,441 | 42% | 630,800 | 536,229.48 | 85% | 605,600 | 134,512.92 | 22% |
| Outcome 4 | 90,000 | 123,119.47 | 137% | 62,500 | 187,432 | 300% | 61,500 | (185,487.10) | -302% | 56,500 | 2,264.68 | 4% |
| ME & PMU |  |  |  |  |  |  |  |  |  |  |  |  |
| TOTAL | **1,475,000** | **346,785** |  | **1,199,850** | **883,486** |  | **1,054,100** | **1,182,379** |  | **950,800** | **304,543** |  |

Table 11: Total Disbursement of UNDP funds (US$) by Component by Year against Budgeted as per Project document.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Component Outcome** | **2015** | | | **2016** | | | **2017** | | | **2018** | | |
| **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** | **Budget** | **Actual** | **%** |
| Outcome 1 | - |  |  | - | - |  |  |  |  |  |  |  |
| Outcome 2 | - |  |  | - | 361.00 |  |  |  |  |  |  |  |
| Outcome 3 | - |  |  | - | 10.83 |  |  |  |  |  |  |  |
| Outcome 4 | 25,000.00 | 20,093.05 | 80% | 40,000.00 | 6,069.66 | 15% | 40,000.00 | - | 0 | 40,000.00 | - |  |
| ME & PMU |  |  |  |  |  |  |  |  |  |  |  |  |
| **TOTAL** | 25,000.00 | 20,093.05 | 80% | 40,000.00 | 6,441.49 |  | 40,000.00 | - | 0 | 40,000.00 | - | 0 |

Table no 12: Co-financing of the project.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sources of Co-Financing | Name of Co-Financer | Type of Co-Financing | Amount Confirmed at CEO Endorsement (US$) | Actual Amount Contributed at Stage of Midterm Review (US $) | Actual % of Expected Amount |
| GEF | GEF | Grant (Cash) | 6,265,000 | 2,717,193 | 43.37% |
| UNDP-TRAC | UNDP | Grant (Cash) | 250,000 |  | 0.00% |
| UNDP | UNDP | in-kind | 2,000,000 | 26,535 | 1.33% |
| Government of Indonesia | Government of Indonesia | in-kind | 41,500,000 | 1,440,996.98 | 3.47% |
| NGO (Selamatkan Yaki) | Selamatkan YAKI | in-kind | 200,000 | 94,709 | 47,35% |
|  |  | T O T A L | 50,215,000 | 4,279,433.98 | 8.52% |

\*Source: UNDP (Project Associate UNDP) & Handover notes of Agus, former NPM

### Findings

## **Project Strategy and Design**

* + 1. **Project Strategy**

As stated before, “the project objective is to enhance the management system of the protected areas (PA) into which is well integrated to its adjacent protected areas and integrate in with with a strategy that assumed that it will eventually lead to a higher degree of sustainability, inclusive and collaborative management and will be able to bring equitable development to communities surrounding the PAs in Sulawesi. Strengthening the effective management and financial sustainability of the Sulawesi’s PA system are the ultimate goals. The intervention was designed to be made at the Island-level in order to enhance terrestrial PA system and expected to deliver three Outcomes:

* Enhance the systemic and institutional capacity for planning and management of the Sulawesi PA system;
* Increase the financial sustainability of the Sulawesi PA system;
* Reduce threats and strengthen collaborative governance in target PA and buffer zones.

It was hoped that, if the project achieved these three Outcomes, a similar approach could be implemented elsewhere in Indonesia.

The MTR Team fully concurs that, if these Outcomes are indeed met, the Goals of “Strengthening the effective management and financial sustainability of the Sulawesi’s PA system” could indeed be also met.

* + 1. Analysis of Results Framework

The MTR team feels that the Project’s Results Framework was very consistent. It has a single development objective, three Component Outcomes and ten subsidiary outcomes, all of which are relevant and well defined. The corresponding activities are also listed in full, complete with their own indicators. The objectives and component outcomes are clear and appropriate to the issues and designed considering the timeframe of the project. Project design took into consideration those risks that could have been identified at the time. The roles and responsibilities of the partners were made clear from the project design phase. The Results Framework was revised in 2014 and a change was made. Indicator 5 Representation of additional under-represented was deleted. There has not been any change in number of output or activities from the original Results Framework.

During the project’s design stage, there was some confusion between Outcomes and Outputs. Outputs are the deliverable(s) that are the result of completing one or more activities. Per example, ***30 wardens trained in smart patrol techniques*** is an OUTPUT resulting from one or more activities.

OUTCOMES on the other hand, describe a status or situation that we want to achieve at the conclusion of a project. Per example, ***A Ministry of Environment and Forestry strengthened [so that it can] fully operationalise the “Resort-based management” system for implementation in the national, and particularly in Sulawesi’s, PA system, including all categories of PAs.***

This confusion of terms is quite common and evaluators are faced with them constantly. The MTR Team has chosen to use the correct terminology for purposes of this report.

* + 1. Assumptions

At the project design stage, it was assumed that the political, financial and social conditions of the country would not experience a great variability, showing relative stability and that government policy and regulations would not directly affect the content, quality and preparation of the EPASS project. It was felt that staff turnover would not be a factor affecting EPASS’ implementation.

These assumptions proved to be correct.

* + 1. Lessons from other Relevant Projects incorporated into Project Design

The MTR Team did not come across concrete specific cases of lessons from other projects that were incorporated into the design of EPASS. However, in planning its implementation and in the selection of the National Project Manager, the Chief Technical Advisor and other project staff, one of the key factors was their experience in implementing similar projects. Additionally, by the PMU being physically placed at the MoEF, but within the UNDP unit dealing with other environmental projects, it benefitted from the extensive experience gathered in the implementation of many previous and ongoing projects.

* + 1. Gender

The project contributes to Gender Equity at a community level. The gender strategy is adopted by the project to address the gender gaps and its importance has been mainstreamed in accordance with the project document. The project ensures the integration of a gender perspective into relevant outputs, particularly under Outcome 3. When preparing the Community Conservation Agreements with several of the communities surrounding the three PAs, the project has prioritized the inclusion of income producing activities for women in those communities. They are therefore expected to be important beneficiaries of the Micro-grants fund when it starts to function. The MTR Team had the opportunity to meet with several of the leaders of these women’s community groups and were highly impressed by their dynamism, level of participation in meetings and the income generating opportunities they had identified. The MTR mission wishes to highlight one such women’s group close to Lore Lindu National Park that were producing and packaging artisanal chips made with green papaya. The MTR Team purchased several bags and were impressed with the technological sophistication and attractiveness of their packaging and their flavour. The MTR Team is making a recommendation to ensure that at least half of all the community initiatives financed from the Grants Fund go to community groups of women entrepreneurs.

Likewise, the MTR Team would like to highlight that two of the three heads of the project’s Field Coordinating Units (FCUs) were women and about half of the staff of the PMU and the FCUs were female. In terms of trainees and direct envisioned project beneficiaries, women represented roughly 40% of the total.

## **Progress Towards Results**

**For a list of achievements so far, please refer to Table 2 in the Executive Summary above.**

## **Remaining Barriers to Achieving the Project Immediate Objectives/Outcomes**

The main barriers that could eventually prevent the achievement of the Outcomes as designed are:

**Ancestral Land Rights Legislation:** The MTR Team was informed that the GoI is considering allowing communities to carry out activities inside PAs. Per example, of the 215,000 hectares that compose Lore Lindu NP, the MTR Team was informed 105,000 hectares (or roughly 50% of the total PA) are considered ancestral lands. If legislation in support of ancestral land rights is approved, what activities would be allowed under such legislation are not clear, but from discussions the MTR Team had with community members, it is evident that they would like to use the land for agricultural purposes.

**The choice of a future financial model:** One that does not meet the following criteria: (1) is both predictable and consistent; (2) and one that produces sufficient income to guarantee long-term sustainability and a substantial in PA financing could pose a major risk to sustainability.

The MTR team also wishes to emphasize that unless the speed of implementation on Outcome 3 is increased substantially, the risk of losing the confidence of the local communities is very high.

## **Project Implementation and Adaptive Management**

* + 1. Management Arrangements

A hybrid modality that included the UNDP National Implementation Modality – Country Office Service Support (NIM-COSS) was applied to ensure broad stakeholder participation and to create both a high flexibility and an enabling environment for innovation.

The project was designed to have a Board composed of Ministry of National Development/ BAPPENAS, Ministry of Finance, Ministry of Environment and Forestry and UNDP which would meet periodically to give guidance to the National Project Director (the Director of KKH) The day to day operations were to be handled by the National Project Manager who in turn would head the Project Management Unit (PMU), a small team in Jakarta to organize activities at the central level and provide financial and administrative support to the out-posted staff . Under the National Project Manager there are three Field Coordination Units or FCUs (one for each of the chosen protected areas). These Units are mainly responsible for the implementation of Outcome 3 of the project.

The project outputs (more specially those relating for Outcomes 1 and 2) were originally to be produced by individual national and international consultants and to ensure the quality of their outputs, a part time Chief Technical Advisor was hired.

However, given the initial delays, compounded by difficulties and delays in identifying and hiring individual consultants, the decision was taken to use UNDPs “Request for Proposals” procedure (RFP) and sub-contract 23 different outputs to one institution. The Wildlife Conservation Society (WCS) was hired for this purpose and has done, in the opinion of the MTR team, a very good job in both timing and quality, producing the 23 outputs it was charged with achieving.

The National Development Planning Agency (BAPPENAS) was given the task of implementing most of Outcome 2. However, the mechanism for ensuring full coordination and exchange of information between the MoEF, the project’s PMU and BAPPENAS on advances in regard to this Outcome, was not foreseen.

Outcome 3 was designed to be implemented directly by the PMU/FCUs and MoEF staff of the three PAs.

* + 1. Adaptive Management

The Project’s adaptive management has been adequate for the purpose. The Project Steering Committee met early on in the Project’s life and gave adequate guidance on how to proceed. To date the Steering Committee has met twice. Two meetings where scheduled to take place this year, but none has been realized yet. The support and advice from the UNDP-CO has been excellent on the substantive side and from what the MTR Team could see, the PMU received adequate administrative support albeit some perceived delays in replenishments that stemmed mainly from problems in reporting previous expenditures.

As stated in the previous section, there was no mechanism to ensure coordination between BAPPENAS (which is responsible for producing Outcome 2) and the PMU (which is responsible for the overall project). In order to address this point, BAPPENAS is in the process of setting up a Project Coordinating Unit that, while based in BAPPENAS, will laisse on a daily basis with the PMU.

The project organised several workshops and meetings and suggestions from various stakeholders were utilised to strengthen these efforts.

* + 1. **UNDP Supervision and Backstopping**

UNDP supervision was accomplished using UNDP’s normal procedures and undertaken competently. The MTR team received some minor complaints from an interviewee about excessive UNDP bureaucracy or delays in procurement and processing of quarterly financial replenishments, but upon further investigation this stemmed from delays in reporting expenditures in a timely manner by some FCUs.

Key aspects of supervision were made through UNDP’s PMU involvement in communication with the Ministry of Environment and Forestry and other stakeholders. UNDP support was focused towards achieving targeted results and support was appropriate, adequate and timely and the project staffs were, in general, satisfied with the UNDP support. The speed of the project was slow in the initial years and needs to pick up the pace if all three outcomes are to be achieved by April of 2020. The MTR Team, while encouraging all parties to do so, is sceptical that this can be achieved by that date. A recommendation for a one year no-cost extension is therefore made in this report.

* + 1. **Work Planning**

In order to provide clear direction and annual targets for the implementation of the EPASS project, each year the National Project Manager formulates a work plan to translate the targets stated in the inception report. This drafting process involves intensive communications between the PMU, stakeholders, FCU staff, UNDP and the MoEF. The EPASS annual workplan is drafted and formulated based on annual target enclosed in the prodoc. Stakeholders have a meeting to propose the activities that would be inserted in the work plan, including a budget for those activities and once it is agreed upon, the annual workplan is signed by the NPD and ready to be implemented that year.

* 1. **Partnership Arrangements**

The project “Enhancing the Protected Area System in Sulawesi for Biodiversity Conservations (E-PASS), could not achieve its Outcomes without the support and ownership of other stakeholders. Therefore, the project was designed to ensure the inclusion of a wide range of stakeholders and partners that could contribute to the execution of activities and actively engage in capacity building for the management of the protected area in Sulawesi.

As stated, the E-PASS project at the national level has a Project Board (steering committee) whose main members are the Ministry of National Development / BAPPENAS, Ministry of Finance, Ministry of Environment and Forestry, and UNDP.

At the operational/technical level, the E-PASS project collaborates with various parties to carry out capacity building activities in management of natural resources. The Wildlife Conservation Society (WCS) was appointed as a partner in research efforts to obtain baseline data to support the project implementation and also provide inputs on various potential activities that can be developed to support the various outputs that have been prepared. WCS has also been asked to help improve the staff capacity of park rangers, especially in terms of implementing the SMART Patrol concept.

In proposing a conservation policy strategy, the EPASS project is not only cooperating with the government, but also with universities and NGOs. Some universities that participated in the compilation of the Conservation Action Strategy are Tadulako University, Gorontalo University and Sam Ratulangi University. NGOs were also involved such as the WCS, JAPESDA and Yayasan Rimbawan.

Monitoring and Evaluation



### M&E Design

A project monitoring and evaluation plan was designed to be conducted in accordance with established UNDP and GEF procedures and is being implemented by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP/GEF Regional Coordination Unit in Bangkok. The Strategic Results Framework in Section II provided the performance and impact indicators for project implementation along with their corresponding means of verification. The BD-1 Tracking Tool incorporating METT forms, the Financial Sustainability Scorecard and Capacity Assessment Scorecard and Ecosystem Health Index were all planned as instruments to monitor progress in PA management effectiveness. The M&E plan included: the Inception Report, project implementation reviews, quarterly and annual review reports, and mid-term and final evaluations.

***M&E Implementation***

An Inception Report was produced in November 2015, providing valuable guidance on how to proceed with

the implementation of the project. It was followed-up with an Inception Report Workshop to validate its

conclusions, secure the views of key stakeholder. Three annual PIRs have been produced (the MTR Team got

those for 2016 and 2017 in advance of the field mission and managed to secure a copy of the draft 2018 PIR

toward the end of the field mission). The MTR Team felt they were well prepared and reflected accurately the

advances that had been achieved in each period. The BD-1 Tracking Tool incorporating METT forms, the

Financial Sustainability Scorecard, Capacity Assessment Scorecard and Ecosystem Health Index were indeed

used as instruments to monitor progress in PA management effectiveness.

The MTR Team therefore feels the M&E Plan was adequate, conformed to UNDP/GEF standards, was sufficiently financed and indeed is being executed as planned.

## **Stakeholder Engagement and Partnerships**

As stated at the project development phase, the project development team undertook extensive consultations with wide range of stakeholders from National government bodies, Non-government institutions, research institutions, regional government bodies and universities through a series of interviews, and a workshop. These wide-ranging consultations were undertaken to ensure that stakeholders at all levels are aware of the project and its objectives and that they assist in the monitoring, measuring and reporting emissions. A thorough assessment of relevancy, experience and capacity of implementing partner and other implementing stakeholders was also conducted. This assessment also helped to understand and utilise strength of the implementing partners and also develop capacity enhancement programs. Project design, criteria for potential sites and site selection for piloting was carried out with the stakeholders’ participation. The MTR Team interacted with most stakeholders and concluded that they were interested and fully engaged with the project.

## **Reporting and Communications**

From what the MTR Team was told by UNDP CO and PMU staff, the PMU/FCU team has been in regular formal and informal communications with the UNDP-CO regarding progress, the work plan, and its implementation. Regular communication was also maintained with all stakeholders. The project benefited from the informal communications receiving suggestions and support. The UNDP-CO received quarterly progress reports providing updates on the status of planned activities, the status of the overall project schedule, the products completed, and an outline of the activities planned for the following quarter. As stated, a detailed Inception Report and three annual Project Implementation Review (PIR) reports were prepared (for years 2016,2017 and 2018) and distributed to the institutional stakeholders, including the key national ministries thus keeping them abreast of the project’s implementation progress. The MTR Team did not hear any complaints relating to the frequency, or content of the reports. We did learn however that sometimes they were somewhat delayed.

The Project management Unit and UNDP-CO have maintained a close working relationship with each other as well as with project staff members and partners and discussed issues and problems.

## **Sustainability**

The evaluation of the sustainability of this Project beyond the project life is still to be determined. This is the main preoccupation of the MTR Team. As will be seen below, the financial and socio-economic sustainability still depend on achieving fully Outcome 2 and Outcome 3.

Financial Sustainability: The outlook for the long-term financial sustainability of the project depends on identifying a long-term, reliable model for financing PA conservation. One that meets the following criteria: (1) is both predictable and consistent; (2) one that produces sufficient income to guarantee long-term sustainability and an increases substantially funding for the PAs. This is to be produced through Outcome 2. As stated above, a series of alternatives are currently being reviewed and reports on them have been prepared by several consultants. However, the MTR Team is convinced that none of the alternatives being looked into meet these criteria. Therefore, the MTR team is proposing the project look into another alternative and is making a recommendation to that effect. The MTR Team believes the Financial Sustainability is: **STILL TO BE DETERMINED.**

Socio-economic Sustainability: The social sustainability of the project is dependent on the achievement of Outcome 3. While, as stated, there has been an increased awareness (both at the level of the MoEF and at the community level) of the relationship that can exist between conservation and improved living conditions for those communities surrounding the PAs, such awareness has also raised expectations amongst the surrounding communities. The MTR Team already sensed in its discussions with community members that there was starting to be a level of frustration at the slow pace in which the CCAs were being approved and as a consequence of this, the inaction in the channelling of funding through the micro-credit scheme, that would finance projects allowing them to increase their income in other ways rather than those that encroach on the PAs (agriculture on encroached lands, poaching, illegal small mining and logging etc.) The MTR Team believes the Socio-economic Sustainability is: **STILL TO BE DETERMINED.**

Institutional and Governance Sustainability: While it is clear that the MoEF is fully committed to ensuring the long term institutional and governance sustainability of all the PAs in the country, as stated, the MTR Team found that the current budgetary and staffing levels provided to the PAs does not guarantee that this political commitment can be translated into the desired results. This is true at least for the three PAs that the project contemplates, but the MTR Team in its discussions, was not given any evidence that this might be different for other PAs throughout the country. The Institutional and Governance sustainability of the project is linked to the achievement of Outcome 2 (i.e. ensuring an increasing flow of funds for conservation that would allow the PAs to achieve an optimal budgetary and staffing levels). Also, the outstanding threat to the PAs of the implementation of a new policy regarding ancestral lands, generates doubts as to the long term sustainability of this effort. Therefore, the MTR Team believes the Institutional and Governance sustainability is: **STILL TO BE DETERMINED.**

Environmental Sustainability: Environment sustainability is one of the important elements of the project. It is dependent on both external and internal factors. The most important external factor is ofcourse the effects of climate change on the PAs and this falls out of the scope of what the project can achieve. However, as or even more important than this is the ability to provide surrounding communities with alternative income producing activities in order to avoid physical encroachment of the PAs. This is the very purpose of Outcome 3. Therefore, the MTR Team believes the Environmental sustainability is: **STILL TO BE DETERMINED.**

**Risks**

In the Project Document, five risk factors were identified.

They were as follows:

*Environmental risks:*

* **Internal demand for poached game:** Much of the demand underpinning illegal poaching in Sulawesi appears to be within-island in nature. Poaching pressure fuelled by the existence of global illegal wildlife trade may decimate wildlife populations.
* **Effects of natural disasters (earthquake, floods, volcanic eruption etc.):** any occurrences such as these might inhibit the increase in national and provincial government investment in PA system. Financing for PAs might be seen as less of a priority which could lead to difficulties maintaining conditions to carry out business as usual.
* **Climate change:** Sudden effects could undermine the conservation objectives of the Project

***Financial risk:***

* **Loss of confidence amongst local stakeholders:** process does not progress fast enough and project loses the confidence among the project local communities.

***Management risk:***

* **Lack of field-based data and information:** the development of quantitative project baseline data and the capacity to monitor the progress of project achievement on an annual basis is recognized as a major challenge.

The MTR Team agrees that these were and are still major risks to the attainment of the project Outcomes. It wishes to add two other important risk relating to sustainability.

## *Socio-Political risk:*

* **Ancestral Land Rights Legislation:** The MTR Team was informed that the GoI is considering allowing communities to carry out activities inside PAs. Per example, of the 215,000 hectares that compose Lore Lindu NP, the MTR Team was informed 105,000 hectares (or roughly 50% of the total PA) are considered ancestral lands. If legislation in support of ancestral land rights is approved, what activities would be allowable under such legislation are not clear, but from discussions the MTR Team had with community members, it is evident that they would like to use the land for agricultural purposes.

### *Financial risk:*

* **The choice of a future financial model:** one that does not meet the following criteria: (1) is both predictable and consistent; (2) and one that produces sufficient income to guarantee long-term sustainability and a substantial in PA financing could pose a major risk to sustainability.

The MTR team also wishes to emphasize that unless the speed of implementation on Outcome 3 is increased substantially, the risk of losing the confidence of the local communities is very high.

1. **Conclusions and Recommendations**
   1. **Conclusions**

General:

* Project accomplished many of the targeted activities and is progressing to meet the targeted results. However, there is still a lot to be done the MTR Team estimates progress at:
* 90% for Outcome 1

(As far as output production goes all 23 outputs -100% of those planned -have been produced, but not all key recommendations from these outputs have yet been acted on. See Annex IX below),

* 50% for Outcome 2

(several outputs have been produced, but there is still a lot of work to be done to settle on a viable model) and

* 30% for Outcome 3

(by the time of the MTR field visits, only 23 out of 45 CCAs that should have been operational by the end of 2018 had been signed and no fund disbursements had yet been made to the communities from the Micro-Credit Fund)

All of these are as of the 31st month of project implementation with just 21 months remaining for project closure.

On the project´s design:

* As stated before, the Project as designed, needed to be corrected. The idea of executing it through the hiring of individual consultants proved impractical. Therefore, the project had to be revised and a number of expected outputs were aggregated into a single contract.
* While the overall responsibility for the implementation of the project rested with the MoEF through the PMU, whereas for outcome 2, it was designed to be implemented by BAPENAS. The MTR Team noted with some preoccupation that the PMU was not fully cognizant of the state of implementation of this key Outcome. It appeared that there is a need for strengthening the communication channels between these key actors.

**On the advances in achieving Outcome 1:**

* Despite difficulties in the beginning of the project, the PMU has been able to complete important outputs and working with WCS has managed to deliver a series of interventions that indicates progress towards the attainment of Outcome 1. If this Outcome is to be completely achieved however, it will be essential for the MoEF to implement all the key recommendations that are contained in the 14 outputs produced by WCS in support of it. This is still a work in progress. To facilitate the monitoring of where the project stands on this, the MTR Team includes in this report Annex IX, showing what actions have been taken to implement these recommendations and which are still outstanding. A recommendation in this respect is formulated below.

**On the advances in achieving Outcome 2:**

* The MTR Team managed to secure the report on Eco-Systems Valuation of the Sulawesi PA system prepared by WCS, as well as 20 reports have been prepared by consultants for BAPPENAS. These last are ones that focus on: (1) the extra-budgetary legal regulatory framework; (2) on exploring Payments for Environmental Services (PES) as potential sources of income (i.e. watershed management, geothermal energy production, conservation values; renewable forest resources gathering etc.) (3) on potential revenue from eco-tourism; (4) on funding modalities such as Conservation Trust Funds or the establishment of semi-autonomous self-financing, public service agencies known locally as BLUs. The next step is to propose a “model” for future financing (sustainability) for the PAs in Sulawesi. In the opinion of the MTR team, none of the models being looked into offers assurances of long-term sustainability. Therefore, the MTR Team is making a somewhat different model below.
* The MTR Team was given a graph that shows for different alternatives being considered for future financing as follows:

|  |
| --- |
| Financing Schemes for Conservation  (1) (2) (3) (4) |

In interviews, the MTR Team was informed that the first two model options seem to have the least preference, given their limited potential. The MTR Team was told that the last two were being focused on as they seemed the most feasible. Model 3 depends on the creation of a BLU, in which case all PAs would no longer receive any budget from the Government and would have to live off their own means (tourist entrance fees and private investment royalties). Model 4 would create a Trust Fund to receive financing from foreign and local donors. The MTR Team feels that neither of these alternatives provide a source of reliable, predictable, constant and sufficient flow of funding to ensure the PAs sustainability at adequate levels.

**The Financial Sustainability Model the MTR Team proposes:**

The MTR Team believes that the best and most practical way of creating a reliable, predictable, constant and sufficient flow of funds is to establish a “user conservation fee” to be paid by all travellers arriving in Sulawesi by air travel.

This is not a unique idea. Countries as diverse as Palau, which charges foreigners U$ 100, and Belize with a modest fee of U$ 3.75 have already established such revenue raising mechanisms to finance conservation.

The suggested levels of this user fee in Indonesia could be somewhere in between. Per-example the equivalent of U$ 3 per round trip ticket for Indonesian nationals and U$ 10 for foreign nationals. At these levels the effect on the levels of tourism would be negligible.

The justification for such a fee is that their presence on the island generates a negative environmental impact, starting by the carbon footprint that the air travel and subsequent land travel imply, as well as their impact on their use of the infrastructure (electricity, roads, water etc.).

The MTR Team has struggled to get figures on the number of passengers that travel annually to Sulawesi. Even partial figures obtained, point to 2,581,000 national and 281,322 foreign travellers. Just this amount would result in revenue equivalent to U$ 10.5 million per year in revenue.

In order to ensure transparency and efficiency in the use of these funds, we believe that the ideal management structure is a Foundation with a Board chaired by the Government (with the participation of the MoF, MoEF, BAPPEDA) private sector actors in eco-tourism (hotel or restaurant investors) and conservation related NGOs that would take all decisions on the allocation of funds and be supported by a very lean Secretariat of three or four staff.

Advantages of such a system:

• A predictable, reliable, constant and sufficient flow of funds that is not dependent on foreign philanthropy, governments or international organizations/Funds (and therefore sustainable over time)

• Easy to administrate and audit as the airlines would collect the funds and deposited them directly in a Bank Account of the Foundation.

The MTR Team recognizes that such a model would require important changes to the current legislation, but believes this is not impossible (there are many examples worldwide where this model is being used).

**On** **the advances in achieving Outcome 3:**

* The achievement of this Outcome is key to the long-term success of this effort. Encroachment and Poaching are carried basically by people belonging to the surrounding communities to the PA and it is very important that they be turned 180 degrees, from encroachers and poachers into staunch defenders of PA conservation. The project has a three-pronged strategy for this. The first is to establish the baseline data and methodology for this. WCS prepared 8 reports that provide the basis for this. The MTR Team is convinced that the first one has achieved. The second has been to communicate messages on the need for conservation and the potential link between conserving the forests and an improved future for the surrounding communities. The MTR Team is also convinced that this has been achieved too. The third and in our opinion the most crucial prong of the strategy consists of the drafting and signing joint Community Conservation Agreements (CCAs) by which communities engage themselves to protect the PA in exchange for access to funding for productive projects that will increase their income without resorting to environmentally destructive practices. Only 23 of 45 planned CCAs have been signed and no disbursements to community groups from the Micro-grants fund have been made. These delays in project implementation risk losing the credibility within these communities. THIS IS YET TO BE ACHIEVED..

The MTR Team believes that even if the 45 envisioned CCAs were to be in place and all the funds of the Micro-grants fund disbursed by the end of the project, this may still fall short of the level required to ensure the support of the many communities that surround the PAs. It is therefore very important that members of this communities be directly involved in conservation activities.

The MTR Team suggests that as has been the case in PAs in other islands, local community members be hired and trained as ASSISTANT CONSERVATION WARDENS. This would not only ensure wide community support for conservation (as many family incomes would now be directly tied to conservation work) but would contribute to make the current PA system viable. Per example, Lore Lindu NP is composed of 215,000 hectares. The MTR Team was informed that to patrol this area they have ONLY 21 Wardens (one per every 10,238 hectares) a number that makes effective monitoring of the Park unviable. If for each Warden there were to be hired 20 community ASSISTANT WARDENS, the viability of effective conservation monitoring would be greatly increased.

* 1. **Recommendations**
* **Related to the Design, Implementation, Monitoring and Evaluation of the Project**

**Recommendation 1:  *UNDP-CO should adjust the project budget in order to reduce the IN-KIND contributions to more realistic levels.***

**Recommendation 2: *The MoEF should consider initiating actions to implement key recommendations made by the WCS that have not yet been acted upon. (see Annex IX below).***

**Recommendation 3: *BAPPENAS should accelerate the process of completing Outcome 2 and consider other models that might ensure a predictable, reliable, constant and sufficient flow of funds to ensure the future sustainability of the PAs, such as the one the MTR Team has proposed above.***

**Recommendation 4: *The MoEF should allow PMU/FCU staff to work directly with the communities when PA staff is not available to accompany them.***

* **Proposal for Future Directions underlying Main Objectives**

**The MTR Team believes it is possible that there may be significant unspent funds and at the same time important additional activities that could be undertaken to strengthen Outcomes 1 and 3. We therefore make the following three additional recommendations.**

**Recommendation 5: *The UNDP-CO should consider making a detailed financial analysis to determine if there will be surplus funds available at the end of the project*.**

**Recommendation 6: *If so, the MTR believes they should be used to finance the WCS’ proposal for additional complementary activities which the MTR Team fully endorses, as per the proposal enclosed below (see Annex X).***

**Recommendation 7: *The GEF and UNDP-CO should consider using any additional surplus funds that might be identified after a financial analysis, to reinforce the Micro-grants fund***

**Recommendation 8: *The UNDP-CO and the MoEF should ensure that at least 50% of all the funding disbursed by the Micro-grants Fund go towards financing initiatives of women’s community groups.***

**Recommendation 9: *MTR recommends “no additional cost” extension of one year, in order to allow the project to complete its three outcomes.***

* **00 -**

Annex I: Terms of Reference for Mid Term Review

|  |  |
| --- | --- |
| Sulawesi (17.46 million ha) is the world’s 11th largest island that has a remarkable globally significant diversity of terrestrial flora and fauna with an impressive variety of forest ecosystems and supports high rates of endemism and species-level biodiversity. Despite such efforts, Sulawesi’s biodiversity remains severely threatened and fast degrading due to a number of human-induced threats. Protection and management of existing PAs has not been adequate to prevent extensive encroachment and damage within PA boundaries, whilst natural areas beyond PA boundaries have been even more rapidly degraded as a result of logging, conversion, mining, fire and hunting. The long-term solution to conserving Sulawesi’s biodiversity is an improved PA system that is well integrated into its surrounding landscape, with the capacities and financial resources to safeguard biodiversity from existing and future threats. Baseline activities, although significant, are deemed insufficient to achieve the above solution. The project objective is to strengthen the effectiveness and financial sustainability of Sulawesi’s PA system to respond to existing threats to globally significant biodiversity. This objective will be achieved through three interconnected components: 1. Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system; 2. Financial sustainability of the Sulawesi PA system; 3. Threat reduction and collaborative governance in the target PAs and buffer zones. The project will be implemented by the Ministry of Forestry under National Implementation Modality (NIM).  As stipulated in EPASS project document and in line with UNDP – GEF guideline on Mid-Term Review, an international consultant will be recruited to conduct Mid-Term Review for EPASS project. | |
| **II. SCOPE OF WORK, ACTIVITIES, AND DELIVERABLES** |

**Scope of Work**

In general, the consultant is expected to carry out these following activities:

* Assess progress towards achievement of the project outputs and outcomes as specified in the Project Document.
* Assess early signs of project success or constraints aimed at identifying necessary recommendations for better improvement.
* Review project strategy, its risks to sustainability.
* Apply a collaborative and participatory approach ensuring close engagement with the Implementing Partner, Project Team and UNDP.

**Compliance**

In compliance with the Guidance for the Mid Term Review, the consultant is expected to assess four categories of project progress and produce a draft and final mid-term Review report, i.e. (1) Project Strategy, (2) Progress towards results, (3) Project implementation and adaptive management, and (4) Sustainability.

The selected consultant has to follow the guidance outlined in the document Guidance for Conducting Mid-Term Review:

<http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_EN_2014.pdf>

**Expected outputs and deliverables:**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  | **Estimated** |  |  | **Completion** |  |  |  |  |  |
|  |  | **Deliverables/ Outputs** |  |  | **number of** |  |  |  |  | **Review and Approvals Required** |  |  |
|  |  |  |  |  |  | **deadline** |  |  |  |  |
|  |  |  |  |  | **working days** |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | Work Plan and documents | | | 5 | |  |  | 6 July 2018 | | UNDP Programme Manager and | | |  |
|  | review | | |  |  |  |
|  |  |  |  |  |  |  |  | EPASS National Project Director | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | | |  |  |  |  |  |  |  |  | |  |
|  | Inception Report: the | | | 10 | |  |  | 10 July 2018 | |  | UNDP Programme Manager and | |  |
|  | consultant clarifies objectives and method of Mid Term  Review; Stakeholders Meeting  and interviews; Presentation of initial findings | | |  |  |  | EPASS National Project Director | |  |
|  |  |  |  |  |  |  |  |  |



|  |  |  |  |
| --- | --- | --- | --- |
| Report on all Data collected including the co-financing data and interviews conducted during the International consultant Mid-term review mission in Jakarta | 13 | 15 August 2018 | UNDP Programme Manager and |
| EPASS National Project Director |
|  |  |  |
| Final Report |  |  |  |
| Revised report with annexes. |  |  |  |
|  | 12 | 22 September 2018 | UNDP Programme Manager and |
|  | EPASS National Project Director |
|  |  |
|  |  |  |  |
|  |  |  |  |
| **Total Number of Working Days** | **40** |  |  |

**III. WORKING ARRANGEMENTS**

**Institutional Arrangement**

a) The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is UNDP Indonesia.

b) The Commissioning Unit will contract consultants and ensure the timely provision of per diems and travel arrangement within the country for the MTR .

c) The EPASS Project Management Unit (PMU) will be responsible for liaising with MTR to provide all relevant administrative and financial support to provide documents, set up stakeholder interviews and arrange field visit (if needed) for the completion of the work.

d) The expected frequency of the reporting is as stated in the Expected Deliverable mentioned above.

**Duration of the Work**

a) Duration of work is 40 days from March to May 2018.

b) Expected starting date is 26 March 2018 and expected completion of work is on 4 May 2018.

c) Unforeseen delay will be further discussed by UNDP as a basis for possible extension.

d) Feedback from UNDP and government partners to the submitted report can be expected within 10 working days from the date of submission.

**Duty Station**

a) The contractor’s duty station will be home based with possible travel to Jakarta or other places (if needed).

b) The contractor is working on the output based, thus no necessary to report or present regularly.

**Travel Plan**

a) Return travel cost from country of origin to Jakarta and cost of living allowances in Jakarta for 12 (twelve) working days is to be included in the Financial proposal. Travel plan to Jakarta from duty station will be conducted for 1 (0ne) time only.

b) Other travel cost to project sites (if needed) will be covered by the project based on the agreed plan.

**IV. REQUIREMENTS FOR EXPERIENCE AND QUALIFICATIONS**

**Academic Qualifications:**

* A Master’s degree in environment science, social science, economics or other closely related field.

**Years of experience:**

* Experience in relevant technical areas for at least 15 years including experience in Gender Sensitive Review and analysis;
* Experience working in climate change adaptation and mitigation projects. Working in Asia Pacific countries would be an advantage but not mandatory;
* Experience with Result-Based Management Review methodologies;
* Experience applying SMART indicators and reconstructing or validating baseline scenarios;
* Experience working with the GEF or GEF Reviews would be an advantage but not mandatory.

**Competencies and special skills requirement:**

* Competence an adaptive management, as applied to GEF;
* Demonstrate understanding of issues related to gender and climate change adaptation/mitigations;
* Excellent communication and writing kills;
* Demonstrate analytical skills;

**V. EVALUATION METHOD AND CRITERIA**

**Cumulative analysis**

When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

* responsive/compliant/acceptable, and
* 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.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  | ***Criteria*** | | ***Weight*** | | | ***Maximum Point*** | |  | |
|  |  | Technical | |  | |  | | |  | |  | |
|  |  |  |  | |  | | |  | |  | |
|  |  | • | Criteria A: qualification requirements as per TOR: | | 40% | | |  | |  | |
|  |  | 1. | A Master’s degree in environment science, social | |  | | | 10 | |  | |
|  |  |  | science, economics or other closely related filed. | |  | | |  | |  | |
|  |  | 2. | Experience in relevant technical areas for at least 15 | |  | | | 10 | |  | |
|  |  |  | years. | |  | | |  | |  | |
|  |  | 3. | Experience working in climate change | |  | | |  | |  | |
|  |  |  | adaptation/mitigation projects and in Asia Pacific | |  | | | 5 | |  | |
|  |  |  | countries and would be an advantage but not | |  | | |  | |  | |
|  |  |  | mandatory. | |  | | |  | |  | |
|  |  | 4. | Experience with Result Based Management evaluation | |  | | | 5 | |  | |
|  |  |  | methodologies. | |  | | |  | |  | |
|  |  | 5. | Experience applying SMART indicators and | |  | | | 5 | |  | |
|  |  |  | reconstructing or validating baseline scenarios | |  | | |  | |  | |
|  |  | 6. | Experience working with GEF or GEF Reviews | |  | | | 5 | |  | |
|  |  |  |  | |  | | |  | |  | |
|  |  | • | Criteria B: Brief Description of Approach to Assignment | | 60% | | |  | |  | |
|  |  |  | 1. Understands the task and applies a | |  | | | 25 | |  | |
|  |  |  |  | methodology appropriate for the task. | |  | | |  | |  | |
|  |  |  | 2. Important aspects of the task addressed clearly and in sufficient details | |  | | | 20 | |  | |
| 3. Planning logical, realistic for the efficient | | | | |  | |  | | |
| project implementation. | | | | |  | | 15 | | |
| • Criteria C: Further Assessment by Interview (if any) | | | | | NA | |  | | |

# Annex II: Itinerary of Activities of the Mid-term Review Mission

| **Dates** | | **Task** | | **Time proposed** |
| --- | --- | --- | --- | --- |
| 1. **Preparation** | | | | |
| 1-12 July 2018 | * ***Home-based work to*** prepare for evaluation including desk review of documents provided in advance at home office and develop work program * Submission of Work Program (6 July 2018) * ***Ticket booking*** * ***Submission of Inception Report*** (12 July 2018) * ***Depart from home country (13 July 2018)*** | | | 6 days  6 days |
| 1. **Evaluation Mission** 12 days | | | | |
| 15-Jul-18 | | 18.00 | Arrive in Jakarta |  |  | |
|  | |  |  |  |  | |
| 16-Jul-18 | | 09.00-15.00 | Meeting with National Consultant (Ari Adipratomo) | Starbuck Sarinah Thamrin |  | |
| 15.30-16.50 | Meeting with UNDP E-PASS Program Assurance team   * Mr. Iwan Kurniawan Programme Manager; * Mr Anton Sri Probiantono Sr Program Manager; * Mr. Muhammad Yayat Afianto, * Ms. Elin Shinta | UNDP Office - Menara Thamrin Building |  | |
|  | |  |  |  |  | |
| 17-Jul-18 | | 11.00-16.00 | Depart for Manado, North Sulawesi | By Garuda Indonesia airline |  |
| 16.00-16.40 | Travel to meeting venue | By car |  |
| 16.40-21.30 | Meeting with Stakeholders from Tangkoko Area   |  |  | | --- | --- | |  |  | | Mr. Agus Sriyadi Budi | Directorate of KKH- Former NPM | | Mr. M Arief Toengkagie | National Project Manager of PMU | | Ms. Elin Shinta | UNDP | | Mr. Yakub Ambagau | Head of Conservation Section Area I Bitung BKSDA North Sulawesi | | Mr. Lilik Yulianto | FCU Coordinator Epass Tangkoko | | Ms Sri Astuti Asman | Secretary -Natural resources Conservation Directorate- MoEF | | Mr. Ance Tatinggulu | Protected Area Coordinator- Selamatkan Yaki NGO | | Mr. Paul Harry | Epass FCU Tangkoko | | Mr. Iwan Honowu | World Conservation Society | | Mr. Djony Nandang | Forest Conservation Community Forum (FMKH) Tangkoko | | Mr. Rein A Ria | Community Conservation Institution | | Mr Edison Maneasa | Protected Area Officer EPASS Tangkoko | | Mr.Prof. Saroyo | Lecturer, Biology Department University of Sam Ratulangi | | Ms. Inggrid Kandolia | Finance Assistance- E-PASS Tangkoko | | Ms Olly Roring | Natural Resources Conservation Center of North Sulawesi (BKSDA Sulut) | | Ms. Aprilia Balandatu | Admin FCU Tangkoko EPass | | Hotel Quality, Manado |  |
|  | |  |  |  |  | |
| 18-Jul-18 | | 09.00-14.00 | Meeting with stakeholders from Bogani Nani Areas   |  |  | | --- | --- | | Mr. Aten Djou | BAPPEDA, Head of Section for Infrastructure and Spatial Planning Bone Bolango District | | Mr. Hanom Bashari | Protected Area Specialist EPASS FCU BNW National Park | | Mr. Danny Rogi | Community Engagement Specialist EPASS FCU BNW National park | | Ms. Sri Astuti Asman | Secretary -Natural resources Conservation Directorate- MoEF | | Mr. Sugeng Sutrisno | JAPESDA (care about natural resources network-NGO) | | Ms. Endang Sri Utami | BNW National Park | | Mr. Samuel J Oroh | Head of Bone Bolango | | Mr. Arman Manoppo | Head of Bobato Village | | Mr. Fahmi Damogalan | Forester Foundation | | Mr. Fikri Mondo | Epass BNW-Admin | | Ms. Yuyun Wahyuni | Voice of Bobato Foundation | | Ms. Mince  Kendek | EPASS BNW-Admin | | Mr. M Arief Toengkagie | National Project Manager – PMU EPASS | | MS. Elisabet Puriastuti | Field Coordinator- FCU BNW Natioal Park | | Mr. Fikri Mambruk | Staff EPASS BNW National Park | | Mr. Agung Triyono | Head of Management Section, BNW National Park | | Mr. Iwan Honowu | World Conservation Society | | Mr. Agus Sriyadi Budi | Directorate of KKH- Former NPM | | Quality Hotel Manado |  | |
|  | |  |  |  |  | |
| 19-Jul-18 | | 07.00-11.00 | Leaving for Bogani Nani National Park | By car |  | |
| 11.00-14.00 | Visit to Tapadaka Utara Community, in the area of Bogani Nani NP. Interview with :   |  |  | | --- | --- | | Mr. Agus Sriyadi Budi | Directorate of KKH- Former NPM | | Mr. Amirudin Kotabuga | Head of Group Tapaklinau | | Mr. AlhamI Tumundo | Head of Group Matomata | | Ms. Jalina Mokoeluseh | Secretary of Group | | Mr. Arman Lewi | MMP | | Utal | Community member | | Mr. Asri Andu | Community member | | Mr. Sudirman | Community member | | Mr. Sahrun | Community member | | Ms.Rahmi | Community member | | Mr. Asri Potabunga | Community member | | Mr. Agus Liongkim Mappeke | Community member | | Mr. Hanom Bashari | EPASS | | Mr. Fahmi Damogalan | Forester Foundation | | Mr. Fikri Mondo | EPASS | | Yani Mustofa | Community member | | Mr. Danny Rogi | EPASS | | Ms. Elisabeth Puriastuti | EPASS | | Tapadaka Utara Resort Office |  | |
| 14.00-17.00 | Visit to Werdhi Agung Village in Bogani Nani NP Area and interviewed:   |  |  |  | | --- | --- | --- | | Mr. I Nengah Candra Wida | Head of Village | | | Rahmat I Makalang | Head of Subdistrict | | | Ni Luh Komang | Head of Women Farmer Group | | |  | |  | | Secretariat of Werdhi Agung Village |  | |
|  | |  |  |  |  | |
| 20-Jul-18 | | 09.00 - 18.00 | Transcribing meeting notes | Swiss Bell Hotel |  | |
|  | |  |  |  |  | |
| 21-Jul-18 | | 08.00-10.00 | Depart for Tangkoko NP | By Car |  | |
| 11.00 – 14.00 | Visit To Batu Putih Resort, Tangkoko NP and interviewed:   |  |  | | --- | --- | | Mr.Herry Kalangi | LKK Danowulu | | Mr. Borman Harimu | LKK Kawasari | | Mr.Dendy Karundung | LKK Pinangunian | | Mr. Rein A Ria | LKK Madidir | | Mr. Jony Mandang | LKK Dua Sodara | | Mr. Hanoeh Takumansang | NKK Batu Putih Atas | | Mr. Fernando Kautup | LKK Maesa | | Ms. Rukmini Takaliwang | LKK BAtuputih Bawah | | Ms. Nelly Areysugu | LKK Batuputih Atas | | Mr. Alferdo Iwali | LKK Batuputih Bawah | | Mr. Herry Kalangi | LKK Danowulu | | Batu Putih Resort Office |  | |
|  | |  |  |  |  | |
| 22-Jul-18 | | 06.00-09.00 | Leaving for Palu | By Wings Airline |  | |
| 11.00-14.00 | Meeting with Lore Lindu NP Area and interviewed Simoro Village   |  |  | | --- | --- | | Ms. Windarni | Treasurer KTH | | Ms. Nurhayati | Member KTH | | Mr. Subhan Habibu | Secretary KTH | | Mr. Irman | Secretary of Village | | Mr. Arman | Treasurer of Village | | Mr. Iwan | Community Member | | Mr. Syakir | Community Member | | Mr. Abd Muis | Community Member | | Mr. Tahir Nasri | Community Member | | Mr. Ilham | Community Member | | Mr. Saudi | Community Member | | Mr. Aswir | Community Member | | Mr. Harry Pampon | Head of Village | | Mr. Ikia Yanti | Community Member | | Mr. Adri | Secretary of CBD Community | | Mr. Umar Ali | Community Member | |  |  | | Simoro Village LKPD Cinta Alam Secretariate |  | |
|  | |  |  |  |  | |
| 23-Jul-18 | | 09.00-11.00 | Meeting with Lore Lindu NP Stakeholders   |  |  | | --- | --- | | Mr. Zaif | CE EPASS | | Ms. Hafsah | Tadulako Univ | | Mr. M Yayat Afianto | UNDP | | Mr. Herry | Community Group | | Mr. Erus Rusyadi | GIZ | | Mr. A Rizal | FP3/Acta | | Mr. Bernd Unger | FP3/Acta | | Mr. Bau Toknok | Tadulako Univ | | Ms. Rukmini Toneke | Indigenous Institution | | Ms. Debby Aritonang | Lore Lindu NP | | Mr. Fandi Padele | Lore Lindu NP | | Mr. Ensang Tri B | Indigenous institution | | Ms.Ilfianti | FCU | | Ms. Agustina Laranlogi | Epass Palu | | Mr. Muh Arif Arianto | PAM SP EPASS | | Lore Lindu National Park Office |  | |
|  | |  |  |  |  | |
| 24-Jul-18 | | 06.00-09.00 | Leaving for Jakarta | By Garuda Airline |  | |
| 09.00-11.00 | Travel to Ashley Hotel | By Car |  | |
| 11.30-12.30 | Meeting with Mr. Tashi Dorji (UNDP GEF-Regional) | Ashley Hotel |  | |
| 13.00-14.00 | Meeting with Ms. Fida and Ms Elin (UNDP) | UNDP Office - Menara Thamrin Building |  | |
|  | |  |  |  |  | |
| 25-Jul-18 | | 09.30-10.00 | Meeting with Mr. Iwan Kurniawan and Mr. Anton Sri Probiantono (UNDP) | Ashley Hotel |  | |
| 10.00-12.00 | Meeting with BAPPENAS- Mr. Pungky Widiaryanto (by Skype), and Ms. Nurdita Rahmadani as well as Mr. Angga Gumilar,Mr Anton Sri Probiantono and Mr. Iwan Kurniawan (UNDP) | UNDP Office - Menara Thamrin Building | By skype | |
| 12.30-14.30 | Meeting with Mr. Matthew Linkie (Terrestrial Director WCS) | Menara Thamrin Building |  | |
| 15.00-19.00 | Drafting Presentation for Stakeholder meeting on 26th of July |  |  | |
|  | |  |  |  |  | |
| 26-Jul-18 | | 09.00-13.00 | Meeting with stakeholders at national level, presentation of preliminary findings and interviewed with:   |  |  | | --- | --- | | Mr. Matt Linkie | WCS | | Ms. Nur Hygiawati Rahayu | BAPPENAS | | Mr. Anton S Probiantono | UNDP | | Mr. Andi N Cahyana | WCS | | Mr. Fahrul Amami | WCS | | Ms. Ida Farida | KKH KLHK | | Mr. Maguayanta | EPASS PMU | | Mr. Agus Sriyadi Budi | KKH KLHK | | Ms.Noni Eka Rahayu | Biro KLN KLHK | | Ms Dafa Utama | KKH KLHK | | Mr. Deddy Asriady | BBTNLL | | Mr. Yulian Sadono | BBTNLL | | Ms. Elisabeth Puriastuti | EPASS | | Ms. Ilfianti | EPASS | | Mr. Irwan Kurniawan | UNDP | | Mr. Yayat Alifanto | UNDP | | Mr. Yudha Pratama | EPASS | | Mr. M Arief Toengkagie | EPASS PMU | | Ms. Nurdita Rahmadani | BAPPENAS | | Mr. Angga Gumilar | UNDP | | Mr. Rahmad N | UNDP | | Mr. Lilik Yuliarso | EPASS Tangkoko | | Ms. Lakhsmi Dhewanthi | GEF UNDP | | Athlete Hotel, South Jakarta |  | |
|  | | 14.00-15.00 | Briefing for Draft MTR – Consultants team | Ashley Hotel |  | |
|  | |  |  |  |  | |
| 27-Jul-18 | | 10.00-15.00 | Discussing about MTR Report-Division of Labor | Ashley Hotel |  | |
|  | |  |  |  |  | |
| 28-Jul-18 | | 18.00 | Leaving for Cali, Columbia |  |  | |
| 1. **Draft MTR Report Development** | | | | |
| 1-Aug-18 | | Home-based work to develop draft MTR report based review of project related documents, field mission and verification through interaction with stakeholders | | 12 days |
| 1. **Final MTR Report** | | | | |
| 12-22 August 2018 | | ***Home-based work to*** finalize report based on comments from stakeholders, followed by submission of the final report to UNDP for further circulation | | 10 days |
| 22 September 2018 | | Submission of final report to UNDP | | 40 days |

# Annex III: Persons Interviewed

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No | NAME | POSITION | INSTITUTION | REMARKS |
| 1 | Agus Sriyadi Budi | Directorate of KKH- Former NPM | Ministry of Environment & Forestry |  |
| 2 | M Arief Toengkagie | National Project Manager of PMU | PMU E-PASS |  |
| 3 | Elin Shinta | Project Associate | UNDP |  |
| 4 | Yakub Ambagau | Head of Conservation Section Area I Bitung | BKSDA North Sulawesi |  |
| 5 | Lilik Yulianto | FCU Coordinator E-PASS Tangkoko | PMU E-PASS |  |
| 6 | Sri Astuti Asman | Secretary -Natural resources Conservation Directorate | Ministry of Environment & Forestry |  |
| 7 | Ance Tatinggulu | Protected Area Coordinator | Selamatkan Yaki NGO |  |
| 8 | Paul Harry | E-PASS FCU Tangkoko | PMU E-PASS |  |
| 9 | Iwan Honowu | Regional Coordinator | World Conservation Society |  |
| 10 | Djony Nandang | Coordinator | Forest Conservation Community Forum (FMKH) Tangkoko |  |
| 11 | Rein A Ria | Coordinator | Community Conservation Institution |  |
| 12 | Edison Maneasa | Protected Area Officer EPASS FCU Tangkoko | PMU E-PASS |  |
| 13 | Saroyo | Lecturer, Biology Department | University of Sam Ratulangi |  |
| 14 | Inggrid Kandolia | Finance Assistance- E-PASS FCU Tangkoko | PMU E-PASS |  |
| 15 | Olly Roring | Deputy Director | Natural Resources Conservation Center of North Sulawesi (BKSDA Sulut) |  |
| 16 | Aprilia Balandatu | Admin FCU Tangkoko E-PASS | PMU E-PASS |  |
| 17 | Aten Djou | Head of Section for Infrastructure and Spatial Planning Bone Bolango District | BAPPEDA Bone Bolango District |  |
| 18 | Hanom Bashari | Protected Area Specialist E-PASS FCU BNW National Park | PMU E-PASS |  |
| 19 | Danny Rogi | Community Engagement Specialist EPASS FCU BNW National park | PMU E-PASS |  |
| 20 | Sugeng Sutrisno | Coordinator | JAPESDA |  |
| 21 | Endang Sri Utami | Staff | BNW National Park |  |
| 22 | Samuel J Oroh | Head of Bone Bolango Village | Bone Bolango Village |  |
| 23 | Arman Manoppo | Head of Bobato Village | Bobato Village |  |
| 24 | Fahmi Damogalan | Coordinator | Forester Foundation |  |
| 25 | Fikri Mondo | E-PASS FCU BNW-Admin | PMU E-PASS |  |
| 26 | Yuyun Wahyuni | Coordinator | Voice of Bobato Foundation |  |
| 27 | Mince | EPASS FCU BNW-Admin | PMU E-PASS |  |
| 28 | Kendek | EPASS FCU BNW-Admin | PMU E-PASS |  |
| 29 | Elisabet Puriastuti | Field Coordinator- FCU BNW Natioal Park | PMU E-PASS |  |
| 30 | Fikri Mambruk | Staff EPASS BNW National Park | PMU E-PASS |  |
| 31 | Agung Triyono | Head of Management Section, BNW National Park | BNW National Park |  |
| 32 | Amirudin Kotabuga | Head of Group Tapaklinau | Tapaklinau Community Group |  |
| 33 | AlhamI Tumundo | Head of Group Matomata | Matomata Community Group |  |
| 34 | Jalina Mokoeluseh | Secretary of Group | Matomata Community Group |  |
| 35 | Arman Lewi | MMP | Tapaklinau Community Group |  |
| 36 | Utal | Member | Community Group |  |
| 37 | Asri Andu | Member | Community Group |  |
| 38 | Sudirman | Member | Community Group |  |
| 39 | Sahrun | Member | Community Group |  |
| 40 | Rahmi | Member | Community Group |  |
| 41 | Asri Potabunga | Member | Community Group |  |
| 42 | Agus Liongkim Mappeke | Member | Community Group |  |
| 43 | Yani Mustofa | Member | Community Group |  |
| 44 | I Nengah Candra Wida | Head of Village | Werdhi Agung Village |  |
| 45 | Rahmat I Makalang | Head of Subdistrict | Werdhi Agung Sub District |  |
| 46 | Ni Luh Komang | Head of Women Farmer Group | Werdhi Agung Village |  |
| 47 | Herry Kalangi | LKK Danowulu | Danowulu Village |  |
| 48 | Borman Harimu | LKK Kawasari | Kawasari Village |  |
| 49 | Dendy Karundung | LKK Pinangunian | Pinagunian Village |  |
| 50 | Jony Mandang | LKK Dua Sodara | Dua Sodara Village |  |
| 51 | Hanoeh Takumansang | NKK Batu Putih Atas | Batu Putih Atas Village |  |
| 52 | Fernando Kautup | LKK Maesa | Maesa Village |  |
| 53 | Rukmini Takaliwang | LKK Batuputih Bawah | Batuputih Bawah village |  |
| 54 | Nelly Areysugu | LKK Batuputih Atas | Batuputih Atas Village |  |
| 55 | Alferdo Iwali | LKK Batuputih Bawah | Batuputih Bawah Village |  |
| 56 | Zaif | CE EPASS | PMU E-PASS |  |
| 57 | Hafsah | Lecturer | Tadulako University |  |
| 58 | M Yayat Afianto | Staff | UNDP |  |
| 59 | Herry | Member | Community Group |  |
| 60 | Erus Rusyadi | Consultant | GIZ |  |
| 61 | A Rizal | Consultant | GIZ FP3/Acta |  |
| 62 | Bernd Unger | Chief Technical Advisor, AHT Group AG | GIZ FP3/Acta |  |
| 63 | Bau Toknok | Lecturer | Tadulako University |  |
| 64 | Rukmini Toneke | Coordinator | Indigenous Institution |  |
| 65 | Debby Aritonang | Staff | Lore Lindu NP |  |
| 66 | Fandi Padele | Staff | Lore Lindu NP |  |
| 67 | Ensang Tri B | Coordinator | Indigenous institution |  |
| 68 | Ilfianti | Coordinator FCU E-PASS Palu | PMU E-PASS |  |
| 69 | Agustina Laranlogi | Admin E-PASS FCU Lore Lindu | PMU E-PASS |  |
| 70 | Muh Arif Arianto | PAM SP EPASS | PMU E-PASS |  |
| 71 | Windarni | Treasurer KTH | KTH Community Group |  |
| 72 | Nurhayati | Member KTH | KTH Community Group |  |
| 73 | Subhan Habibu | Secretary KTH | KTH Community Group |  |
| 74 | Irman | Secretary of Village | Simoro Village |  |
| 75 | Arman | Treasurer of Village | Simoro Village |  |
| 76 | Iwan | Community Member | Simoro Village |  |
| 77 | Syakir | Community Member | Simoro Village |  |
| 78 | Abd Muis | Community Member | Simoro Village |  |
| 79 | Tahir Nasri | Community Member | Simoro Village |  |
| 80 | Ilham | Community Member | Simoro Village |  |
| 81 | Saudi | Community Member | Simoro Village |  |
| 82 | Aswir | Community Member | Simoro Village |  |
| 83 | Harry Pampon | Head of Village | Simoro Village |  |
| 84 | Ikia Yanti | Community Member | Simoro Village |  |
| 85 | Adri | Secretary of CBD Community | CBD Community Simoro Village |  |
| 86 | Umar Ali | Community Member | Simoro Village |  |
| 87 | Pungky Widiaryanto | Coordinator for Component 2 BAPPENAS | BAPPENAS | Via skype |
| 88 | Iwan Kurniawan | Project Manager | UNDP |  |
| 89 | Anton Probiantono | Senior Project Manager | UNDP |  |
| 90 | Angga Gumilar | Staff | UNDP |  |
| 91 | Nurdita Rahmadani | Component 2 Staff | BAPPENAS |  |
| 92 | Tashi Dorji | GEF-UNDP Regional Coordinator | GEF UNDP | Via skype |
| 93 | Matthew Linkie | Terrestrial Director, | World Conservation Society |  |
| 94 | Fahrul Amami | Staff | World Conservation Society |  |
| 95 | Ida Farida | Staff | KKH KLHK |  |
| 96 | Maguayanta | Staff | E-PASS PMU |  |
| 97 | Nur Hygiawati Rahayu | Director of Forestry and Natural Resources | BAPPENAS |  |
| 98 | Noni Eka Rahayu | Staff | KLN KLHK |  |
| 99 | Dafa Utama | Staff | KKH KLHK |  |
| 100 | Deddy Asriady | Staff | BBTNL |  |
| 101 | Yulian Sadono | Staff | BBTNL |  |
| 102 | Yudha Pratama | Communication Officer | E-PASS PMU |  |
| 103 | Rahmad N | Staff | UNDP |  |
| 104 | Lakhsmi Dhewanthi | GEF Focal Point | GEF |  |

Annex IV: Summary Evaluation of Project Achievements by Objectives and Outcomes

The Project logframe in the Project Document was revised in the Inception Report. The present evaluation matrix uses the version contained in the Inception Report.

Key:

Green = Indicators show achievement successful at the Mid Term Phase of the Project.

Yellow = Indicators show achievement nearly successful at the Mid Term Phase of the Project.

Red = Indicators not achieved at the Mid Term Phase of Project.

Hatched colour = estimate; situation either unclear or indicator inadequate to make a firm assessment against.

**Project Title: Enhancing The Protected Area Network in Sulawesi for Biodiversity Conservation (E-PASS)**.

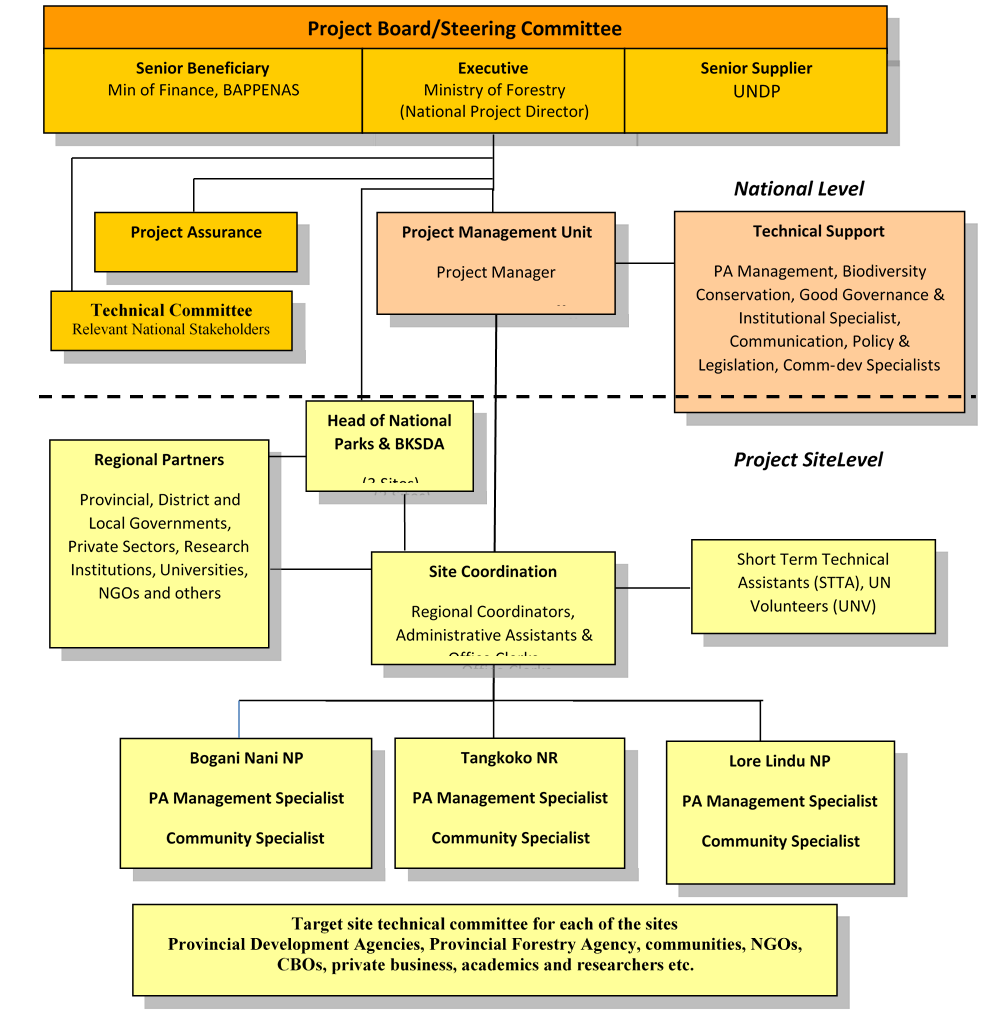
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator** | **Baseline Level** | **Level in 1st PIR (2016)** | **Level in 2nd PIR (2017)** | **Level in 3rd PIR (2018)** | **End of project Target** | **Mid-term level & Assessment** | **Achievement Rating** | **Justification Rating** |
| Objective: To strengthen the effectiveness and financial sustainability of Sulawesi’s protected area system to respond to threats to globally significant biodiversity  **Outcome #1: Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system** | Institutional capacity scores for:  - PHKA (Jakarta)  - LLNP  - Bogani Nani NP North Sulawesi BKSDA | * PHKA (Jakarta): 66% * LLNP: 43% * Bogani Nani NP: 42% * North Sulawesi BKSDA: 40% | * To support the achievement of increased institutional capacity scores for the three sites, the project conducted preliminary activities related to strengthening PA management. These included: (i) identification of the current condition of each targeted PA; (ii) coordination with associated stakeholders to avoid overlapping in project implementation; (iii) advocacy efforts to gain support from local government, communities and other stakeholders in and around target PAs * When referring to the institutional capacity score card (baseline), in this reporting period, activities in three project sites have particularly addressed issue no 23 of the scorecard on partnership. All project sites have conducted initial activities which could increase the score on partnership aspect: * Protected area institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGO's and the private sector to enable achievement of objectives in an efficient and effective manner. For example, EPASS project at Tangkoko Nature Reserve has successfully engage and obtain conservation commitment from local government (Bitung Municipality), not only written but also financially. On an Earth Day Celebration agenda as organized by EPASS project, the Major of Bitung has committed support 25 Mill IDR (approx 1900 US$) to support establishment of Maleo Community-Cooperation, which is an initiative of North Sulawesi Conservation Agency supported by EPASS Project. In addition to that, EPASS Project has also received commitment from private sector (PT Meares Soputan Mining) to support the establishment of Conservation Information Center at Tangkoko Nature Reserve. EPASS project at Tangkoko site has also worked very closely with local NGO (Selamatkan Yaki), Macaca Niegra Project, and local university. Having positioned under Conservation Authority of North Sulawesi (which is also part of Ministry of Environment and Forestry), it is expected that the partnership milestones that have been triggered by EPASS project could be further enhanced and sustained. Activities in project sites have also supported the enhancement of issue no 14 in the institutional * capacity score card, on: There are legally designated protected area institutions with the authority to carry out their mandate. It was identified in the baseline situation, for example in Bogani Nani Wartabone National Park, that to increase the institutional capacity score card the national park authority must improve their relationship with local government. EPASS Project at BGWNP has therefore conducted several activities in this reporting period to improve and engage local government in protected area agenda. This includes: socialisation of EPASS project and Protected Area to Head of Bone Bolange District in Gorontalo and Head of Bolaang Mogondow in North Sulawesi, in which in the meeting potential collaboration and contribution of district government to protected area agenda are identified and mutually agreed, and this will be followed up to real action in the next quarter. In addition to that, to strengthen law enforcement in BGNWP area, under facilitation of EPASS Project, Memorandum of understanding on Protection and Safeguarding of BGNWP have been signed by multi-parties: Local Police Authority, District Attorney Office, District Court of Justice, Forest Law Enforcement Agency for Sulawesi, and BNWNP authority. In addition to that, activities in all project site has also contributed to enhancement of capacity scorecard, particularly on issue no. 21: Protected areas have the public support they require. For example, the baseline of capacity scorecard for North Sulawesi Conservation agency identified that: Majority of issues focused around serious lack of information flows and general communication between PA authorities and other stakeholders. EPASS project has therefore initiated communication forum to increase flow of information. | * Major of Bitung has committed to support 25 Mill IDR (approx 1900 US$) to support establishment of Maleo Community-Cooperation (initiative of North Sulawesi Conservation Agency supported by EPASS) * EPASS Project has received commitment from private sector (PT Meares Soputan Mining) to support the establishment of Conservation Information Center at Tangkoko Nature Reserve. * EPASS project at Tangkoko site has also worked very closely with local NGO (Selamatkan Yaki), Macaca Niegra Project, and local university. Having positioned under Conservation Authority of North Sulawesi * Socialisation of EPASS project and Protected Area to Head of Bone Bolange District in Gorontalo and Head of Bolaang Mogondow in North Sulawesi, in which in the meeting potential collaboration and contribution of district government to protected area agenda are identified and mutually agreed * Under facilitation of EPASS Project, Memorandum of understanding on Protection and Safeguarding of BGNWP have been signed by multi-parties | * Capacity Development Strategy and Action Plan has been developed, identifying the needs and problems in each institution and providing recommendations for area of improvements to achieve the target score by end of the project. * Course outline was developed outlining the methodology, resource persons and materials in closed coordination with conservation authority in each project sites. This contributes to issue no. 9 of the scorecard: “human resources are well qualified and motivated” * Up to 200 personnels from national park and conservation authorities in three project sites were trained (issue no. 17 of the scorecard: “individuals are appropriately skilled for their jobs” and no. 11: “protected area institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate”) * Skills in RBM, GIS and resort-based work planning are linked to the progress of issue no. 4: “adequate skills for Protected area planning and management.” Skills in SMART Patrol and knowledge in forest crime acts and regulations has also contributed to the progress of issue no. 15: “protected areas are effectively protected”. Skills in monitoring programme, i.e. conducting survey, data collection, camera trap operation, are linked to the progress of issue no. 25: “protected area institutions have the information they need to develop and monitor strategies and action plans for the management of the protected area system”   Additional trainings were also conducted targeting other stakeholders including local governments, NGOs, school teachers and youth organizations on conservation awareness and participation. The inputs support the progress towards issue no. 21, which is “protected areas have the public support they require”.   * The project also supported BNWNP, LLNP, and North Sulawesi conservation authorities to update their protected areas management plan for the period 2017-2026   the management plan for BNWNP and LLNP has been finalized and ratified by MoEF, while the one for Conservation Forest Management Unit (CFMU) Tangkoko is waiting for ratification from the MoEF.   * The development of new management plan addresses issue no. 3 in the scorecard, which is “there is/are institution(s) responsible for PAs able to strategize and plan”, as well as no. 8 on “regular updates of comprehensive protected area management plans” | - PHKA (Jakarta): 75%  - LLNP: 55%  - Bogani Nani NP: 55%  - North Sulawesi BKSDA: 55% | The METT (Management Effectiveness Tracking Tools) in three regions increased | **S** | The figures for Lore Lindu NP went from 61 % at the beginning of the project to 73% in 2017. For Bogani Nani NP the figurures improved from 64 % to 74 % and for Tangkoko NR the figures improved from 55 % to 61 %. during the same period.  Refference : PIR 2018 |
| Annual levels of deforestation and forest degradation within Sulawesi’s terrestrial PAs and buffer zones | * Approximately 56,505 ha of forest loss within PAs from 2000-2008 * Levels within buffer zones TBD | * Consultant has been recruited, and under closed consultation and coordination with PMU, MoEF and National Park Authorities will start working on establishing the baseline in the next quarter. | Consultant has been recruited, and under closed consultation and coordination with PMU, MoEF and National Park Authorities will start working on establishing the baseline | * Baseline forest cover for the three Project sites based on comparison of forest cover from 2000-2016 are as below:   -BNWNP: 6,060 ha forest loss (2.2%) within the PA and 14,900 ha (10.2%) within buffer zones  -LLNP: 1,050 ha forest loss (0.5%) within the PA and 3,180 ha (3.7%) within buffer zones  -Tangkoko NR: 1,200 ha forest loss (17.4%) within the PA and 3,260 ha (90.1%) within the buffer zones   * Restoration Plan of Fragmented and Degraded Ecosystem in the three project sites has been developed based on survey and coordination with PMU, MoEF and the National Park Authorities. . The extent of rehabilitated area supported by the Project in the area is 15 hectares in total   Following a large scale illegal gold mining that happened in Dongidongi (part of Lore Lindu National Park/LLNP), in early 2016, the project conducted activities to restore fragmented and degraded ecosystem caused by the mining. Activities included survey, drafting of ecosystem rehabilitation plan specifically for the area, and planting of selected plants based on consultation with the NP authority and local community | 25% reduction in annual forest carbon emissions within PAs and buffer zones combined between baseline years (2000¬2010) and last three years of project (2016-19). | While deforestation continues to be a problem, according to the figures the MTR Team secured, the rate of deforestation has been decreasing importantly for the three PAs.  Baseline for deforestation obtained from Deliverable 1 of the consultant (WCS) | **S** | PIR 2018, Handover Note from Previous NPM and also latest data update from three FCU Coordinators  WCS deliverable #1 |
| Extent of implementation of RBM | 1. RBM has begun to be implemented at all NPs and several other PAs (exact # TBD), but remains incomplete throughout | * Based on current MoEF definitions, resort establishment has reached Stage 5 i.e. PA staff are routinely in the resorts and are carrying out (passive) surveillance activities. National Park * project sites have divided their areas into resorts and officers have been located in each resort. There are, however, inadequate staff resources and capacity to perform tasks within each resort. In some instances, there is only one staff member available within a particular resort. This makes it impracticable, and generally unsafe, for staff to carry out the full range of management tasks required. In this reporting period EPASS project at three project sites have supported and enhanced routine patrol at Protected Areas, by also involving local community as part of the patrol team. Therefore, RBM could also be seen as a valuable opportunity to engage with local community and 'invest' conservation effort in local community agenda, which expected to sustain future project result. In addition to that, EPASS project at three sites, under closed coordination with local conservation and national park authority have identified potential resorts that will be used as model resorts, identifying problems, challenges and needs in that particular resort to undertake Resort-Based Management. The works laid out by FCU during this reporting period will serve as a basis which will ease the pave for further works on RBM to be conducted by consultant and FCU. During the reporting period, RBM training was conducted as part of an effort to increase the effectiveness of RBM implementation at project sites. This training helped identify needs and changes needed to improve effective implementation. Outcomes from the workshop will be used as; (i) a base line when RBM guidelines are drafted, (ii) gaps analysis in relation to existing policies RBM establishment (iii) the potential for selected resorts to become models for RBM implementation. In addition to the RBM training organized by PMU, more specific training were also organized at project sites to increased capacity of staff at national parks in accordance to specific needs at sites, such as: GIS Training at Lore Lindu National Park to strengthen effort in implementing RBM at sites. The specific targets are forest ranger/patrol officer of national park, as well as officer for forest ecosystem monitoring at the national parks. | * National Park project sites have divided their areas into resorts and officers have been located in each resort. There are, however, inadequate staff resources and capacity to perform * EPASS project at three sites, under closed coordination with local conservation and national park authority have identified potential resorts that will be used as model resorts, identifying problems, challenges and needs to undertake Resort-Based Management. * RBM training was conducted as part of an effort to increase the effectiveness of RBM implementation at project sites   More specific training were also organized at project sites to increased capacity of staff at national parks in accordance to specific needs at site | * The project supported and facilitated the Directorate of Conservation Area of the MoEF to develop the RBM guidelines regulation * The Project has provided support to internalize RBM into regulation. Currently the final draft of RBM Guideline Regulation is awaiting ratification from the Director General of Conservation of Natural Resources and Ecosystem Conservation (to be legalized as DG Regulation) * The Project is making efforts to increase RBM level in the three Project sites to Stage 6 RBM: “Officers are routinely present in the resort and actively performing full range of prescribed tasks”, including facilitating RBM trainings on SMART Patrol, monitoring program, and RBM related skills for officers and staff of conservation authorities in the three Project sites.      * The Project provided basic equipment for model resorts in BNWNP, namely: computer, printer, GP   Community outreach activities have been initiated in LLNP (consult about conservation in school curriculum, forest fire education sessions for villages) | - Using PHKA RBM scoring system, at least 50% of resorts in the project | The implementation of RBM in the three site projects has begun. Implementation was made possible through RBM planning workshops, comparative studies of RBM trials at all resorts, smart patrols, and so on.  Collaboration agreements with the community around the area have been formulated | **S** | PIR 2018  NPM Handover Notes |
| Effectiveness of anti-poaching efforts | 1. Very limited implementation of anti-poaching laws across Sulawesi | * The first annual project target for this indicator is "(i) a small unit of intelligence-based poaching &amp; wildlife trade surveillance established and equipped; (ii) mechanism for monitoring, analysing and reporting developed". A consultant company with expertise and qualifications, as well as experience of establishing such unit in Sumatra Island has been recruited and start working on establishing this unit under closed consultation with National Park Authorities as well as relevant directorates at Ministry of Environment and Forestry. More tangible results are expected in the next quarter for this indicator | * A consultant company has been recruited and start working on establishing this unit under closed consultation with National Park, Authorities as well as relevant directorates at Ministry of Environment and Forestry | * The Project is conducting comparative study of intelligence-based unit models and proposed model for Sulawesi island, as well as the establishment planning * The Project has supported regular and functional patrol in LLNP and Tangkoko NR within and along the borders of the Pas * The project has supported the establishment of community-based field informant system on wildlife trade and poaching located in Tangkoko NR, comprises 100 members of Forest Conservation Community Forum (FMKH) from villages in buffer zone areas   Workshop to increase the knowledge and capacity of law enforcement officers on criminal acts against forest conservation was organized by BNWNP authority supported by the Project in Gorontalo Province, resulted an MoU between the NP authority and local law enforcement for a joint program plan, and communication channel for the related parties through WA group to identified illegal activities. MoU has been extended to engage North Sulawesi Nature Resource Authority. | - Intelligence-based anti- poaching has become a well-known feature of PA management, affecting incentives in measurable ways (surveys) | A baseline study report on hunting and trade in animals has been prepared through consultancy services (WCS deliverable # 4) and the MoU has also been agreed between TNBNW, Tangkoko KPHK and law enforcement (Police, Attorney General's Office, Gakkum, Court)  Comparative Study of the Intelligence-Based Surveillance Unit Model and Proposed Model for Sulawesi Island has been carried out through consultancy services (Deliverable WCS # 15) but cannot be implemented because the financing is difficult to account for intelligence-based activities | **MS** | PIR 2018  NPM Handover Note  WCS Deliverable #4 & #15 |
| Operational island-wide biodiversity monitoring system | No integrated monitoring | In this reporting period, project has conducted initial workshops to identify current protocol in monitoring and reporting system of biodiversity-related data, the challenge and bottleneck of having an integrated biodiversity data, and to come up with options as a basis for EPASS project to develop IT based biodiversity monitoring system for Sulawesi island as a model . Stakeholders provided inputsfrom different perspectives (scientific, practitioner, National Park Authority, relevant directorates in MoEF) to determine the most suitable platform for Sulawesi, including making use of the existing system in KSDAE. Several methods of data collection and monitoring system were proposed, including an Occupancy Survey and optimalizing the use of information from SMART Patrol. EPASS at project sites have also conducted initial biodiversity survey, for example in Tangkoko Sites. EPASS tangkoko sites have conducted patrols along with community, local NGO and national park authority, by opening new patrol route. At the same time when undertaking the patrol, biodiversity survey is also conducted by using grid of 300m x 300m. The patrol team will then identify observed animal and endemic plant species, be it from direct eye observation as well as from voice identification for some bird species. This activity will therefore provide additional information and update on existing biodiversity in the sites | EPASS has conducted initial workshops to identify current protocol in monitoring and reporting system of biodiversity-related data, the challenge and bottleneck of having an integrated biodiversity data, and to come up with options as a basis for EPASS project to develop IT based biodiversity monitoring system | * Online Knowledge Sharing Platform for Biodiversity has been developed. It serves as information portal to obtain data and analysis related to monitoring and evaluation on biodiversity in the three project sites. The URL for the portal is <http://www.epassbiss.org/> * Field sampling protocol to measure population of species (namely: montane anoa Bubalus quarlesi, lowland anoa Bubalus depressicornis, babirusa Babyrousa babirussa, tarsius Tarsius fuscus, Sulawesi black Macaque macaca nigra, Moor macaque Macaca maura, and maleo Macrocephalon maleo) * Field Technical Guidelines for Biodiversity Monitoring were developed by the Project based on coordination with conservation authorities   To support implementation of the monitoring survey, project supported enhancing capacity of up to 150 conservation authority personnel in the three project sites | Users across Sulawesi, Indonesia and beyond are able to upload to and access historic data on biodiversity and proteccted areas, generated by multiple sources, using a platform created by the project | Technical guidance for biodiversity monitoring has been completed through consultancy services (WCS deliverables # 10 & 11) in mid-2017.  BIS-based WEB / EPASS data base management system (Biodiversity Information System) /www.epassbis.org has been built and equipped with management protocol | **HS** | WCS Deliverable #10 #11  [www.epassbis.org](http://www.epassbis.org) |
|  | Representation of lowland forest (key under-represented forest ecosystem types in Sulawesi’s PA system) | 131,000 ha, or 4.2% of total remaining habitat type | The project support the gazettement process for Ganda Dewata, a planned new 214,186 Ha National Park in lowland tropical forest of West Sulawesi, whose status is being converted from protected forest. This area is of particular significance given both that it covers an under-represented Eco region as well as due to the fact that it is located in a province which currently has the lowest proportion of PA coverage of any province in Sulawesi. The project started supporting this process by collaborating with the Directorate of Natural Conservation Design and Information (Dit. PIKA), EPASS project has facilitated several socialization meetings and workshops in West Sulawesi to gain public support and local government support to establish this national park, and thus increase representation of lowland protected forest. The final consolidation meeting taken place on 25-26 May 2016 involving local government, locall and national forestry and conservation authorities, academics, scientist, community leaders, and local organizations, have agreed on several important points, including:: 1) change the proposed name from Ganda Dewata to Gandang Dewata National Park; 2) all participants strongly support the establishment of Gandang Dewata National Park due to its high conservation value -- it is expected that the establishment of National Park could be declared in Sept 2016 along with the momentum of 12th anniversary of West Sulawesi Province Source: minutes of consolidation meeting 25-26 May 2016 (signed by all participants), | * EPASS support the gazettement process for Ganda Dewata, a planned new 214,186 Ha National Park in lowland tropical forest of West Sulawesi, whose status is being converted from protected forest.   EPASS has facilitated several socialization meetings and workshops in West Sulawesi to gain public support and local government support to establish this national park, and thus increase representation of lowland protected forest | * Following the final consolidation meeting supported and facilitated by the Projec, in October 2017, Gandang Dewata National Park in West Sulawesi (covering 214,186 Ha) was formally established through the MoEF Decree No.SK.773/Menlhk/Setjen/PLA.2/10/2016 on 3 October 2016 * The Project supported the launching of the new national park, Gandang Dewata, by developing publication and promotional materials * The project conducted survey of land use on maleo bird nesting ground in Muara Pusian, BNWNP. The survey led to securing support from local officials and community to restore the ecosystem and corridor for maleo bird in the form of drafting the ecosystem restoration plan   The project supported evaluation of the geographical area of Tangkoko NR. . The analysis showed that there is a need to expand the area of Batuangus Nature Park up to 400 Ha in the southeast part of the NR to accommodate visitor access to the park. The result was presented to the Nature Conservation Arrangement and Information Directorate for further re-arrangement of Tangkoko NR area | ***210,000 ha, or 6.7% of remaining habitat type, representing a 60% increase in coverage*** | Spatial planning design based on biodiversity interests, ecosystem and wildlife threat status, biogeographic representation in the Sulawesi conservation area system has been completed in early 2018 through consultancy services (Deliverable WCS # 20)  Design of the spatial plan for the conservation area system, wildlife corridors and action plans and consolidation plans have been completed in early 2018 through consultancy services (Deliverable WCS # 23) | **HS** | * PIR 2018 * NPM Handover Notes * WCS Deliverable #20 * WCS Deliverable #23 |
|  | Representation of additional under-represented ecosystems | Karst ecosystems – 2.3% of existing ecosystem protected | This indicator is not included in the final project document. | This indicator is not included in the final project document. | A project board will be conducted to provide recommendation for updating this indicator in UNDP system | 100% increase in coverage | A project board will be conducted to provide recommendation for updating this indicator in UNDP system | **MS** | * PIR 2018 * Former NPM Handover Notes |
| **Outcome #2:**  **Financial sustainability of the Sulawesi PA system** | Financial sustainability score (%) for the sub-system of Sulawesi’s protected areas:   1. Component 1: Legal, regulatory and institutional frameworks  * Component 2: Business planning and tools for cost- effective management   Component 3: Tools for revenue generation | 1: 34 %  2: 35 %  3: 28 % | In this reporting period, highly qualified consultants have been recruited and started work to collect baseline data and information to undertake a comprehensive Economic valuation of Sulawesi PA system, with particular emphasis on three EPASS project sites. The consultant is also working closely and under coordination with the National Planning Agency (BAPPENAS) who lead the implementation of component 2 of this, project, particularly output 2.2. and 2.3. More tangible outcome is expected in the subsequent quarters. In addition to that, coordinated by FCU, EPASS at project sites have also initiated activities to explore and identify potential economic value of national parks. For example, EPASS at Bogani Nani Wartabone National Park (BNWNP) site has conducted preliminary assessment to potential economic value to Mengkang Village, one of buffer-village surrounded BNWNP which is also a village that receive support from the National Park Authority. It was identified that Mengkang Waterfall, which has been locally managed by community, has a good potential for development as tourism attraction. Further to that, Mengkang Village also has a micro-hydro potential, that could provide environmental services to community. As a follow up to that findings, EPASS at BNWNP project sites has initiated meeting with local stakeholders (including: district government, local forest authority, district planning agency) to share this findings for further scaling up of this potential. It is expected that district government will have interest in increasing the livelihood of their community through further development of this tourism potential. | 1. Qualified consultants have been recruited and started work to collect baseline data and information to undertake a comprehensive Economic valuation of Sulawesi PA system  * The consultant is also working closely and under coordination with the National Planning Agency (BAPPENAS) who lead the implementation of component 2 (2.2. and 2.3.) * EPASS at project sites have also initiated activities to explore and identify potential economic value of national parks (tourism attraction& micro-hydro potential) | * The economic valuation of ecosystem services in Sulawes found that the value of ecosystem services in the three project sites are: US$ 36.29 million in Bogani Nani Wartabone Nationa Park, US$ 32.32 million in Lore Lindu National Park, and US$ 10.02 million in Tangkoko NR. * At the same time, the economic dependency of the community in the buffer zone areas toward the PA is equally high. As well the economic loss of local government because of insufficient investment on the PA is considered high   Early draft of communication strategy was developed by the Project as reference for project management in mobilizing various project activities and effective utilization of its results. The draft was discussed with relevant stakeholders and currently under revision based on feedback. The communication strategy is to be finalized by the third quarter of 2017 | 50% 50% 50% | Economic valuation of conservation areas in three site projects was completed in mid-2017 through consultancy services (WCS deliverable # 12)  The draft EPASS communication strategy was completed by PMU and in the process of legalizing the Director of KKH | **HS** | * PIR 2018 |
|  | Annual budget allocated to protected areas | Estimated $13.45 million allocated annually. | Environmental law experts have been recruited and start working to identify policy and law aspects as well as institutional arrangement that could potentially increase government commitment for biodiversity conservation and protected area financing. The government annual budget allocated for conservation and protected areas in 2015 was US$12.6 million. 60% of this allocation is apportioned for expenditure directly related to conservation, including protection. | Environmental law experts have been recruited and start working to identify policy and law aspects as well as institutional arrangement that could potentially increase government commitment | Focus group among local governments, PA authorities, related ecotourism authorities/agent, investors in ecotourism concessions in PAs, NGOs, and interested business firms was held to gather inputs and discuss the financing scheme in existing PA management and lessons-learned on environmental services. Alternative financing mechanism such as partnership with business firm’s CSR program, and problems/bottlenecks with the existing regulations on financing mechanism were reviewed | 25% increase, to $15 million | The draft blueprint for non-State Budget (APBN) alternative funding has been prepared which is developed through a study of conservation business models, conservation areas and sustainable funding and policy briefs  Participatory conservation area funding workshops have been carried out by BAPPENAS, but the business plan has not been formulated. | **S** |  |
|  | Sustainable financing mechanisms for PAs | Government budgetary allocations/ funding only | Consultants have been recruited and started working on identifying baseline situation and to develop options to alter business as usual situation through non-fiscal mechanism for biodiversity alternative financing. More tangible results are expected in the subsequent quarters | Consultants have been recruited and started working on identifying baseline situation and to develop options to alter business as usual situation through non-fiscal mechanism | * a blue print draft on alternative biodiversity funding and resource mobilization plan for biodiversity conservation and strengthening PA management, as well as recommendation on policy improvement to support investment in PA areas was developed   the Project also gathered support from local stakeholders (local government, community, student groups and nature observer groups) comprising of 31 people (20 male, 11 female) for BNWNP authority to design camping ground at Peapata Hill, Tulabolo Village, as part of the NP efforts in the development of ecotourism. The local stakeholders established a voluntary committee comprised of Gorontalo nature lovers (KPA) and BNWNP observer group, that will help in the design of thecamping ground and the guideline | At least two new sustainable financing mechanisms for PA management established, providing a minimum of US$ 3 million per year for PA management. | BAPPENAS has conducted a potential funding study through consulting services: Government relations, Conservation and program business specialists, Institutional Policy and Legal Expert  Technical meetings, FGDs have been carried out but the driving policies have not yet been formulated | MS |  |
| **Outcome #3:** **Threat reduction and collaborative governance in the target PAs and buffer zones** | METT scores for demonstration sites | LLNP – 61  BNWNP - 64  Tangkoko Batuangus NR - 55 | EPASS project has conducted METT Assessment Workshops for three project sites in February 2016. The workshops aims to assess the gaos and challenges for fully implementing RBM and increasing METT score at each project sites. Lessons learned from other national park with considerable high METT score was also shared and discussed during the meeting. The most current METT scores for each site are: Lore Lindu NP: 66, Bogani Nani Wartabone NP: 66, Tangkoko NR: 49. Each project sites have identified activities or intervention which in turn will increase the METT score for each respective project sites. For example, Tangkoko sites will conduct activities that will support the enhancement and capacity of newly established Tangkoko Forest Conservation Management Unit (KHPK Tangkoko). The establishment of KPHK Tangkoko, with additional human resources and budget will increase the METT Score for Tangkoko. More tangible results are expected in subsequent quarters, where consultant is expected to deliver output and undertake activity to establish "Action plan for strengthening management effectiveness of the Sulawesi PA system developed" by end of 2016. | * EPASS project has conducted METT Assessment Workshops aims to assess the gaps and challenges for fully implementing RBM and increasing METT score at each project sites in Feb 2016   Consultant is expected to deliver output and undertake activity to establish "Action plan for strengthening management effectiveness of the Sulawesi PA system developed by end of 2016 | * There has been dynamics of METT score for each project sites, as noted below:   • LLNP – 61 (baseline) – 66 (2016) – 66 (June 2017)  • BNWNP – 64 (baseline) – 66 (2016) – 74 (June 2017)  • Tangkoko Batuangus NR – 55 (baseline) – 49 (2016) – 47 (June 2017   * Strategic Action Plan for Strengthening Management Effectiveness and Threat Reduction and METT for the three project sites has been developed * Tangkoko Forest Conservation Management Unit (KPHK) was formally established on 20 September 2016 through Minister of Environment and Forestry Decree no. SK.748/Menlhk/Setjen/PLA.0/9/2016, covering an area of 8,545 ha consists of Duasudara Nature Reserve, Batuangus Nature Park, and Batuputih Nature Park. Moreover, the Project also supported the formulation of management plan for KPHK Tangkoko, where the final draft is currently in the process of endorsement by the MoEF   the Project in LLNP encouraged and supported villagers in buffer zone to use high value plants as PA natural boundary wall to help maintain the PA’s boundary marking while providing additional livelihood for the local community | LLNP - 70 BNWNP - 70 Tangkoko Batuangas NR - 70 | The action plan for increasing the METT value in the project site has been completed in mid-2017 through consultancy services activities (WCS deliverable # 9)  Living boundary plans have been established to be carried out along the regional boundaries  Mapping identification of potential bufferzone has been prepared through consultancy services (Deliverable WCS # 5)  According to the figures the MTR Team was able to secure, the METT scores for the three pilot areas seem to have improved over the life of the project. The figures for Lore Lindu NP went from 61 % at the beginning of the project to 73% in 2017. For Bogani Nani NP the figurures improved from 64 % to 74 % and for Tangkoko NR the figures improved from 55 % to 61 %. during the same period. | **HS** | According to the figures the MTR Team was able to secure, the METT scores for the three pilot areas seem to have improved over the life of the project. The figures for Lore Lindu NP went from 61 % at the beginning of the project to 73% in 2017. For Bogani Nani NP the figurures improved from 64 % to 74 % and for Tangkoko NR the figures improved from 55 % to 61 %. during the same period. |
|  | Threat indices at project demonstration sites | Lore Lindu NP (LLNP) – 23  Bogani Nani Wartabone NP -(BNWNP) – 28  Tangkoko Batuangas NR - 31 | During the reporting period, project and PA staff visited buffer zones' resorts and various villages as part of the effort to assess the condition of the PAs. The assessments included key species, potential and actual threats and perceptions of local communities. Threat facing project demonstration sites as identified within the Project Document are continuously monitored and updated by EPASS Project sites, under closed coordination and consultation with National Park and Nature Reserve Authorities. This was done through routine patrol involving not only forest rangers of the National Park Authorities and EPASS project, but also, local NGOs, local community group, and other conservation programme in respective project sites. Increased threat from illegal gold mining in large scale was identified in Dongi dongi, which are included in the working area of Lore Lindu National Park. The illegal gold mining activity was initiated in small scale by groups of farmer in December 2015, and it became more open in February 2016, where even larger groups of community (approx 3000 illegal miners from different surrounding villages have joined this illegal activity. As a result, 12-15 Ha of protected forest area have been destroyed (source: http://nationalgeographic.co.id/berita/2016/04/penambangan- emas-ilegal-rusak-taman-nasional-lore-lindu ). In order to halt this forest destruction, EPASS project at Lore Lindu site has facilitated workshops that bring together all key stakeholders, including: District Authorities and Police Authority of Palu, Sigi and Poso, Central Sulawesi Police Authority, Central Sulawesi Provincial Authority, Lore Lindu National Park, Conservation Agency, and Indonesian National Army Forces (TNI). The coordination meeting agreed on the urgency to control the illegal mining within Lore Lindu National Park, and to do so all stakeholders agreed to: 1) closing and sterilization of existing illegal mining location and instalment of Warning Board for Illegal mining activities in existing illegal mining location; 2) monitoring and supervision; 3) ecosystem rehabilitation. Currently under support from EPASS project, activity no 1 is already completed, and activity 2 is routinely conducted. Ecosystem restoration is currently being planned and designed for implementation in subsequent quarters. In Bogani Nani Wartabone National Park (BNWNP), it was identified that the source of threat mainly was from: encroachment, illegal gold mining, and illegal logging. In order to overcome this issue.  EPASS Project has facilitated MoU for law enforcement in BNWNP, between Police Authority, District Attorney, District Court Justice, Local government, Forestry Law Enforcement Unit, and BNWNP authority, In Tangkoko site, it was reported that the threat was mostly related to bush meat consumption of community (threatening particularly Macaca Niegra) and illegal logging by using beach and sea as entry point, which posed challenges in monitoring. EPASS project contribution to this situation is by supporting the enhancement of patrol activity (including removing animal trap) as well as supporting effort to conservation education through formal education to increase conservation awareness since early age. (in cooperation with Macaca Niegra Project and District Authority for Education). Another potential threat to Tangkoko sites is the plan of District Bitung to open a patrol route (for the interest of disaster mitigation by district authority) which will also open access to protected area of Tangkoko. EPASS project and the conservation agency has been heavily consulted on this potential risk of encroachment. This plan for opening access is still under review and not finalized yet. By continuously monitor and updating the threat situation and by undertaking activities to intervene the source of threat, it is expected that project would be able to reduce the threat indices at three project sites. | * LLNP: illegal gold mining in large scale was identified in Dongi Dongi * EPASS has facilitated workshops that bring together all key stakeholders, resulted: 1) closing and sterilization of existing illegal mining location and instalment of Warning Board for Illegal mining activities in existing illegal mining location; 2) monitoring and supervision; 3) ecosystem rehabilitation. Currently under support from EPASS project, activity no 1 is already completed, and activity 2 is routinely conducted. Ecosystem restoration is currently being planned and designed for implementation in subsequent quarters. * BNWNP: encroachment, illegal gold mining, and illegal logging. EPASS Project has facilitated MoU for law enforcement in BNWNP, between Police Authority, District Attorney, District Court Justice, Local government, Forestry Law Enforcement Unit, and BNWNP authority  1. Tangkoko: bush meat consumption of community (threatening Macaca Niegra) and illegal logging by using beach and sea as entry point. EPASS has been supporting the enhancement of patrol activity (including removing animal trap) and conservation education through formal education to increase conservation awareness (in cooperation with Macaca Niegra Project and District Authority for Education).   Plan of District Bitung to open a patrol route (for the interest of disaster mitigation by district authority) which will also open access to protected area of Tangkoko. EPASS project and the conservation agency has been heavily consulted on this potential risk of encroachment. | 1. the project updated baseline data including Forest Cover, Threat Index, EHI & Active Encroachment 2. Capacity development for officers of conservation authorities in the project sites on SMART patrol, data gathering, regular and functional patrols conducted in LLNP and Tangkoko NR, helped provide fast track updates of threat situation in the PA.  * the Project will develop a proper methodology or mechanism to transfer all threat data gathered into standard measurement of threat index score * the Project conducted activities to restore fragmented and degraded ecosystem caused by the illegal mining, included survey, drafting of ecosystem rehabilitation plan, and planting of selected plants based. The total rehabilitated area facilitated by the Project in the area is 15 hectares | LLNP 15 BNWNP 20 Tangkoko Batuangas NR 20 | The study of threat index has been prepared in the 2017 affirmation through consultancy services (Deliverable WCS # 1) and is used as a reference by the UPT in reducing regional threats and monitoring the value of threat index  TOR to carry out monitoring threat index on three project sites has been prepared by WCS and has been implemented at the end of 2017 (Tangkoko), and early 2018 (BNW TN and TN LL)  for Lore Lindu NP from 23 in 2015 to 20 in 2017, and for Tangkoko NR from 31 in 2015 to 20 in 2017 and further to 18 in 2018. While Bogani Nani NP slightly increase from 28 in 2015 to 31 in 2017 due to the more precise data provided by SMART Partrol system. The previous baseline might be an underestimated number of the real threat Index | **S** | according to the figures the MTR secured, the Threat Index decreasing for two PAs decreased as follows: for Lore Lindu NP from 23 in 2015 to 20 in 2017, and for Tangkoko NR from 31 in 2015 to 20 in 2017 and further to 18 in 2018. While Bogani Nani NP slightly increase from 28 in 2015 to 31 in 2017 due to the more precise data provided by SMART Partrol system. The previous baseline might be an underestimated number of the real threat Index   * Former NPM Handover Notes * PIR 2018 * Deliverable #1 WCS |
|  | Ecosystem health index (EHI) at project demonstration sites | Lore Lindu NP - .68  Bogani Nani Wartabone NP - .55  Tangkoko Batuangas NR - .48 | On the Ecosystems Health Index (EHI), during this reporting period EPASS project at three sites have contributed to the third aspect of EHI, namely: Environmental Context Health Assessment, particularly addressing issue on: local community relations. By engaging local community in conservation and protected area agenda (as discussed in earlier parts of this report), it is expected that the initial effort undertook by EPASS at project sites, could increase local community relations score, by progressing toward the state where: (1) local community can enjoy benefit from employment or alternative livelihood, and (2) local community become supportive and respect to the protected area. This was done through different mechanism and activities conducted for and with local NGO, local community, and getting the commitment of community leader. In addition to that, works on Updated RBM guidelines including biodiversity and ecosystem health monitoring is currently underway and undertaken by consultants, and expected to deliver tangible outputs by end of 2016. | * EPASS project has been engaging local community in conservation and protected area agenda, to increase local community relations score: (1) local community can enjoy benefit from employment or alternative livelihood, and (2) local community become supportive and respect to the protected area. This was done through different mechanism and activities conducted for and with local NGO, local community, and getting the commitment of community leader. * Updated RBM guidelines including biodiversity and ecosystem health monitoring is currently underway and undertaken by consultants, and expected to deliver tangible outputs by end of 2016 | * From the repeat EHI assessments, the following scores were achieved: for Bogani Nani Wartabone NP (.65), Tangkoko Complex (.57) and Lore Lindu NP (.69) * The habitat health score in 2016 was .73, which is short of .02 from the project target of .75. Based on the stakeholder’s observations, the habitats are only partly fragmented, and the habitat only experienced minor degradation, relative to the total area of BNWNP, which contributed to a higher score. The species health risks scored at .67, which is .08from the project target. It is important to note that the population of the key species is considered stable based on the observation data collected in certain areas * Capacity development for officers of conservation authorities in the project sites on SMART patrol and data gathering in LLNP and Tangkoko NR also helped provide fast track updates of EHI score for PA management | Lore Lindu NP - .75 Bogani Nani Wartabone NP - .75 Tangkoko Batuangas NR - .75 | The health index baseline data has been updated from the previous baseline  EHI measurement updates are carried out periodically every year | S | Ecosystem Health Index also increased for 2 PAs while Lore Lindu slightly declined due to the massive pressure from the surrounding areas. The figure as follows: Increased Health Index for Bogani Nani NP from 55 in 2015 to 66 in 2017 and for Tangkoko NR from 48- in 2015 to 69 in 2017 and further increase to 71 in 2018. Lore Lindu NP slightly decline from 68 in 2015 to 66 in 2017,due to the more accurate date from SMART Patrol which able to revealed the correct number compared to underestimated baseline data of 2015 |
|  | Populations of selected threatened indicator species at project sites | LLNP – Mountain anoa, babirusa, maleo, Papilio blumei  BNWNP – Maleo, babirusa, mountain anoa  Tangkoko Batuangas NR – Macaca nigra, Sulawesi civet, maleo, lowland anoa | All EPASS project sites have undertaken various activities that will support achievement of 2016 target indicator (Monitored of the existing condition of selected threatened species, threats, habitat and wildlife trade). For example, in Bogani Nani Wartabone National Park (BNWNP), EPASS project at this sites have been actively involved in effort to establish Maleo Sanctuary under closed coordination with BNWNP Authority. A strategy for maleo conservation in BNWNP for 2016-2020 has been drafted by national park authority. The strategy covers: -  Increased number of maleo - Development of maleo database - Protection of maleo and its habitat -  Improvement of facilities - Increased support from related stakeholders During the identification process, it was agreed with BNWNP Authority that EPASS contribution for Maleo Sanctuary will be focusing on two locations, namely: Muara Husian and Hungayono. Tangkoko Project Site key species is the Macaca Niegra, in which population has been threatened due to local customs of consuming bush meat from the Forest. Population and distribution data for Macaca Niegra are obtained from Macaca Niegra Project (MNP) which undertook population evaluation on 10 year basis. EPASS Project is therefore has set up close collaboration with MNP and local NGO Selamatkan Yaki (meaning: Save the Macaca Niegra) to monitor population of Macaca Niegra. | * BNWNP: EPASS project at this sites have been actively involved in effort to establish Maleo Sanctuary under closed coordination with BNWNP Authority * EPASS Project has set up close collaboration with MNP and local NGO Selamatkan Yaki (meaning: Save the Macaca Niegra) to monitor population of Macaca Niegra | * the project developed Field Technical Guidelines for Biodiversity Monitoring and Handbook of Field Sampling Protocol for Biodiversity Monitoring of key species * The Project in Tangkoko NR set up 17 camera trap in collaboration with WCS to have better monitoring result. Up to 150 personnel of conservation authorities in the three project sites had trainings on monitoring skill and camera trap analysis * Project helped to develop Conservation Strategic Action Plan for Macaca Nigra and Maleo, The drafts for both strategic action plans are going to be discussed with relevant authority in the MoEF * The project conducted habitat survey on tarsier in LLNP to analyze its characteristics within the NP. A habitat map is prepared based on the distribution of tarsier in the NP, to serve as the base in developing strategic action plan for tarsier population in Sulawesi.   Development of blueprint design of maleo sanctuary in Saluki, LLNP, has been finalized. | Indicator population species maintained or increasing; appropriate population structure | Monitoring of endangered animals at the site project has been carried out, including through surveys of Maleo nesting sites and tarsius habitat surveys.  SRAK (Conservation action plan strategy) for certain species has been formulated, including SRAK Maleo and SRAK Yaki | **S** | * SRAK Maleo * SRAK Yaki * PIR2018 * Former NPM Handover Note |
|  | Active encroachment areas in target PAs | Encroachment levels as of 2011: LLNP 6,333 ha, BNWNP 3,436 h. Tangkoko baseline TBD. | As already discussed in the part of 'Threat Indices at project demonstration site", EPASS at project sites have monitored and updated threat at project sites, including encroachment issue, which are particularly a significant issue in Lore Lindu and Bogani Nani Wartabone National Parks. Assessment on encroachment in target PAs found most common issues are land-use dispute between NPs and local community and local government development plan. Ecosystem restoration plan will be further established by the already recruited consultant under coordination and collaboration with EPASS at project sites and respective national park authorities. In addition to that, routine patrol supported by EPASS project also act as mechanism to monitor active encroachment by community or illegal miners. For example, EPASS at Tangkoko site has conducted regular visit to village at the buffer zone of Tangkoko Nature Reserve and found that some villagers have encroached parts of protected are for their cultivation purpose. It was then recommended that the Conservation Agency need to provide socialization on protected area boundary to the villagers, since some villagers are not familiar with this. It is also important for the project to consider risk of potential active encroachment posed by possibility of patrols road opening as planned by Bitung District authority. Opening of access will certainly posed the risk of any types of encroachment. On meeting facilitated by Bitung District on 23 May 2016, where EPASS project explained its conservation agenda, all this risks related to encroachment from opening of patrols route were already identified and discuss as point for consideration. It was agreed on that meeting that the plan for opening of patrol route will still need to be further reviewed. | * Assessment on encroachment in target PAs found most common issues are land-use dispute between NPs and local community and local government development plan * Ecosystem restoration plan will be further established by the already recruited consultant under coordination and collaboration with EPASS project sites and national park authorities * Routine patrol supported by EPASS project also act as mechanism to monitor active encroachment by community or illegal miners   Opening of access by Bitung District authority will posed the risk of any types of encroachment. On meeting facilitated by Bitung District where EPASS project explained its conservation agenda. It was agreed that the plan for opening of patrol route will still need to be further reviewed. | * The project developed socio-economic survey of selected communities in the buffer zones of KPHK Tangkoko, Bogani Nani Wartabone and Lore Lindu National Parks. * The project has undertaken mapping activity to identify potential PA buffer zones, its existing land use and PA Boundary condition of the Three Project Sites, including options for Biodiversity-Based Park Boundary * The project conducted survey of land use on Maleo bird nesting ground in Muara Pusian, BNWNP. The survey has further resulted in the ecosystem restoration plan   to increase the knowledge and capacity of law enforcement officers on criminal acts against forest conservations, the project supported organizing a workshop by BNWNP authority in Gorontalo Province.As a follow-up from the workshop, the MoU has been extended to engage North Sulawesi Nature Resource Authority | Zero increase in net levels of active encroachment | Ecosystem restoration plans in three project sites have been prepared through consultancy services (Deliverable WCS # 2)  The area of the former illegal gold mine in the 15 Ha TNLL Dongi has been rehabilitated with fast growing plants  Collaborative management with the community has been built through Cooperation Agreements in three project sites in an effort to reduce threats (encroachment) | S | While deforestation continues to be a problem, according to the figures the MTR Team secured, the rate of deforestation has been decreasing importantly for the three PAs. The figures show that for Lore Lindu National Park the loss of forests was 10.5 square kms. for the period 2000-2015 and for the period 2015- 2017 this figure was only 3.54 square kms. For Bogani Nani National Park the figures show a loss of 60.6 square kms for the period 2000-2015 and a loss of 1.1175 square kms in 2016 and 0.9245 square kms in 2017. For the Tangkoko Natural Reserve the figures were 26.05 square kms. for 2000-2015 and it was reduced to 14.05 square kms. for 2015- 2017.   * Reference: PIR 2018 * Former * NPM Handover Note * WCS deliverable #2 |
|  | Existence and effectiveness of collaborative governance systems | -Approximately 30 CCAs established, currently operating at varying degrees of functionality | During this reporting period all EPASS project sites have undertaken various activities to move forward with establishment and/or revitalisation of CCA in respective sites (target indicator for 2016: Existing CCAs revitalized and 5 new CCAs established). Assessments at buffer zones in three project sites identified 5 (five) inactive community groups possible for revitalization, 5 (five) community forums possible for institutionalization into CCA, and 1 (one) buffering village. It is important to consider that there is a difference in the interpretation of the the definition of a CCA between the project and the MoEF. MoEF considers a CCA would apply to a single village in the buffer zone. The project regards the CCA process as not necessarily being a single village and could be a community groups within a village and that a village might have more than one CCA that is eligible to obtain funding support from the project. EPASS at Lore Lindu National Park (LLNP) project sites have identified 5 already established CCA in 5 villages surrounding Lore Lindu National Park that need to be revitalized. EPASS facilitated meetings with village authority, village conservation institution, community leader and customary institution. Project has also identified farmer groups which has previously been under support from LLNP, such as forest honey bee farmer group. The output of the meeting was very positive, in which all participants in the meeting were very enthusiastic on revitalizing the CCA (which was formally initiated by TNC Project. The community leader also suggested that the several groups with interest on animal conservation and Alkhareat women group should be strongly involved in CCA activities. It is also agreed that the follow up meeting will agree on points of conservation agreement by incorporating inputs for community to revitalize the CCA in the later stage. The same case applied for Tangkoko project sites, where EPASS project has conducted initial communication and coordination with surrounding villages on conservation agreement, by collaborating with several local NGOs, by using existing Forest Conservation Community Forum (FMKH) as its entry point. Five FMKH located in 5 villages surrounding Tangkoko Nature Reserve are identified to be the to-be established CCA at Tangkoko. EPASS project at this site has facilitated meetings to identify community needs as well as identify potential alternative livelihood for community, and providing capacity development training for community regarding conservation in Tangkoko. EPASS Project at Tangkoko Site also facilitated the establishment of Maleo Community Cooperation and Development Plan for Buffer Zone villages. This Maleo Community Cooperation will support the management of Nature Park, by providing some services to tourist, including bike rental service. Since the rate of tourist visits at the Nature Park is very promising, the enhancement and engagement of community involvement becomes more and more important. Data shows that in 2015 the income generated from Nature Park visit in 2015 was around 500 million IDR, while up to May 2016 the amount already reached 390 million IDR. All the efforts as conducted by EPASS at project sites during this reporting period will provide a robust baseline and enabling situations to complement the work on CCA to be conducted by consultant and further works by EPASS project. | * Assessments at buffer zones in three project sites identified 5 (five) inactive community groups possible for revitalization, 5 (five) community forums possible for institutionalization into CCA, and 1 (one) buffering village * LLNP: EPASS facilitated meetings with village authority, village conservation institution, community leader and customary institution. Project has also identified farmer groups which has previously been under support from LLNP, such as forest honey bee farmer group * Tangkoko: EPASS project at this site has facilitated meetings to identify community needs as well as identify potential alternative livelihood for community, and providing capacity development training for community regarding conservation * EPASS Project at Tangkoko Site also facilitated the establishment of Maleo Community Cooperation and Development Plan for Buffer Zone villages | * The Project provides funding support for community in buffer zone for conservation related activities. A draft operational guideline for micro capital grant management has been developed. The fund disbursement will be executed by BNI under its MOU with UNDP. * The Project undertook mapping to identify potential PA Buffer Zone, its existing land use and PA Boundary condition of the three project sites including options for Biodiversity-Based Park Boundary. Recommendation from the mapping includes initiating agroforestry in the encroached area in collaboration with the local community, which can give them options for alternative income source. | - At least 45 CCAs, including some at each project demonstration site - 70% of above CCAs are operating at an agreed baseline level of functionality - 35% of above CCAs are rated as highly functional (rating system to be developed and applied during inception phase) | So far 23 CCA have been built from the target of 45 CCA in three project locations 5 TNLL 9 TNBNW and 9 in Tangkoko KPHK  Mobile conservation units have been formed and natural schools have also been initiated | **S** | * PIR 2018 * Former npm Handover note |

Annex V: Revised Table of Project Indicators

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| **This project will contribute to achieving the following Country Programme Outcome as defined in CPAP:**  Outcome 2.1. Enhanced capacity of GOI to manage natural resources and energy  Output 2.1.1 Government, private sector and CBO partners have coherent and effective policy frameworks, action plans, implementing arrangement and funding arrangement to sustainably manage terrestrial ecosystems |
| **Country Programme Outcome Indicators:**  **Outcome 2.1 Indicators**  1) Proportion of government budget allocated for natural resources management  2) National deforestation rates  3) % of Indonesian coral reef in very good condition  4) Number of priority watershed areas that have been improved and in good condition  5) % emission reduction of POP compared to national baseline  **Output 2.1.1 Indicators**  1) Progress made in establishing coherent policy framework with action plan and budget  2) Effective functioning of existing multi-stakeholder forums and/or establishment of new forums to sustainably manage forests and watersheds in targeted areas  3) Local/regional policy framework on promoting public/private/community partnership mechanisms for the management of forests and watersheds |
| **Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):  CPD outcomes**  2.1. Enhanced capacity of Government of Indonesia to manage natural resources and energy  2.2. Potential impact of climate change reflected in policy framework at all levels |
| **Applicable GEF Strategic Objective and Program: Enabling Activities (CCM-6):** Support enabling activities and capacity building under the Convention |
| **Applicable GEF Expected Outcomes:** Adequate resources allocated to support enabling activities under the Convention (Outcome 6.1) |
| **Applicable GEF Outcome Indicators:**   1. Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system 2. Financial sustainability of the PA system 3. Threat reduction and collaborative governance in the target PAs and buffer zones |

|  | **Indicator** | **Baseline** | **Targets End of Project** | **Source of verification** | **Risks and Assumptions** |
| --- | --- | --- | --- | --- | --- |
| **Project Objective:**  To strengthen the effectiveness and financial sustainability of Sulawesi’s protected area system to respond to threats to globally significant biodiversity | (1) Institutional capacity scores\*for:  - PHKA (Jakarta)  - LLNP  - Bogani Nani NP  - North Sulawesi BKSDA  \*Based on UNDP Capacity Scorecard | (1) Institutional Capacity score for  -PHKA (Jakarta): 66%  -LLNP: 43%  -Bogani Nani NP: 42%  -North Sulawesi BKSDA: 40% | (1) Institutional Capacity score for  PHKA (Jakarta): 75%,  LLNP: 55%,  Bogani Nani NP: 55% and  North Sulawesi BKSDA: 55%; | (1) Scorecards | Enhanced institutional capacities will not be overwhelmed by potentially increasing, external threat factors associated with population growth, etc. |
| (2) Annual levels of forest degradation within Sulawesi’s terrestrial PAs | (2) Approximately 56,505 ha of forest loss within PAs from 2000-2008 or 7,603 ha/year | (2) 25% reduction in annual deforestation within PAs and buffer zones in the project sites combined between baseline years (2000-2010) and last three years of project (2016-2019). | (2) Satellite imagery, RBM/patrol report | Availability of fine-grained data suitable for making comparisons  Leakage does not substantially counterbalance project efforts |
| 1. Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system | (1) Extent of implementation of RBM (Resort-based Management) | (1) RBM has begun to be implemented at all NPs but remains incomplete throughout | (1) Using PHKA RBM scoring system (para 60), at least 50% of resorts in the project sites achieved one stage level above the baseline. | (1) PHKA surveys | Continued support at Ministerial level for RBM reforms |
| (2) Effectiveness of anti-poaching efforts | (2) Very limited implementation of anti-poaching laws across Sulawesi | (2) Intelligence-based anti-poaching has become a well-known feature of PA management, affecting incentives in measurable ways (surveys). | (2) Surveys conducted within buffer zone communities | No interest to, or unable to, mislead surveyors on the part of interviewees |
| (3) Operational island-wide biodiversity monitoring system | (3) No integrated monitoring | (3) Users across Sulawesi, Indonesia and beyond are able to upload to and access historic data on biodiversity and protected areas, generated by multiple sources, using a platform created by the project. | (3) Project reporting on system functionality; direct experience logging on | Willingness of multiple partners to share data |
| (4) Representation of lowland forest (key under-represented forest ecosystem types in Sulawesi’s PA system) | (4) 131,000 ha, or 4.2% of total remaining habitat type | (4) Representation of low land forest increased to 210,000 ha, or 6.7% of remaining habitat type (representing a 60% increase in coverage). | (4) Gazettement | Site confirmed to have characteristics needed for NP status |
| 2. Financial sustainability of the Sulawesi PA system | (1) Financial sustainability score (%) for the sub-system of Sulawesi’s protected areas:   * Component 1 – Legal, regulatory and institutional frameworks * Component 2 – Business planning and tools for cost- effective management   Component 3 – Tools for revenue generation | (1) Financial sustainability score (see Annex 6 - Tracking Tool, incl. METTs and Financial Sustainability Scorecard)  Component 1 (34 %)  Component 2 (35 %)  Component 3 (28 %) | (1) Increased financial sustainability score for  component 1 (50%), component 2 (50%) and component 3 (50%). | (1) Financial scorecard |  |
| (2) Annual budget allocated to protected areas | (2) Estimated $12.3 million allocated annually. | (2) Annual budget allocation to the PA system increased 25% equivalent to approx. $15 million. | (2) Financial scorecard in last year of project | No negative fiscal constraints emerging |
| (3) Sustainable financing mechanisms for PAs | (3) Government budgetary allocations / funding only | (3) At least two new sustainable financing mechanisms for PA management developed, which can provide a minimum of US$ 3 million per year for PA management. |  | Ability to navigate any potential legal or regulatory constraints |
| 3. Threat reduction and collaborative governance in the target PAs and buffer zones | 1. METT scores for demonstration sites | 1. LLNP - 61   BNWNP - 64  Tangkoko Batuangas NR - 55 | (1) Increased METT Score for LLNP – 70,  BNWNP – 70, and Tangkoko Batuangas NR – 70 | 1. METT surveys | Surveys are unbiased |
| 1. Threat indices at project demonstration sites | (2) LLNP – 0.23  BNWNP – 0.28  Tangkoko Batuangas NR – 0.31 | (2) Reduced threat indices for LLNP – 0.15; BNWNP – 0.20  Tangkoko Batuangas NR – 0.20 | (2) Threat indices | Surveys are unbiased |
|  | 1. Ecosystem health index at project demonstration sites | (3) Lore Lindu NP - .68  Bogani Nani Wartabone NP - .55  Tangkoko Batuangas NR - .48 | (3) Increased EHI for Lore Lindu NP - .75  Bogani Nani Wartabone NP - .75  Tangkoko Batuangas NR - .75 | (3)EHI surveys | Surveys are unbiased |
|  | 1. Populations of selected threatened indicator species at project sites | (4)   * LLNP – Mountain Anoa, Babirusa, Maleo * BNWNP – Maleo, Babirusa, mountain Anoa * Tangkoko Batuangas NR – Macaca nigra, Sulawesi civet, Maleo, lowland Anoa | (4) Indicator population species maintained or increasing; appropriate population structure achieved. | (4) Project field surveys | Existing populations remain viable and can stabilize or recover once threat levels are reduced |
|  | 1. Active encroachment areas in target PAs | (5) Encroachment levels as of 2011: LLNP 6,333 ha, BNWNP 3,436 h. Tangkoko baseline TBD. | (5) Zero increase in net levels of active encroachment | (5) Project field surveys | Success of CCA programme and enforcement efforts |
|  | 1. Existence and effectiveness of collaborative governance systems | (6) Approximately 30 Community Conservation Areas (CCAs) established, currently operating at varying degrees of functionality. | (6) (i) At least 45 CCAs, including some at each project demonstration site  (ii) 70% of above CCAs are operating at an agreed baseline level of functionality.  (iii) 35% of above CCAs are rated as ‘highly functional’ (rating system to be developed and applied during inception phase). | (6) Project reports | Community interest |

Annex VI: Organizational Structure of Project

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Annex VII: Field Visit Summary

Field mission started from 16th of July 2018 after the arrival of International consultant to Jakarta. On the very same day, the team of consultants met with UNDP Staffs (Ms Elin, Ms Fida, Mr Iwan Kurniawan, Mr Anton Probiantono and Mr Yayat) in order to get a better picture of the project implementation progress. On the 17th of July 2018, the consultants team flew to Manado and met with the stakeholders from Tangkoko Natural Reserve Areas which comprised of NPM, FCU Coordinator and his staff, representative from Sam Ratulangi University, Local Governments and Natural Resources Conservation Agencies, World Conservation Society, Japesda NGO as well as the representative from local communities. On the 18th of July 2018, meeting was continued with different stakeholders, this time with stakeholders from Bogani Nani National Parks which comprises of NPM, FCU Coordinator and her staff, representatives from Local Governments, Voice of Bobato Foundation Rimbawan Foundation, World Conservation Society, and representative from local communities. On the 19th of July 2018, the team of consultant depart for Bogani Nani National Park and saw directly how the community in Tapadaka Utara Resort actively involved in reforestation activities while gaining economic benefits. Later on the same day, the team of consultants head to Werdhi Agung village to witness how the women group actively involved in the project by engaging in agroforestry activities of Snake fruits.

The 20th of July the team of consultants met with Elin Shinta (UNDP) and consolidating report at the hotel premises. The 21st of July the team of consultant head to Tangkoko Natural Reserve to see the ecotourism activities conducted by the community under E-PASS supervision. The 22nd of July 2018 the team of consultants head to Palu and directly go to Lore Lindu Area to witness the planning of proposal to build organic farming to obtained the microgrant from E-PASS. The 23rd of July the team of consultants met with Stakeholders from Lore Lindu NP at the NP Office which comprises of NGO, Tadulako University, Representative from Indigenous and women group, representative from governmental agencies and local nature and biodiversity conservation agency as well as National Park’s staff, during the lunch the international consultant had meeting with representative from Forest Program 3 of GIZ which has the intersecting intervention project areas with E-PASS project.

The 24th of July 2018 the field mission in Sulawesi accomplished. As soon as the team arrived in Jakarta, the team of Consultant met with GEF UNDP Regional officer, Tashi Dorji to obtained more information about the project implementation and operation for the last few years. The meeting was continued with Elin Shinta and Fida of UNDP after the lunch. The 25th of July 2018 the team of consultant met with component 2 coordinator from BAPPENAS, Mr Pungky through skype since Mr Pungky currently on study assignment in the United States from BAPPENAS . The meeting with Mr Pungky was held at UNDP an attended by Ms Dita of BAPPENAS, Mr Angga, Mr Anton Probiantono and Mr Iwan Kurniawan of UNDP to get the latest progress on component 2, after the meeting, the team of consultant met with Matthew Linkie of WCS to grasp the idea of the activities delivered by WCS. The Field mission in Jakarta accomplished by the presentation of early preliminary findings to stakeholders at national level which comprises of member of Project Steering Committee (Ms Yuke, Director of forest and natural resources of BAPPENAS, Mr Puja of the Deputy of NPD), GEF Program Coordinator representative (Ms Lakhsmi Dhewanti), Arief Toengkagie of NPM, Mr Agus as Former NPD, FCU Coordinators, SStaff of MoEF and UNDP.

# Annex VIII: List of References

* Project Document
* Project Inception Report
* First draft report and analysis on the legal and regulatory framework for a funding mechanism outside State Budget (non-APBN) for biodiversity fund and conservation area
* Review on current legal and regulatory framework for a funding mechanism on selected project sites;
* Report on Tangkoko Conservation Area
* Report on Lore Lindu NP
* Biodiversity Financing and Public Policy Expert-First Report
* Biodiversity Financing and Public Policy Expert-Second Report
* Biodiversity Financing and Public Policy Expert-Third Report
* Field Visit Report to Lore Lindu
* Lore Lindu NP Field visit Report – Financing Potentials and Cooperation Development
* Annual Report -annual work plan
* Initial Findings and Recommendations Of EPASS, Component 2
* Component 2 Report – Development of Sustainable Conservation Area Funding. – 1st Deliverable
* Component 2 Report – Development of Sustainable Conservation Area Funding. – 2nd Deliverable
* Component 2 Report – Development of Sustainable Conservation Area Funding. – 3rd Deliverable
* Component 2 Report Recommendations for the Development of Sustainable Conservation Area Funding – 4th deliverable
* Conservation Area Business Process
* Gap and Alternative Funding for Conservation Area Management TN. Lore Lindu, TN. Bogani Nani Wartabone, and Tangkoko KPHK-Deliverable #1
* Gap and Alternative Funding for Conservation Area Management TN. Lore Lindu, TN. Bogani Nani Wartabone, and Tangkoko KPHK-Deliverable #2
* Gap and Alternative Funding for Conservation Area Management TN. Lore Lindu, TN. Bogani Nani Wartabone, and Tangkoko KPHK-Deliverable #3
* Desk study on existing institution and regulatory framework analysis the gap to be addressed in order to implement business plan and pilot financing project, Deliverable1
* Final Report Draft on formulating of appropriate institutional and policy support system at district, provincial, and national level for pilot financing project development through participatory approach involved relevant parties-Deliverable2
* First draft on Policy brief development of innovative regulatory framework concerning sustainable financing for PA management Deliverable #3
* First draft on Policy brief development of innovative regulatory framework concerning sustainable financing for PA management Deliverable #4
* Component 2 Annual Report 2017
* National Project Manager’s Handover Note
* Project Implementation Review (PIR) 2016
* Project Implementation Review (PIR) 2017
* Project Implementation Review (PIR) 2018
* Baseline data for Forest cover of the three Project Sites updated, including forest cover, threat index, EHI, active encroachment,
* ToR for restoration of fragmented and degraded ecosystem in the three Project Sites
* Gap analysis report on existing policies and regulations for RBM, and RBM capacity and implementation and management and planning skills needed in the three project Sites
* Report of Baseline study on poaching and wildlife trade in Sulawesi
* Mapping identification of potential PA buffer zone, its existing land use and PA boundary condition of the three Project Sites including options for biodiversity-based Park boundary
* Capacity development strategies and action plan for KSDAE, LLNP, BNNP, and North Sulawesi BKSDA
* Report of Design the course outline, methodology, resource persons and materials for need trainings as in action plan above
* Socio-economic study of villages with existing Community Conservation Areas (CCAs) and potential ones in buffer zone of the three Project Sites
* Strategic Action Plan for strengthen management effectiveness and threat reduction for KSDAE, LLNP, BNNP, and North Sulawesi BKSDA
* Report of Field Technical guidelines for biodiversity monitoring
* Report of Monitoring Program with innovative /appropriate technology for key species of the three Sites, including methodology, suitable monitoring tools (e.g. camera trap, chips,rings), usage, analysis and reporting as well as estimated expenditure.
* Comprehensive report on ecosystem valuation of the Sulawesi PA system with more detailed analysis of the three project sites and extrapolating the results to value the entire system (including Inputs for BAPPENAS on the financing Sulawesi PA system management)
* Report of monitoring Programme establishment, on the job-training for the PA Technical Officers on usage, data analysis, and reporting
* Inputs/specification for the Design of a IT- based biodiversity management platform at Sulawesi Island level
* Comparative study of intelligence-based surveillance unit models and proposed model for Sulawesi Island and establishment planning
* Operational guidelines for RBM implementation, including RBM structure , functional position level and organization line, standard Resort facilities and equipment, standard competency for each job description, monitoring and evaluation criteria for HR development and incentives for innovative ideas
* Guideline for PA co-management and community engagement, including Buffer zone co-management structure and mechanisms at institutional level and community level and community engagement building
* Strategic Action Plan for CCA development in the three Project Sites
* Strategic action plan for strengthening collaborative management
* Design of spatial planning/alignment based on biodiversity importance, ecosystem and wildlife threat status, biogeographical representative of Sulawesi PA System, carbon sequestration potential and current land use.
* Action plan to designate buffer zone area with supporting policies and regulations from local government to biodiversity mainstreaming into spatial planning process in three Project Sites
* Integrated land use planning model designed for PA boundary maintenance and alignment of buffer zone land use in the context of biodiversity and ecosystem service considerations in the three Project sites including option for marine extension in Greater Tangkoko Complex Area
* Terrestrial PA system consolidation plan and action plan for the entire Sulawesi terrestrial PA system based on spatial planning/alignment designed with mainstreaming of biodiversity importance & bio-geographical representatives of Sulawesi PA system, climate change adaptation, and connectivity
* Selamatkan YAKI infographic
* BAPPENAS Sustainable financing presentation
* Summary – Supported Sting Operations in Sulawesi

# Annex IX: Follow Up Status of WCS Deliverable

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| **Deliverable #** | **Key Recommendation** | **Complete** | **In progress** | **Not acted upon** | **Remarks** |
| **AR1** 1 Baseline data for Forest cover of the three Project Sites updated, including forest cover, threat index, EHI, active encroachment, | Ground-truthing locations of forest loss in 2016 to verify the accuracy of model predictions. |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| Dissemination of assessment results to NP managers |  | X |  | EPASS team in each UPT conducted a workshop to update the results of the Threat Index and EHI. |
| **AR3.2** 2 Prepare ToR for restoration of fragmented and degraded ecosystem in the three Project Sites | Conduct in-depth analysis of structure, composition, distribution of flora and fauna, and the socio-economic context in each UPT to formulate the most applicable ecosystem restoration plan which in line with the Government Regulation No. P48/2011. |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| Set up ecosystem restoration working group, consists of NP managers, local communities and NGOs, to develop roadmap for ecosystem restoration in each UPT. |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| **AR1.1**. 3 Gap analysis report on existing policies and regulations for RBM, and RBM capacity and implementation and management and planning skills needed in the three project Sites | Adoption of SMART RBM in each UPT |  | X |  | EPASS has provided support for RBM implementation in BNWNP, while WCS has independently supported the implementation of SMART patrols, including setting up 3 ranger teams. |
| **AR1.3** 4 Report of Baseline study on poaching and wildlife trade in Sulawesi | Set up regular market monitoring |  | X |  | WCS is now independently doing this across North Sulawesi-Gorontalo provinces (which would cover 2 of the EPASS sites; Not sure about Lore LIndu. More than 5 sting operations were carried out from 2017-2018., with WCS assistance. |
| **AR3.1** 5 Mapping identification of potential PA buffer zone, its existing land use and PA boundary condition of the three Project Sites including options for biodiversity-based Park boundary | None made or required | - | - | - | n/a |
| **AR1** 6 Capacity development strategies and action plan for KSDAE, LLNP, BNNP, and North Sulawesi BKSDA | None made or required | - | - | - | n/a |
| **AR1** 7 Design the course outline, methodology, resource persons and materials for need trainings as in action plan above | None made or required | - | - | - | n/a |
| **AR3.3** 8 Socio-economic study of villages with existing Community Conservation Areas (CCAs) and potential ones in buffer zone of the three Project Sites | CCA selections should be based on specific criteria, including socio-economic context in each village. |  |  |  | When WCS wrote this report, EPASS had already selected most of the CCAs in each landscape. We are not aware of further CCAs having been selected and, if so, on what basis. |
| **AR3** 9. Strategic Action Plan for strengthen management effectiveness and threat reduction for KSDAE, LLNP, BNNP, and North Sulawesi BKSDA | None made or required | - | - | - | n/a |
| **AR1.2**10 Field Technical guidelines for biodiversity monitoring | None made or required | - | - | - | n/a |
| **AR1.2**11 Monitoring Program with innovative /appropriate technology for key species of the three Sites, including methodology, suitable monitoring tools (e.g. camera trap, chips,rings), usage, analysis and reporting as well as estimated expenditure. | None made or required | - | - | - | n/a |
| **AR2.1**12 Comprehensive report on ecosystem valuation of the Sulawesi PA system with more detailed analysis of the three project sites and extrapolating the results to value the entire system (including Inputs for BAPPENAS on the financing Sulawesi PA system management) | Valuation results to be integrated into the broader PA management planning, particularly to help identify needs, niches and opportunities to use economic and financial tools to improve conservation. |  | X |  | According to the project document, results from the assessment should feed into the work in EPASSs Component 2 which includes identifying opportunities to use economic and financial instruments to incentivize conservation. BAPPENAS is currently working on this. |
| **AR1.2**13 Lead the monitoring Programme establishment, on the job-training for the PA Technical Officers on usage, data analysis, and reporting | Conduct advanced training after biodiversity survey implementation | X |  |  | WCS provided this training for the 3 UPT through the EPASS project |
| **AR1.2**14 Provide inputs/specification for the Design of a IT- based biodiversity management platform at Sulawesi Island level (by EPASS MIS Officer) | None made or required | - | - | - | n/a |
| **AR1.3**15 Comparative study of intelligence-based surveillance unit models and proposed model for Sulawesi Island and establishment planning | Set up a wildlife crime unit for the 3 landscapes |  | X |  | WCS has now independently done this for Bogani Nani and Tangkoko. The WCS Wildlife Crimes Unit was set up covering North Sulawesi, Gorontalo, including Tangkoko, Bogani Nani Wartabone, and Sangihe. Lore Lindu landscape will be covered in the future with additional field staffs and resources. 9 informants were hired to cover terrestrial species trade, while at least 5 informants were hired to address marine species trade and bushmeat. |
| **AR1.1** 16 Operational guidelines for RBM implementation, including RBM structure , functional position level and organization line, standard Resort facilities and equipment, standard competency for each job description, monitoring and evaluation criteria for HR development and incentives for innovative ideas | None made or required | - | - | - |  |
| **AR1** 17 Guideline for PA co-management and community engagement, including Buffer zone co-management structure and mechanisms at institutional level and community level and community engagement building | None made or required | - | - | - |  |
| **AR3.3**18 Strategic Action Plan for CCA development in the three Project Sites | Develop a set of indicators to measure success of the CCAs |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| Conduct assesment on training needs for CCA/community members |  | X |  | A series of training have been conducted in each landscape for community members/target CCA. |
| **AR3.3**19 Strategic action plan for strengthening collaborative management | Identify areas where PA management overlaps with district/provincial government’s priorities |  | X |  | WCS is not aware of any updates with regards to this. However, WCS has since been independently working with the Bolaang Mongondow Selatan district government to support the management of the buffer zone in BNWNP. |
| **AR1.4** 20 Design of spatial planning/alignment based on biodiversity importance, ecosystem and wildlife threat status, biogeographical representative of Sulawesi PA System, carbon sequestration potential and current land use. | None made or required | - | - | - | n/a |
| **AR3.3** 21 Action plan to designate buffer zone area with supporting policies and regulations from local government to biodiversity mainstreaming into spatial planning process in three Project Sites | Collaborative management of buffer zone needs to be legislated through MoU/Decision Letter or Governor/ Head of District’s regulation. |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| Document customary laws or local wisdom that belongs to ethnic groups or communities around the protected area especially related to conservation and natural resource management |  | X |  | Lore Lindu has been doing this, but we are not aware of any follow up action with regards to this in Bogani and Tangkoko. |
| **AR3.1** 22 Integrated land use planning model designed for PA boundary maintenance and alignment of buffer zone land use in the context of biodiversity and ecosystem service considerations in the three Project sites including option for marine extension in Greater Tangkoko Complex Area | Pursue integrated land management option in the northern and southern part of Tangkoko FMU |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| Establish corridor connecting Tangkoko FMU and other forests outside of the PA. |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| Establish a corridor connecting the Maleo habitat inside BNWNP to beach nesting grounds located south of BNWNP |  | X |  | WCS is doing this independently in BNWNP |
| Establish Ecosystem Essential that serves as wildlife corridor connecting THR Sulteng in the North (11km from LLNP), Pamona NR in the southeast (17.5 km), and Gandang Dewata NP in the Southwest (22 km). |  |  | X | WCS is not aware of any updates/follow up action with regards to this recommendation. |
| **AR1.4** 23 Terrestrial PA system consolidation plan and action plan for the entire Sulawesi terrestrial PA system based on spatial planning/alignment designed with mainstreaming of biodiversity importance & bio-geographical representatives of Sulawesi PA system, climate change adaptation, and connectivity | Update biodiversity data in priority areas in Sulawesi. |  | X |  | BNWNP supported by EPASS and WCS has been updating biodiversity data inside the NP. We are not aware of parallel actions in Tangkoko or Lore Lindu. |
| Update socio-economic data for communities adjacent to Pas to support consolidations options |  | X |  | BNWNP supported by EPASS is beginning to update the socio-economic data for adjacent communities. |

# ANNEX X: Proposal from WCS on Continued support for priority actions for sustainable outcomes in the three EPASS sites

I. Summary

Since July 2016, WCS has been providing expert technical assistance to the UNDP/GEF-funded project entitled ‘Enhancing the Protected Area System in Sulawesi for Biodiversity Conservation’ (EPASS), with the Ministry of Environment and Forestry (MoEF) as the Executing Agency. The EPASS Project Development Goal is ‘Effectively managed system of protected areas that is well integrated into its surrounding landscape contributing to sustainable, inclusive and equitable development in Sulawesi”. The three EPASS priority sites are Bogani Nani Wartabone National Park (BNWNP), Lore Lindu National Park (LLNP) and Tangkoko Conservation Forest Management Unit (KPHK Tangkoko), as well as their buffer zone areas. To support this project, WCS has conducted a series of stakeholder consultations and desk-based studies to produce 23 Deliverables that cover all aspects of conservation area management in the EPASS sites and the whole of Sulawesi. From this, WCS recommends five interrelated approaches to enable EPASS to fulfil its project development goal and meet the targets set in the Project Results and Resource Framework. These approaches focus on: i) collaborative buffer zone management; ii) protected area management strengthening; iii) enhanced science-based species monitoring systems; iv) multi-agency response to counter wildlife trafficking; and, v) protected area financial sustainability.

EPASS is currently developing 45 Community Conservation Agreements (CCAs) and from 2018 onwards will support livelihood initiatives through field extension work and a micro-grant scheme. This should form part of buffer zone management approach that secures the protected area borders through reducing dependency on its natural resources. BAPPENAS is leading on the development of sustainable financing mechanisms for the three project protected areas. To complement these efforts, WCS is proposing to address the other identified priority needs through: i) strengthening protected area management through site protection that operationalises the SMART-RBM systems; ii) establish enhanced monitoring systems (for biodiversity, forest and management effectiveness); iii) greatly build the capacity of the Technical Implementation Units (*Unit Pelaksana Teknis*, UPT); and, iv) setting up an integrated government-civil society approach to effectively counter wildlife trafficking.

II. Continued WCS support to EPASS from 2018-2020

Over the past 12 months, WCS engagement with the EPASS Project Management Unit and three UPT Heads has resulted in several requests for WCS to provide technical support in several key areas. Based on this, we have designed a 2018-2020 work plan and budget to fully support these requests. The work plan is designed to make significant contributions towards achieving 10 of the 15 key performance indicators in the ‘Project Results and Resource Framework’ and also the MoEF targets for monitoring its priority species and developing action plans for these species.

SMART-RBM

* Outputs: 3 SMART-RBM systems established and fully operated by the UPT.

In July 2016, the MoEF set up a national level Task Force to oversee the operationalisation of SMART-RBM across Indonesia’s conservation area network. In support of this, WCS has set up fully functioning systems in Bukit Barisan Selatan NP, Gunung Leuser NP, Way Kambas NP and Singkil Wildlife Reserve (with BKSDA-Aceh). For this, resort-based ranger teams have been established and trained to conduct monthly patrols to address poaching and illegal logging. The data are entered in a conservation area database and managed by UPT Data Operators who have been trained by WCS. The data are processed, analysed and the results presented to senior UPT staff, again trained by WCS, who then decide upon the strategic locations for the next patrols, based on past ranger effort and associated threat patterns. To follow up on site protection recommendations in Deliverables 3, 7 and 9, WCS is planning to support the creation of Sulawesi’s first SMART-RBM system in BNWNP. For this, WCS supported a 10 day study exchange for 10 BNWNP staff to visit BBSNP, as a model conservation area. Based on this, BNWNP is now ready to develop its own system and, in fact, the new national park head has just transferred from BBSNP, which provides an even better opportunity. For LLNP, the WCS SMART technicians provided a 5 day training course for 45 staff in March 2017, under EPASS, which shows a high level of interest.

For EPASS, WCS is proposing to establish SMART-RBM systems in BNWNP, LLNP and KPHK Tangkoko. It will provide technical assistance in setting up the SMART data models and run thematic training workshops with *Pusdiklat* to build the knowledge and understanding of the different UPT management layers, including senior managers, data operators and forest rangers. WCS will then supervise implementation of the system and provide additional support as needed, including the development of a sustainability strategy. This assistance is predicted to improve institutional capacity scores for the UPT, progress implementation of RBM, improve anti-poaching efforts and, consequently reduce deforestation and other threat indices at the EPASS sites, all of which are key project indictors.

Biodiversity monitoring

* Output: Camera trap surveys and key species baseline/trend estimates for priority MoEF species completed for the 3 EPASS sites.

WCS-EPASS developed a set of high-quality biodiversity monitoring guidelines (Del. 10 and 11) and provided accompanying training for the UPT from the three EPASS sites (Del. 13). WCS then completed the first comprehensive camera trapping campaigns for BNWNP in 2016 and KPHK Tangoko in 2017. LLNP has requested WCS assistance in conducting the first camera trapping campaign to set species population baselines, and it is recommended that repeat surveys be conducted in BNWNP and KPHK Tangkoko to determine species population trends.

To support the EPASS target of establishing an operational island-wide biodiversity monitoring system, WCS is proposing to provide on-the-job training, followed by technical support in implementing a robust camera trap-based survey in LLNP. At the same time, WCS will support the EPASS FCU to conduct repeat camera trap surveys in BNWNP and KPHK Tangkoko. In combination, this will represent the most comprehensive multi-species survey ever conducted for Sulawesi’s rich biodiversity and will be a major conservation milestone. These studies will provide detailed data on five MoEF priority species: black-crested macaque; maleo; babirusa; lowland anoa; and, montane anoa, plus the Sulawesi civet, and make significant contributions to the formulation of their respective species Action Plans. The combined biodiversity data will be published in an MoEF best practice book, with supporting press releases and dissemination.

Management Effectiveness Tracking Tool (METT) assessment

* Outputs: 3 METT assessments conducted and action plans completed.

The MoEF has set a management effectiveness score target of 70 points for all conservation areas to achieve by 2019. Previously, WCS supported the 2016 national METT training and assessments in Bukit Barisan Selatan NP, Gunung Leuser NP, Way Kambas NP, Singkil Wildlife Reserve and BNWNP. From this, WCS supported the development of site-specific action plans that were designed to improve the management effectiveness and therefore subsequent METT scores.

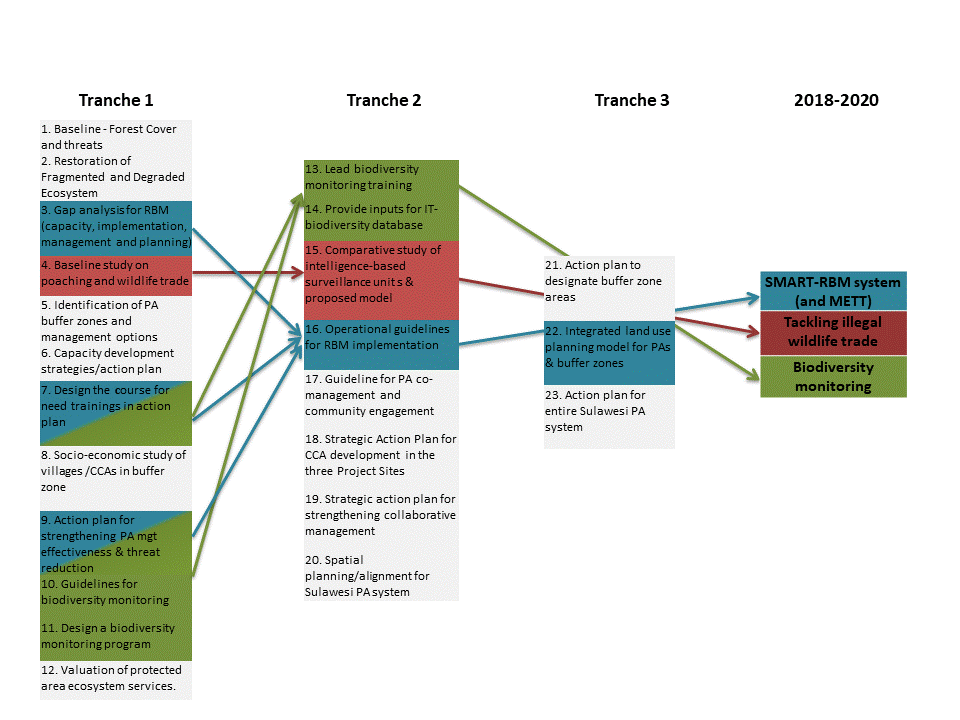
WCS is now proposing to provide technical assistance for the 2018 METT assessments in the three EPASS sites. From this, it will support the respective UPTs to conduct an analysis of their METT score trends, with interpretations of positive or negative changes. This will feed into the revisions of the site-specific action plans, which for WCS would guide the implementation of enhanced SMART-RBM, counter wildlife trafficking and biodiversity monitoring activities.

*Tackling illegal wildlife trade*

* Outputs: 3 operational informant networks; 6 agencies trained in enhanced counter wildlife trafficking techniques.

In its report on poaching and the wildlife trade in Sulawesi (Del. 4), WCS-EPASS identified the high and unsustainable levels of illegal wildlife trade that threaten the island’s numerous endemic and iconic species. The EPASS baseline states that there is very limited implementation of anti-poaching laws across Sulawesi and its associated project indicator is to establish intelligence-based surveillance units. In support of this, the WCS-EPASS comparative study of counter wildlife trafficking approaches (Del. 15) provides three recent examples from Sulawesi that highlight how a multi-agency response to investigating, apprehending and prosecuting wildlife poachers/traders can be successfully achieved, with support from the WCS Wildlife Crimes Unit.

For the three EPASS landscapes, WCS is proposing to establish well-trained local informant networks that monitors and reports incidents of illegal wildlife trade to partner agencies in an accurate and timely manner. This will involve identifying and recruiting local informants, providing on-the-job training in surveillance and reporting techniques and then managing the networks to effectively work with law enforcement agency partners. WCS will provide technical assistance to strengthen the capacity of criminal justice sector authorities and law enforcement agencies to more effectively arrest and prosecute traffickers. This will involve providing training in the EPASS landscapes and along the major provincial trafficking routes. The subsequent criminal investigations will be handled by the government agencies, but WCS will support improved inter-agency cooperation and new government-civil society partnerships.

IV. Flow of deliverables to achieving sustainable outcomes for the three EPASS priority sites

WCS contribution to achieving the EPASS Project Results and Resource Framework

The proposed WCS work plan for 2018-2020 is designed to make significant contributions towards achieving 10 of the 15 key performance indicators.

**PART III: Project Results and Resource Framework (RRF)**

**Project’s Development Goal:** Effectively managed system of protected areas that is well integrated into its surrounding landscape contributing to sustainable, inclusive and equitable development in Sulawesi.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Objective/ Outcome** | **Indicator** | **Baseline** | **Annual Project target** | **WCS support (2018-2020) to achieving EPASS target** |
| **Objective:**  To strengthen  the effectiveness and financial sustainability of Sulawesi’s protected area system to respond to threats to globally significant biodiversity | Institutional capacity scores\*for:  - PHKA (Jakarta)  - LLNP  - Bogani Nani NP  - North Sulawesi  BKSDA  \*Based on UNDP Capacity Scorecard (See annex 5) | - PHKA (Jakarta): 66%  - LLNP: 43%  - Bogani Nani NP: 42%  - North Sulawesi  BKSDA: 40% | **2015**: Capacity development strategies and action plan drafted.  **2016:** Capacity development strategies and action plan developed; commenced for implementation.  **2017**: RPTNs (National Park  Management Plan) updated.  **2018**: Capacity score for PHKA  :70%, LLNP :50%, Bogani Nani NP  :50% and North Sulawesi  BKSDA: 50%.  **2019**: Draft local government regulation on buffer zone.  **2020**: Capacity score for PHKA (Jakarta): 75%, LLNP: 55%, Bogani Nani NP: 55% and North Sulawesi BKSDA: 55%; | WCS capacity building support through trainings in SMART-RBM and species monitoring increases capacity scores by at least 12% for the 3 EPASS sites. **75% of target achieved.** |
| Annual levels of forest degradation within Sulawesi’s terrestrial PAs | Approximately 56,505 ha of forest loss within PAs from 2000-2008 or  7,603 ha/year | **2015**: -  **2016:** Developed baseline forest cover  in Project demonstration sites.  **2017**: Annual forest degradation at project sites reduced by 5% from |  |
|  |  |  | the baseline.  **2018:** Annual forest degradation at project sites reduced by 10% from the baseline.  **2019**: Annual forest degradation at project sites reduced by 15% from the baseline.  **2020**: 25% reduction in annual deforestation within PAs and buffer zones in the project sites combined between baseline years (2000-2010) and last three years of project (2016-  2019). | SMART-RBM patrolling and counter wildlife trafficking activities are aimed to reduce illegal threats such as encroachment, illegal logging and poaching. Predicted reduction is 15-20%/site. **>90% of target achieved** |
| 1. Enhanced systemic and institutional capacity for planning and management of Sulawesi PA system | Extent of implementation of RBM (Resort-based Management) | RBM has begun to be implemented at all NPs but remains incomplete throughout | **2015**: Gap analysis report on existing policies & RBM operational guidelines drafted.  **2016**: Developed operational guidelines for RBM implementation;  **2017**: (i) Guidelines for Community engagement & Co-Management developed and (ii) related trainings conducted;  **2018**: at least 25% of resorts in all project sites achieved at least one stage above baseline;  **2019**: Incentive mechanism for resort | Development of SMART-RBM systems in 3 EPASS sites should result in greatly improved scores. **100% of target achieved.** |
|  |  |  | level innovation established;  **2020:** Using PHKA RBM scoring system (para 60), at least 50% of resorts in the project sites achieved one stage level above the baseline. |  |
| Effectiveness of anti- poaching efforts | Very limited implementation of anti- poaching laws across Sulawesi | **2015:** -  **2016**: (i) a small unit of intelligence based poaching & wildlife trade surveillance established and equipped; (ii) mechanism for monitoring, analysing and reporting developed.  **2017**: The Unit was fully operational at least within Project sites and buffer zones**.**  **2018:** Reporting system on wildlife trade & consumption was in place at project sites & buffer zones.  **2019:** Initial replication of the intelligence based poaching & wildlife trade surveillance unit to other PAs in Sulawesi.  **2020:** Intelligence-based anti- poaching has become a well-known feature of PA management, affecting incentives in measurable ways (surveys). | Counter wildlife trafficking systems, including local informant networks, multi-agency partnerships and enhanced SMART patrols are established in 3 EPASS landscapes, extent beyond the target sites (including provincial capitals and seaports) and significantly disrupting the illegal wildlife trade. **100% of target achieved.** |
|  | Operational island-wide biodiversity monitoring system | No integrated monitoring | **2015: -**  **2016:** : Technical guidelines for biodiversity, key species and habitat condition monitoring updated & disseminated to all Sulawesi PAs system.  **2017**: Platform for monitoring, reporting & knowledge sharing of the Sulawesi Biodiversity developed at provincial level.  **2018**: Fully utilized the platform for island-based biodiversity monitoring, planning and budgeting.  **2019**: Publication of Sulawesi biodiversity & best practices of PA management disseminated in various forms of media & discussed/reviewed at national and sub-national level.  **2020**: Users across Sulawesi, Indonesia and beyond are able to upload to and access historic data on biodiversity and protected areas, generated by multiple sources, using a platform created by the project. | SMART-RBM data models, used to store biodiversity data, are established in the 3 EPASS sites. SMART-Connect feature beings together data bases that feed into a *KSDAE-KK* central SMART data base. **100% of target achieved.** |
| Representation of lowland forest (key under-represented forest ecosystem types in Sulawesi’s PA system) | 131,000 ha, or 4.2% of total remaining habitat type | **2015: -**  **2016**: Spatial planning arrangement  for Sulawesi PA system designed based on biodiversity importance &  bio-geographical representatives of |  |
|  |  |  | the PA system.  **2017**: PA System Consolidation Plan and Action plan for expansion and realignment of Sulawesi PA System be vetted by relevant districts and provinces planning authorities to be eventually integrated into their spatial planning.  **2018**: Implementation of the Action plan at island level in coordination with relevant directorates within the Ministry of Forestry including gazetting preparation process of new National Park (Ganda Dewata).  .  **2019**: Policy recommendation & exit strategy to sustain the plan  implementation adopted by relevant  authorities.  **2020**: Representation of low land forest increased to 210,000 ha, or  6.7% of remaining habitat type  (representing a 60% increase in coverage). | Not addressed by WCS. |
| 2. Financial sustainability  of the Sulawesi  PA system | Financial sustainability score (%) for the sub- system of Sulawesi’s protected areas:  - Component 1 – Legal, regulatory and | Financial sustainability score (see Annex 6 - Tracking Tool, incl. METTs and Financial Sustainability Scorecard)  34 % | **2015**: -  **2016**: Economic valuation of Sulawesi PA system reviewed particularly for three project sites.  **2017**: Communication strategy to |  |
|  | institutional frameworks  - Component 2 – Business planning and tools for cost-  effective management  - Component 3 – Tools for revenue generation | 35 %  28 % | increase public awareness on the importance of biodiversity & ecosystem services provision developed. Key target groups: decision makers, local government official and local and indigenous community.  **2018**: Increased financial sustainability score for component 1 (40%), component 2 (40%) and component 3 (35%)  **2019:** Increased financial investment in the Sulawesi PA system. Quantitative target will be discussed during the Inception Workshop.  **2020**: Increased financial sustainability score for component 1 (50%), component 2 (50%) and component 3 (50%). | Not addressed by WCS. |
| Annual budget allocated to protected areas | Estimated $12.3 million allocated annually. | **2015: -**  **2016**: Sulawesi PA system financing plan and strategies developed including proposals for broader policy reform supporting revenue generation and retention, institution arrangement, tool for cost effective management and others.  **2017**: Business plan of the Sulawesi  PA developed through participatory |  |
|  |  |  | approach involving communities, private sector, NGOs and related government agencies.  **2018**: At least one pilot financing projects operating in each project site.  **2019**: Best practiced of the business plan implementation documented for replication.  **2020:** Annual budget allocation to the PA system increased 25% equivalent to approx. $15 million. | Not addressed by WCS. |
|  | Sustainable financing mechanisms for PAs | Government budgetary allocations / funding only | **2015**: -  **2016**: Study on potential financing mechanism for Sulawesi PA management.  **2017**: An enabling policy/legal environment developed through technical meetings, consultation and consensus building at local and national level  **2018**: Design, negotiation, formalization and operationalization of mechanism implemented.  **2019**: National mechanism of the PA system financing socialized to relevant stakeholders. |  |
|  |  |  | **2020**: At least two new sustainable financing mechanisms for PA management developed, which can provide a minimum of US$ 3 million per year for PA management. |  |
| 3. Threat reduction and collaborative governance in the target PAs and buffer zones | METT scores for demonstration sites | LLNP - 61  BNWNP - 64  Tangkoko Batuangas NR  - 55 | **2015: -**  **2016**: Action plan for strengthening management effectiveness of the Sulawesi PA system developed.  **2017**: Participatory Biodiversity-based boundaries realigning at project sites and buffer zone designation developed.  **2018**: Increased METT scores for LLNP – 65, BNWNP – 67, TBNR Complex - 60  **2019**: Collaborative management in the targeted PAs and buffer zone integrated in Sulawesi PA system action plan.  **2020**: Increased METT Score for  LLNP – 70,  BNWNP – 70, and Tangkoko  Batuangas NR – 70 | WCS technical assistance provided to the 2019 METT assessments in 3 EPASS sites. Establishment of operational SMART-RBM system, camera trap-based species monitoring and counter wildlife trafficking in the 3 EPASS sites should improve METT scores by 10-15 points, thereby meeting or exceeding the target score of 70. **100% of target achieved.** |
| Threat indices at project demonstration sites | LLNP – 23  BNWNP – 28  Tangkoko Batuangas NR-31  – 0.31 | **2015: -**  **2016:** Updated threats and work plan in project sites. |  |
|  |  |  | **2017:** Developed monitoring, evaluation & reporting mechanism of the PA threats, led by Surveillance Unit.  **2018:** Reduced threat indices for  LLNP – 20,  BNWNP – 25, and Tangkoko  Batuangus NR – 25  **2019:** Best practices developed and disseminated.  **2020:** Reduced threat indices for  LLNP – 0.15; BNWNP – 0.20  Tangkoko Batuangas NR – 0.20 | WCS technical assistance provided to establish operational SMART-RBM system, camera trap-based species monitoring and counter wildlife trafficking in the 3 EPASS sites should reduce the Threat Index Scores by 5-8 points, thereby meeting or exceeding the targets set. **100% of target achieved.** |
| Ecosystem health index at project demonstration sites | Lore Lindu NP - .68  Bogani Nani Wartabone  NP - .55  Tangkoko Batuangas NR  - .48 | **2015**: -  **2016**: Updated RBM guidelines including biodiversity and ecosystem health monitoring.  **2017:** Developed monitoring, evaluation & reporting mechanism to regularly update the ecosystem health.  **2018:** Increased EHI for Lore Lindu NP - 0.70, Bogani Nani Wartabone NP - 0.60, and Tangkoko Batuangas NR - 0.60  **2019:** Implemented and adopted RBM  innovation incentive mechanism; | WCS technical assistance provided to establish operational SMART-RBM system, camera trap-based species monitoring and counter wildlife trafficking in the 3 EPASS sites should improve the EHI scores by 10-13 points, thereby meeting or exceeding the targets set. **100% of target achieved.** |
|  |  |  | published project best practices.  **2020**: Increased EHI for Lore Lindu  NP - .75  Bogani Nani Wartabone NP - .75  Tangkoko Batuangas NR - .75 |  |
| Populations of selected threatened indicator species at project sites | LLNP – Mountain Anoa, Babirusa, Maleo  BNWNP – Maleo, Babirusa, mountain  Anoa  Tangkoko Batuangas NR  – Macaca nigra, Sulawesi civet, Maleo, lowland Anoa | **2015**: -  **2016**: Monitored of the existing condition of selected threatened species, threats, habitat and wildlife trade.  **2017**: Developed species management measures guidelines.  **2018**: Maintained population of key species.  **2019**: Database on key species information updated and disseminated.  **2020:** Indicator population species maintained or increasing; appropriate population structure achieved. | WCS support to camera trapping in LLNP, and repeat surveys in BNWNP and KPHK Tangkoko, plus SMART-RBM anti-poaching patrols result in population increases for target species. **100% of target achieved.** |
| Active encroachment areas in target PAs | - Encroachment levels as of 2011: LLNP 6,333 ha, BNWNP 3,436 h. Tangkoko baseline TBD. | **2015**: -  **2016**: Fragmented and degraded ecosystem restoration conducted.  **2017**: Conflict resolution to reduce forest encroachment developed. |  |
|  |  |  | **2018**: Stopped encroachment activity in target sites.  **2019**: Best practices adopted and replicated to other sites.  **2020**: Zero increase in net levels of active encroachment. | SMART-RBM patrols stop new encroachment and system replicated to other protected areas. **100% of target achieved.** |
| Existence and effectiveness of collaborative governance systems | Approximately 30  Community  Conservation Areas (CCAs) established, currently operating at varying degrees of functionality. | **2015: -**  **2016**: Existing CCAs revitalized and 5 new CCAs established.  **2017**: Education programme for local communities mobilized through mobile education units and village education centers establishment.  **2018**:  (i) At least 40 CCAs established/revitalized at all project  sites.  (ii) At least 30 CCAs above operating at an agreed baseline level of  functionality.  (iii) At least 12 CCAs above are rated  as ‘highly functional’.  **2019**: Agreements on collaborative management, for instance between PAs and communities, NGOs, parallel projects, local universities and local Government established. Micro- capital grants for small income generating/conservation schemes proposals established.  **2020**:  (i) At least 45 CCAs, including some at each project demonstration site  (ii) 70% of above CCAs are operating at an agreed baseline level of  functionality.  (iii) 35% of above CCAs are rated as  ‘highly functional’ (rating system to  be developed and applied during inception phase). | Not addressed by WCS. |

# Annex XI: Evaluation Questions

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| **Area of Assessment** | **Questions** |
| Project Description And Background | * How the project objectives align with the executing agency/implementing partners’strategies and priorities and UNDP programming priorities? * What are the problems that the project sought to address? * What in your view were the objectives, outcomes, and expected results? * What are the project implementation arrangements? (secure a short description of management arrangements, Project Team and/or management unit, Project Board, implementing partner arrangements, etc.) * Are there any significant socio-economic and environmental changes since the beginning of project implementation and any other major external contributing factors? * Who are the key partners and stakeholders involved with the project? |
| Project Design | * Which if any lessons from other relevant projects were incorporated into the project design? * To what extent did the project addresses country priorities and is country-driven? * o Is the project concept in line with national development priorities and plans of the country (or of participating countries in the case of multi-country projects)? * Is the project sustainable and viable? * Have externalities (i.e. effects of climate change, global economic crisis, change in national situation etc.) relevant to the project strategy been considered? * Have environmental and social risks, as identified through the UNDP Environmental and Social screening procedure24 and adequate mitigation and management measures been outlined in the Project Document? * Were the 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? * To what extent were relevant gender issues raised in the project design? |
| Management Arrangements | * Were any lessons from other relevant projects incorporated into the project design? * To what extent does the project address country priorities and is “country-driven”? * What external factors are or are likely to affect the project? (i.e. effects of climate change, global economic crisis, change in national situation etc.) * Were the 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? |
| Work Planning | * Were their any delays in project start-up and implementation? If so, what were the causes and have they have been solved? * Are the financial allocation and work-planning processes results-based? If not, how could we re-orient the work planning process to focus on results? * Has the log-frame been used in the project’s design and as a management tool and review any changes made to it since the project start? |
| Monitoring and Evaluation | * Was the M&E plan sufficiently budgeted and funded during project preparation and implementation thus far? * Do the monitoring tools provide the necessary information? * To what extent is the Project Team is using an inclusive, innovative, and participatory monitoring system? * To what extent were follow-up actions, and/or adaptive management decisions taken in response to the PIRs? |
| Sustainability  Financial Risks To Sustainability | * What is the likelihood financial and economic resources will be available once the GEF assistance ends? * What opportunities for financial sustainability exist? * What additional factors are needed to create an enabling environment for continued financing? * Has there been the establishment of financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (i.e. from the public and private sectors, income generating activities, and market transformations to promote the project’s objectives)? |
| Sustainability  Socio-Economic 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? |
| Sustainability  Institutional Framework and Governance Risk to Sustainability | * Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize project benefits? * Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project’s closure? * Has the project achieved stakeholders’ (including government stakeholders’) consensus regarding courses of action on project activities after the project’s closure date? * Does the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership)? |
| Sustainability  Environmental Risk to Sustainability | * Are there environmental factors that could undermine and reverse the project’s outcomes and results, including factors that have been identified by project stakeholders? |
| Finance and Co Financing | * Were strong financial controls established that allow the project management to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and the payment of satisfactory project deliverables? * What variances have existed between planned and actual expenditures and why? * Has the project demonstrated due diligence in the management of funds, including annual audits? |
| Reporting | * How well the Project Team and partners undertaken and fulfilled GEF reporting requirements? * How have lessons derived from the adaptive management process been documented, shared with key partners, internalized by partners and incorporated into the project implementation process? |
| Communication | * Is communication with stakeholders 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 long-term * investment in the sustainability of project results? * Did the project implement appropriate outreach and public awareness campaigns? |
| General | * Are you aware of the objectives of the EPASS project and its objectives/outcomes? * Are you aware of the role that you (your group/community) are called to play under EPASS? * Are the EPASS project objectives/outcomes important to achieve and why? * Is EPASS staff keeping you (your group/community) regularly informed on what is   happening? If so, how?   * From what you know, how is the EPASS project implementation proceeding? * Are there any negative effects limiting progress? * Do you feel the project will achieve its objectives and if not, why? * How has or can this project affect your lives? * Is this EPASS project affect how your community regulate local wisdom? |

Annex XII: Evaluation Criteria

**i)Criteria used to evaluate the Project by the Final Evaluation Team**

|  |  |
| --- | --- |
| **Highly Satisfactory (HS)** | Project is expected to achieve or exceed **all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”. |
| **Satisfactory (S)** | Project is expected to achieve **most** of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings. |
| **Moderately Satisfactory (MS)** | Project is expected to achieve **most** of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major global environmental objectives or yield some of the expected global environment benefits. |
| **Moderately Unsatisfactory (MU)** | Project is expected to achieve **some** of its major global environmental objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives. |
| **Unsatisfactory (U)** | Project is expected **not** to achieve **most** of its major global environment objectives or to yield any satisfactory global environmental benefits. |
| **Highly Unsatisfactory (U)** | The project has failed to achieve, and is **not** expected to achieve, **any** of its major global environment objectives with no worthwhile benefits. |

**ii) Scale used to evaluate the sustainability of the Project**

|  |  |
| --- | --- |
| Likely (L) | There are no risks affecting this dimension of sustainability. |
| Moderately Likely (ML) | There are moderate risks that affect this dimension of sustainability. |
| Moderately Unlikely (MU) | There are significant risks that affect this dimension of sustainability. |
| Unlikely (U) | There are severe risks that affect this dimension of sustainability. |

**iii) Rating scale for outcomes and progress towards “intermediate states”**

Indicator Assessment Key: Green= Achieved Yellow= On target to be achieved Red= Not on target to be achieved

# Annex XIII: Signed UN Code of Conduct Agreement Form

**Evaluators:**

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.

|  |  |
| --- | --- |
| **Evaluation Consultant Agreement Form**  Agreement to abide by the Code of Conduct for Evaluation in the UN System  Name of Consultants: Ari Wijanarko Adipratomo – Juan Luis Larrabure  We confirm that we have received and understood and will abide by the United Nations Code of Conduct for Evaluation.  Signature: | |
| Signed in Jakarta, 1 July 2018 | Signed in Cali, on 1 July 2018 |
| **Ari W Adipratomo**  National Consultant | E:\C\Mis documentos\Mis escaneos\escanear0001.jpg  **Juan Luis Larrabure**  International Consultant |

# Annex XIV: Signed MTR Final Report Clearance Form

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| --- | --- |
| **Midterm Review Report Reviewed and Cleared By:** | |
| **Commissioning Unit** | |
| Name: | |
| Signature: | Date: |
| **UNDP-GEF Regional Technical Advisor** | |
| Name: | |
| Signature: | Date: |

1. [↑](#footnote-ref-1)