

Midterm Review Report

UNDP-GEF Project: Sixth Operational Phase of the GEF Small Grants Programme in Indonesia

GEF Project ID: 9086

UNDP Project ID: 5499

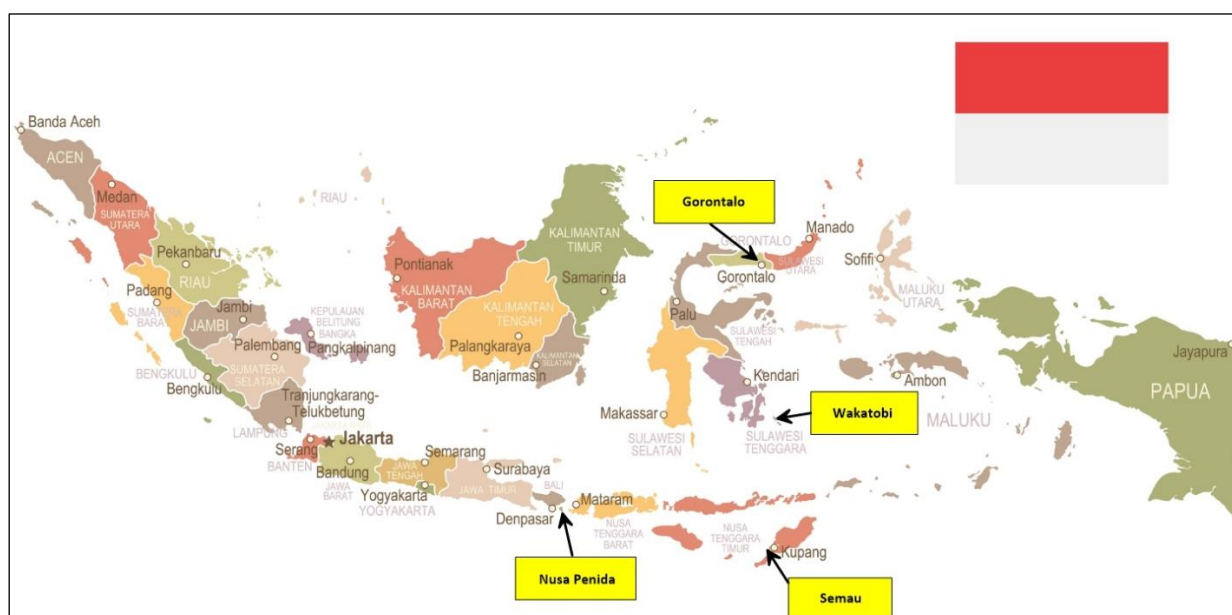
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Opening Page

PROJECT DETAILS:

Project Name:	Sixth Operational Phase of the GEF Small Grants Programme in Indonesia
Project ID:	UNDP PIMS ID: 5499 GEF Project ID: 9086
Country:	Indonesia
Region:	Asia and the Pacific
Focal Area:	Multi-focal area (GEF-6): Biodiversity, Land Degradation, Climate Change
Focal Area Objective/ Program:	BD-4: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors; Program 9: Managing the Human-Biodiversity Interface CCM-2: Demonstrate systematic impacts of mitigation options; Program 4: Promote conservation and enhancement of carbon stocks in forest, and other land-use, and support climate smart agriculture LD-2: Generate sustainable flows of ecosystem services from forests, including in drylands; Program 3: Landscape management and restoration
Funding Source:	GEF Trust Fund
Implementing Agency:	United Nations Development Programme
Implementation Modality:	NGO Implementation
Executing Agency:	Yayasan Bina Usaha Lingkungan – YBUL (SGP National Host Institution – NGO)

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Total Cost:	USD 15,402,354

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Closing Date (Planned):	10 June 2021

MIDTERM REVIEW DETAILS:

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Executive Summary

The multifocal area project is being implemented under the GEF-6 replenishment cycle through an NGO implementation modality with Yayasan Bina Usaha Lingkungan as the lead implementing partner, supported by the UNDP as the GEF implementation agency. Basic project information is summarized below in **Table 1**.

Table 1: Project information table

Project Title:	Sixth Operational Phase of the GEF Small Grants Programme in Indonesia		
UNDP Project ID (PIMS #):	5499	PIF Approval Date:	28 Apr 2015
GEF Project ID (PMIS #):	9086	CEO Endorsement Date:	25 Jan 2017
Award ID:	94635	Project Document Signature Date (date project began):	10 Jun 2017
Country(ies):	Indonesia	Date project manager hired:	SGP national coordinator hired earlier
Region:	Asia and the Pacific	Inception Workshop date:	17-18 Jul 2017
Focal Area:	Multifocal	Midterm Review date:	Oct-Dec 2017
GEF-6 Focal Area Strategic Objectives and Programs:	BD-1, Program 9 CCM-2, Program 4 LD-2, Program 3	Planned closing date:	10 Jun 2021
Trust Fund:	GEF TF	If revised, proposed closing date:	N/A
Executing Agency:	Yayasan Bina Usaha Lingkungan – YBUL (SGP National Host Institution – NGO)		
Other execution partners:	N/A		
Project Financing:	at CEO endorsement (USD)	at Midterm Review (USD)*	
[1] GEF financing (incl. PPG):	3,652,969	1,245,502	
[2] UNDP contribution:	540,000	285,000	
[3] Government:	5,298,385	1,324,596	
[4] Other partners:	5,911,000	5,880,743	
[5] Total cofinancing [2 + 3+ 4]:	11,749,385	7,490,339	
PROJECT TOTAL COSTS [1 + 5]	15,402,354	8,735,841	

Project Description

The project was designed to enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia through the generation of global environmental benefits. The project aims to enable community organizations and NGOs to develop and implement adaptive landscape/seascape management strategies that build social, economic and ecological resilience based on local sustainable development benefits.

The target landscapes and seascapes include the key forest landscape of Nantu Wild Life Reserve, Gorontalo Province and three coastal seascapes, located in Sulawesi (Wakatobi archipelagos); Bali (Nusa Penida island); and East Nusa Tenggara (Semau Island). To achieve the envisaged outcomes of these adaptive landscape/seascape management strategies, community organizations are implementing grant projects, reviewed and approved by the SGP National Steering Committee. Community-based projects are supported by multi-stakeholder agreements, involving local government, private sector, NGOs and other partners.

The 4-year project, which has an expected operational closure date of 10 June 2021, is implemented by UNDP and executed by the non-government organization Yayasan Bina Usaha Lingkungan (YBUL), under an NGO implementation modality, utilizing the existing mechanism of the GEF Small Grants Programme, e.g., approval of project activities by the National Steering Committee. The GEF project grant is USD 3,561,644 (excluding agency fee), with confirmed cofinancing of USD 11,749,385 at endorsement.

Purpose and Methodology

The objective of the MTR was to gain an independent analysis of the progress midway through the project. The MTR focused on identifying potential project design problems, assessing progress towards the achievement of the project objective, and identifying and documenting lessons learned about project design, implementation, and management.

Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The project performance was measured based on the indicators of the project results framework and relevant GEF tracking tools. The MTR was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, as well as beneficiaries of project interventions, and review of available documents and findings of the field mission.

Midterm Review Ratings

MTR ratings and a summary of achievements are presented below in **Table 2**.

Table 2: MTR ratings and achievement summary table

Measure	MTR Rating	Achievement Description
Project Strategy	Not Rated	<p>The multifocal area project was approved under the GEF-6 replenishment cycle in 2017. The project strategy adopts an integrated landscape approach, building upon experiences and lessons learned through implementation of a project in Semaui (NTT province) under the Community Development and Knowledge Management for the Satoyama Initiative (COMDEKS) Programme. Selection of the target landscapes, three coastal and one forested, seems reasonable, as many communities in the eastern regions of Indonesia are vulnerable to the expected impacts of climate change, socioeconomic development is generally lower in these areas, each of the landscapes are situated within key biodiversity areas (KBAs) and within or near national or provincial level protected areas.</p> <p>While the project concept in the Project Identification Form (PIF) included information on how the project is expected to be aligned with national plans and priorities, the project strategy outlined in the Project Document does not reflect this, e.g., there is no mention of relevant priority actions of the national biodiversity strategy and action plan (BSAP), the national action program (NAP) for combating land degradation in Indonesia. There is no mention of national programs for land rehabilitation, social forestry, climate change adaptation, etc. The Project Document does indicate that the design was aligned with the UNDP Country (Indonesia) Program Document and the UN Partnership for Development Framework. The 2016-2020 versions of these plans were developed concurrently as the project design was made.</p> <p>The two project components cover the same target landscapes; Component 1 is focused on facilitating participatory landscape planning and governance, and on strengthening social-ecological resilience through community-driven conservation interventions, implementing sustainable agricultural and seaweed mariculture, and expanding and diversifying sustainable livelihoods. The scope of Component 2 is on development of community-based integrated low-emission systems. Knowledge management and monitoring and evaluation are integrated into the two components; it might have been more appropriate to have included a third component on these two aspects.</p> <p>The achievability of some of the performance metrics in the project results framework is questionable, considering the limited time (4 years); for example, but not limited to the following: realizing 10,000 ha of community conservation areas, 5,000 ha of deforested lands planted with trees/bushes, 8,000 ha of silvopastoral systems established and installing 200 solar panels.</p>
Progress towards Results	Objective Achievement: Moderately Satisfactory	<p>The project has made good progress towards achieving the objective of enhancing and maintaining socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia. The GEF-SGP and the national coordination team (the PMU) bring a wealth of experience in facilitating community-based interventions, drawing upon a wide-ranging network of partners and building on results gained in earlier operational programs, including the COMDEKS funded initiative in Semaui.</p> <p>The challenge on this project, as well as on many GEF projects, is how to build up sufficient capacity and momentum for catalyzing and sustaining the uptake of best practices and approaches across wider landscapes and seascapes, in order to deliver sustained global environmental benefits. Stakeholder involvement is an important element in this process. Implementing the bottom up strategy on this project is consistent with the GEF-SGP mission of empowering local communities and civil society partners that have proven track records in mobilizing participatory, community-driven activities. Stakeholder engagement should be broadened, with more substantive involvement of local government, including kabupaten levels, and protected area management units, as well as the private sector.</p> <p>Certain circumstances have changed since project design and situations within the target landscapes are now better understood through the experiences gained through midterm. For instance, the project strategy associated with low-emissions systems is inconsistent with current circumstances. The targets associated with silvopastoral systems do not match traditional land management practices in the target landscapes, and the performance metrics regarding community conservation areas seem unrealistic with the time and budget constraints of the</p>

Measure	MTR Rating	Achievement Description
		project. The project has recognized some of these challenges and has started to implement adaptive management responses. Further management responses will need to be implemented and the project strategy needs to be reconciled to better correspond to the added value of the GEF funds in achieving the project objective as well as longer term conservation and socioeconomic impacts.
	Outcome 1.1: Satisfactory	One of the first substantive activity completed under Component 1 was the updated baseline assessments and development of landscape strategies. Applying the SEPLS approach, the strategies outline specific activities over the course of the 4-year project duration. The landscape strategies were approved by the National Steering Committee in February 2018. Host organizations in the four target landscapes have been able to mobilize local partners in developing proposals and obtaining grant agreements to implement the landscape strategies. Implementation of the strategies is being facilitated through multi-stakeholder governance platforms; existing platforms are being revitalized in Semaau, Gorontalo and Wakatobi; the group in Nusa Penida is planned to be established later in 2019.
	Outcome 1.2: Moderately satisfactory	The project is actively working in the target landscapes on facilitating community conservation areas, including 3 potential fish banks covering a cumulative area of 120 ha. The 10,000-ha end target is inconsistent with actual areas being considered. The project has initiated several activities on reforestation and tree planting to protect water sources in the target landscapes. The end targets do not match the scale of the work completed and under consideration.
	Outcome 1.3: Satisfactory	The project has facilitated establishment and strengthening of community-based organizations in each of the four landscapes. The capacities of some of the local partners are limited and inconsistent with the envisaged outputs outlined in the landscape strategies. It will be important to reconcile the landscape strategies in the second half of the project, better aligning with local capacities, extending the timeframes beyond project closure and in coordination with local government (kabupaten) strategies and plans.
	Outcome 1.4: Satisfactory	Interventions are focused on expanding and diversifying sustainable livelihood opportunities for local communities, protection of ecosystem services, trainings on specific skills as well as marketing and business administration, and conservation of local agricultural varieties and traditional knowledge. Field work started in mid-2018 and in some cases only at the beginning of 2019, and tangible results have already been achieved, including extensive tree planting, trainings delivered, fish bank planning, water source protection and added-value for sustainable livelihoods, e.g., equipment and techniques for organic fertilizer production.
	Outcome 2.1: Moderately Unsatisfactory	The local interventions under Component 2 are being reassessed, as some of the assumptions made in the project design, e.g., regarding the number and need for improved cook stoves and solar panels, do not match current circumstances. There have been, for example, advances in the delivery of electrified energy to the local communities in the target landscapes over the past couple of years. The project has administered grants to the UGM university to carry out pre-feasibility studies in the four landscapes, in order to formulate a more relevant and achievable strategy. One of the preliminary recommendations from these studies is to focus on productive uses of energy, e.g., solar water pumps for farmers. Renewable energy and/or energy efficient systems implemented to reduce production costs would also have carry-over benefits to local households. A rating of moderately unsatisfactory is applied because at midterm there had not yet been a decision on reorienting the strategy for Component 2.
	Outcome 2.2: Moderately Unsatisfactory	The challenge regarding achievement of Outcome 2.2 is time and budget. Nearly 40% of the GEF funds earmarked for Component 2 have been expended through midterm, and most of these costs have been for the pre-feasibility studies. A few improved cook stoves have been delivered and others are under planning in Wakatobi. The project will need to expedite the completion of the updated strategies for delivering renewable energy and energy efficient systems in the four landscapes and fast-track procurement and installation. There should be sufficient time allowed for operation with the project's lifespan, to allow for training and troubleshooting. A rating of moderately unsatisfactory is applied because at midterm there had not yet been a decision on reorienting the strategy for Component 2, and the performance metrics included in the project results framework are considered unachievable by the end of the 4-year timeframe.
Project Implementation and Adaptive Management	Satisfactory	This is the first time that an NGO implementation modality has been applied in Indonesia and it took approximately 6 months following CEO endorsement for the government of Indonesia to approve the project, through issuing a letter of acknowledgement. The project management unit (PMU) was in place at project entry, with the GEF-SGP national coordinator as project manager and the finance officer and program assistant rounding off the unit. The lead implementing partner, YBUL, has been the NGO host organization for GEF-SGP for years. The project steering committee (PSC) is the same body that has operated as the National Steering Committee for the earlier operational phases of the GEF-SGP, and, therefore, there have been

Measure	MTR Rating	Achievement Description
		<p>efficiency gains in terms of having established grant approval procedures in place. The four target landscapes are, however, not represented on the PSC. It would be advisable to consider including landscape representatives as members of the PSC or, at least, as observers. And, there has been limited focus by the PSC on the performance metrics included in the project results framework, some of which are unrealistic and inconsistent with local circumstances.</p> <p>The PMU has instituted participatory monitoring and evaluation procedures, using online forms and facilitating the process through social media applications. The project is also implementing an inclusive and proactive knowledge management approach, another organizational strength that has been developed over the 25+ years of operating the GEF-SGP in Indonesia. The project is benefitting from the extensive network of qualified organizations in the country, providing technical assistance, strategic planning, systems thinking, mentoring, monitoring and evaluation, knowledge management and production of knowledge products.</p> <p>Financial delivery has been good; delivery was essentially 100% in the first full-year, 2018, of the project implementation phase through midterm. Materialized cofinancing exceeds 50% of the confirmed amounts at CEO endorsement; however, the project is not regularly tracking cofinancing contributions, there has been limited interaction with some of the cofinancing partners, and there have been missed opportunities for collaborating with additional cofinancing partners, e.g., local governments and protected area administrations.</p> <p>One project implementation review (PIR) report has been prepared so far; this report was well written, internal ratings were reasonable and challenges were opening discussed. The two aspects of the social and environmental screening process that rendered the project a moderate risk, gender and indigenous peoples, have been addressed to varying degrees. A gender action plan was completed in 2018 and proposes specific actions at the intervention level, in line with the landscape strategies. The strategy does not effectively address gender mainstreaming for the project as whole. The project is working closely with indigenous (local) peoples in the target landscapes. It would be prudent to develop an indigenous peoples plan in response to the project risk, including a project-specific process for free, prior and informed consent (FPIC), e.g., associated with collecting, reporting and utilizing traditional knowledge.</p>
Sustainability	Moderately Likely	<p>One of the key strengths of the project is the focus on the well-being of the local communities in the target landscapes, and the landscape strategies provide practicable frameworks for strengthening the social-ecological resilience of the ecosystems that these communities are dependent upon. Engaging local partners in implementing interventions at the grassroots level enhances the likelihood that the results will be sustained after project closure. The enabling environment is also being strengthened through building capacities from the bottom up, establishing multi-stakeholder governance platforms and facilitating support in the form of technical assistance, strategic planning, marketing and business training and knowledge management. The long-standing implementation of the GEF-SGP in Indonesia further enhances the likelihood for sustainability of project results; local beneficiaries will have the opportunity to continue to benefit from the vast network of partners throughout the country.</p> <p>Each of the four target landscapes are situated within key biodiversity areas (KBAs) and in or near national or provincial protected areas; this increases the likelihood that governmental and donor support will continue. On the other hand, there are increasing threats to natural resources and ecosystem services in these landscapes, including from tourism, forestry, mining, unsustainable fishing and climate change. Strengthening social-ecological resilience on a landscape-scale is the right approach for overcoming these threats; however, broad stakeholder involvement is required. The project has had limited involvement with kabupaten (and provincial) governmental stakeholders and there has been a general lack of alignment of the landscape strategies with governmental plans and strategies.</p> <p>There are other factors that diminish the prospects of sustainability. For example, there are capacity constraints among the local partners, and it is unlikely that some of interventions initiated will be able to be sustained without further external support. Moreover, changing behavior and overcoming cultural preferences and habits take time and require sustained oversight.</p>

Project Progress Summary

The official start date of the 4-year duration project is 10 June 2017, the day when the government of Indonesia issued a letter of acknowledgement, which served as approval of the Project Document. The project inception workshop was held shortly after, in July 2017. This sixth phase of the GEF small grants program (GEF-SGP) in Indonesia is using an NGO implementation modality for the first time, and, it took a few months for project partners to agree on the manner in which the government would approve the project. The project management unit (PMU) was essentially in place at project endorsement, with the national coordinator of the SGP working as project manager, and the financial officer

and program assistant rounding out the PMU. Not having to recruit the PMU staff saved valuable time at the inception phase of the project.

One of the first activities implemented in the project was development of the landscape strategies for the four target landscapes. The process of developing the landscape strategies also included more detailed baseline assessments, building upon the information gathered during the project preparation grant (PPG) phase. One organization was selected to develop the strategies, utilizing support from local partners, which in most cases ended up being the agreed host organizations for each of the target landscapes. The landscape strategies were approved by the National Steering Committee in 2018.

Grant agreements with the host organizations in the four target landscapes have been administered. For the Wakatobi seascape, two host organizations have been selected, considering the expansive geographic area covered by the three target islands and the associated volume of work. The grant agreement with the second host organization for Wakatobi was being finalized at the time of the MTR mission in February 2019.

The first round of grant agreements with local partners in each of the four landscapes, generally covering one-year timeframes have been administered and implementation started during the second half of 2018; in some cases, implementation has only started in the first quarter of 2019. There has been measurable progress for many of the interventions being implemented by the local partners. The project has also put in place support structures, including a web-based knowledge management platform and an online system for uploading monitoring and reporting inputs, which the PMU analyses and incorporates into quarterly and annual monitoring reports.

Other technical assistance grant agreements have also been made to deliver specific support to each of the teams in the four landscapes. For instance, the UGM university is preparing pre-feasibility studies for renewable energy priorities, under Component 2 of the project. Some of the energy efficiency related interventions outlined in the Project Document were considered outdated, as circumstances have changed in some cases, e.g., some of the areas now have 24-hour supply of electricity, and the energy needs of the local communities have been made clearer through further consultations and interactions. Other technical assistance agreements have been made for supporting the local partners in refining their proposals, using systems thinking approaches. And, an agreement has been made with an organization to distill information from the project interventions into knowledge management products. One of the products already produced is a collection of stories of the project interventions written by youth from the local communities; 10 young people were selected from an impressive group of more than 200 who sent expressions of interest.

Summary of Conclusions

The project is benefitting from an experienced PMU, tried and tested small grant administration procedures and an extensive network of qualified partners. The organizational strength in engaging with local communities is demonstrated through the short time needed to mobilize field interventions, which were initiated very soon after the grant agreements were administered with the local partners.

The large number of partners involved strengthens the inclusivity of the project, enhances the capacity development dimension by reaching more organizations and promotes the potential for a higher number of partnerships. There are challenges, however, associated with working with a high number of partners, e.g., it is more difficult to manage inputs, transactional costs could be higher with many small grants compared with fewer grants and troubleshooting and mentoring requires more resources.

The project has recognized the need to provide technical assistance to the host organizations and local partners. And, several innovative approaches are being used on the project, including application of systems thinking to help prioritize resource allocation, targeting the root cause of the specific issue being addressed. The online, formed-based monitoring and reporting system the project has instituted is another innovative practice and a good adaptive response to the higher number of partners having varying degrees of capacities. And, efficiency gains have been realized through the use of social media, such as WhatsApp groups.

The landscape strategies include some broader environmental and development level objectives, but the strategies only extend through the 4-year project implementation phase. Extending the strategies across a longer timeline, consistent with a theory of change for the project, which has not yet been developed, would be advisable. And, aligning the strategies with governmental programs and plans would provide clearer guidance on potential sustainable pathways towards achieving longer-term impacts. The strategies should also adopt a more incremental approach towards achieving the intended results, recognizing the capacities of the local partners, the time required to realize behavioral or cultural change and cost constraints.

The landscape strategies are promoting bottom-up approaches and, understandably, the village level leaders are the first line of government officials engaged in the field interventions. The host organizations are also involving, to varying degrees, the next level up of governmental officials, i.e., the kabupaten level; however, it would be advisable to expand

involvement with kabupaten level sectors. The provincial level might be too high of a level for the host organizations to reasonably expect to engage with, but the PMU, with the assistance from the Ministry of Environment and Forestry, should reach out to the provincial level stakeholders, e.g., to the forest management units (FMUs) which have been recently upgraded from kabupaten to province level. The FMUs are implementing the governmental programs on social forestry and rehabilitation of degraded and deforested lands.

Although the project concept described in the PIF contains information on how the project was expected to be consistent with national priorities and programs, the project design outlined in the Project Document does not indicate how the project strategy is aligned with national priorities. This is also reflected in the limited involvement with the governmental sector to date. The MTR consultant does recognize the mission of the GEF-SGP to engage at the grassroots level; however, implementing landscape approaches require broad stakeholder involvement.

Some of the performance metrics included in the project results framework are unrealistic. For certain indicators, the end targets could be appropriate for longer-term impacts, but not for what is reasonably expected to be achieved over the 4-year duration of the project. The project targets regarding greenhouse gas (GHG) emissions avoided that were estimated in the Project Document are unlikely to be achieved, as the low-emission field interventions will most likely be considerably fewer in number than envisaged. The strategic approach for Component 2 outlined in the Project Document on low-emission development is inconsistent with current circumstances and the needs of the local communities in the target landscapes. The project has engaged the UGM university to carry out pre-feasibility studies in order to provide recommendations on specific interventions at the local level. It seems that the added value the project is best positioned to deliver in this respect is to strengthen the enabling environment for participatory, small-scale low-emission approaches that can be scaled up across the four landscapes based upon lessons learned and best practice guidelines produced from the demonstrations completed during the project implementation timeframe.

The project knowledge management approach is commendable, initiated concurrently and collaboratively with the field interventions. This is in distinct contrast to the common practice of distilling results near the end of a project, rather than integrating knowledge management into the implementation of the project.

An estimated USD 7.49 million of cofinancing has materialized through midterm, which is about 64% of the USD 11.75 million confirmed at CEO endorsement. Apart from the in-kind cofinancing from the grantee organizations, UNDP cofinancing from TRAC funds, and top-up grant cofinancing from the ICCA-GSI program, there is limited evidence of how the cofinancing from other partners is being integrated into the project implementation. And, there is no tracking of new cofinancing mobilized during project implementation.

Through 28 February 2019, a total of USD 1,245,502, or 35% of the USD 3,561,644 GEF implementation grant have been incurred. If delivery is sustained in 2019 and 2020 similar to the impressive achievements in 2018, then the project has a good chance at meeting the financial delivery objectives by the planned closure date of June 2021. Behavioral change takes time and it will be important that proactive sustainability structures are put in place and a practical exit strategy and action plan are developed during the second half of the project, to ensure the results attained catalyze sustained action along the causal pathways towards achievement of the long-term impacts.

Recommendations

The MTR recommendations outlined below in **Table 3** have been formulated with the aim of improving project effectiveness and enhancing the likelihood that project results will be sustained after GEF funding ceases.

Table 3: Recommendations table

No.	Recommendation	Responsibility
1.	<p>Ensure that project interventions and landscape strategies are aligned with governmental programs and plans, and strengthen involvement of governmental level stakeholders.</p> <p>Some examples to consider include the following:</p> <ol style="list-style-type: none"> The MTR consultant suggests that representatives from the target landscapes be included on the project steering committee as members or at least as observers; this would help facilitate improved interaction with local governmental stakeholders, possibly identify additional cofinancing opportunities and enhance the likelihood that results will be sustained. Facilitate validation of landscape strategies by kabupaten officials. Involve kabupaten level sectors, e.g., conservation, fisheries, water resources, agriculture, poverty alleviation, energy, gender, etc., onto multi-stakeholder governance platforms. Identify specific policies and strategies for the biodiversity mainstreaming objectives and follow-up with regular advocacy. Engage with provincial level forest management units (FMUs) in the government program on land rehabilitation and reforestation and the social forestry program, and advocate the strengthening of the enabling environment for implementing land degradation neutrality (LDN) approaches. Engage with local and/or provincial governmental partners in the energy sector, e.g., to explore possibilities for matching funds for local renewable energy interventions, delivering training on energy 	NSC/PSC, PMU, UNDP, governmental sector stakeholders

No.	Recommendation	Responsibility
	related issues, developing partnerships for operation and maintenance of small-scale renewable energy systems, etc.	
2.	Update the landscape strategies according to a theory of change for the project, integrating global environmental benefits generated by the project and reconciling the scope and timeframe of the strategies, according to the capacities of the local partners, time required to achieve behavioral and cultural change. A draft theory of change is included in the MTR report. The project should confirm the intermediate states envisaged in the causal pathways in achieving long-term impacts, verify the relevant impact drivers and assumptions, and reflect these aspects in updated landscape strategies.	PMU, host organizations, expert partners
3.	Update the strategic approach for responding to barriers hindering implementation of low-emission development in the target landscapes (Component 2). Based on the results of the pre-feasibility studies being carried out by the UGM university and other information gathered during the first half of the project, there is a pressing need to formulate an updated strategic approach for Component 2, secure approval by the PSC and initiate implementation, as time is of the essence.	PMU, NSC/PSC, host organizations, expert partners
4.	Reconcile certain performance metrics and integrate gender mainstreaming objectives in the project results framework. The project results framework should be adjusted according to achievable outcome level results, according to the project theory of change, reflecting the updated strategic approach to low-emission development (Component 2) and integrating the gender mainstreaming objectives. Some preliminary recommendations are included in the MTR report (see Annex 6). The GEF tracking tools should be updated according to adjustments to the project results framework; and the UNDP RTA should clear the midterm assessments of the tracking tools as part of the management response to the MTR recommendations.	PMU, UNDP RTA, host organizations, expert partners
5.	Expand and strengthen stakeholder engagement associated with the biodiversity dimension of the project. In order to fulfill the community-driven conservation objectives of the project, it is important to strengthen engagement with enabling stakeholders. Each of the four landscapes are located either within or adjacent to national or provincial protected areas. For engagement with the PA management administrations and partners who are currently supporting community initiatives in these areas, it would be advisable to invite these stakeholders onto the multi-stakeholder landscape governance platforms, participate or observe in management effectiveness assessments, participate in community ranger training programs (such as the program supported by WWF for the Wakatobi marine national park), increase engagement with the cofinancing partner RARE in establishing territorial use right for fishing reserves in Wakatobi, etc.	PMU and host organizations
6.	Articulate and implement specific risk mitigation measures in response to the two issues characterized as moderate risk in the social and environmental screening at the PPG phase, namely gender equality and women's empowerment and indigenous (local) peoples. For example, it would be advisable to expand the gender analysis and action plan for the project, articulating how gender mainstreaming is an integral dimension of the project, not only covering issues at the activity level. A recommended mitigation measure for the indigenous peoples risk is to develop and implement an indigenous (local) peoples plan, that includes project-specific free, prior and informed consent (FPIC) procedures associated with collection and use of traditional knowledge.	PMU, gender specialist, host organizations, UNDP, ICCA-GSI
7.	Develop an exit strategy and action plan for the project. Using the project theory of change as guiding framework, develop an exit strategy and action plan that identifies specific actions along the causal pathways, responsible parties and partnerships and funding opportunities.	PMU, host organizations, expert partners
8.	Extend technical assistance to local partners, supporting specific thematic areas. There are capacity shortcomings across the target landscapes on addressing certain thematic areas. It would be advisable to organize technical assistance for these areas, including but not limited to the following: sustainable water management for small island ecosystems, biodiversity mainstreaming, seaweed mariculture (for example, troubleshooting the disease and lower productivity, and also addressing the project target of establishing at least two seaweed processing centers).	PMU, host organizations, expert partners
9.	Develop a communication strategy that documents the communication and knowledge management approach implemented by the project. The project is implementing an inclusive and proactive communication and knowledge management approach, but a communication strategy has not yet been developed (one of the performance metrics in the project results framework). It would be useful to document the methods being used, identify the specific gaps in knowledge, attitudes and practices that are targeted, describe how information and knowledge is being shared, etc.	PMU, host organizations, expert partners
10.	Strengthen oversight support to the host organization in the Gorontalo landscape. The host organization in the Gorontalo landscape does not have the level of experience working with the GEF-SGP as compared to the host organizations in the other three landscapes. It would be advisable to increase oversight support in Gorontalo, ensuring that the work program is consistent with the objectives of the landscape strategy.	PMU

Abbreviations and Acronyms

Exchange Rate, IDR: USD:

At project start (10 June 2017):
13,268.8

At midterm review (28 February 2019):
14,019.2

BD	Biodiversity (GEF focal area)
BSAP	Biodiversity Strategy and Action Plan
CBD	Convention on Biological Diversity
CCM	Climate Change Mitigation
CDR	Combined Delivery Report
COMDEKS	Community Development and Knowledge Management for the Satoyama Initiative
CPD	Country Programme Document (UNDP)
CSO	Civil Society Organization
FPIC	Free, Prior and Informed Consent
GEF	Global Environment Facility
ICCA-GSI	Indigenous Peoples and Community-Conserved Territories and Areas-Global Support Initiative
IDR	Indonesian Rupiah
KBA	Key Biodiversity Area
KM	Knowledge Management
LD	Land Degradation (GEF focal area)
LDN	Land Degradation Neutrality
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MTR	Midterm Review
NAP	National Action Program
NGO	Non-governmental organization
NTFP	Non-Timber Forest Product
NTT	<i>Nusa Tenggara Timur</i> (province in Indonesia)
PIR	Project Implementation Review
PMU	Project Management Unit
PPG	(GEF) Project Preparation Grant
PSC	Project Steering Committee
RTA	(UNDP) Regional Technical Advisor
SDG	Sustainable Development Goal
SGP	Small Grants Programme
SEPLS	Socio-ecological production landscapes and seascapes
SESP	Social and Environmental Screening Process
SMART	Specific, measurable, achievable, relevant and time-bound
TNC	The Nature Conservancy
TRAC	Target for Resource Assignment from the Core (UNDP)
TURF	Territorial use right for fishing reserve
UGM	<i>Universitas Gadjah Mada</i> (university in Indonesia)
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services
UNPDF	United Nations Partnership Development Framework
USD	United States Dollar
WDPA	World Database on Protected Areas
WWF	World Wide Fund for Nature
YBUL	Yayasan Bina Usaha Lingkungan

1 Introduction

1.1 Purpose of the Review

The objective of the MTR was to gain an independent analysis of the progress mid-way through the project. The review focuses on project strategy, progress towards results, project implementation and adaptive management, and the likelihood that the envisaged global environmental benefits will be realized and whether the project results will be sustained after closure.

1.2 Scope and Methodology

The MTR was an evidence-based assessment, relying on feedback from individuals who have been involved in the design, implementation, and supervision of the project, and a review of available documents and findings made during field visits. The overall approach and methodology of the evaluation follows the guidelines outlined in the UNDP Guidance for Conducting midterm reviews of UNDP-supported, GEF-financed Projects¹.

A mission to Indonesia took place from 15-27 February 2019. The mission itinerary is compiled in **Annex 1**, and key project stakeholders interviewed for their feedback are listed in **Annex 2**.

The MTR Consultant completed a desk review of relevant sources of information, such as the Project Document, project progress reports, financial reports, and key project deliverables. A complete list of information reviewed is compiled in **Annex 3**.

As a data collection and analysis tool, an evaluation matrix (see **Annex 4**) was developed to guide the review process. Evidence gathered during the fact-finding phase of the MTR was cross-checked between as many sources as practicable, to validate the findings.

The PMU provided a self-assessment of progress towards results, using the project results framework template provided by the MTR Consultant in the MTR inception report. The project results framework was used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 5**). Suggested modifications to the results framework, based on findings of the MTR, are compiled in **Annex 6**.

Cofinancing details were provided by the PMU and cofinancing partners and are summarized in the cofinancing table compiled as **Annex 7** to the MTR report.

The MTR Consultant also reviewed the midterm GEF Tracking Tools provided by the PMU; the filled-in tracking tools are annexed in a separate file to this report.

The MTR Consultant summarized the initial findings and recommendations of the MTR at the end of the mission on 26 February 2019 in a debriefing held at the UNDP country office in Jakarta.

1.3 Structure of the Report

The MTR report was prepared in accordance with the outline specified in the UNDP-GEF MTR guideline. The report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following categories:

- Project Strategy
- Progress towards results
- Project implementation and adaptive management
- Sustainability

The report culminates with a summary of the conclusions reached and recommendations formulated to enhance implementation during the final period of the project implementation timeframe.

1.4 Rating Scales

Consistent with the UNDP-GEF MTR guidelines, certain aspects of the project are rated, applying the rating scales outlined in **Annex 8**.

¹ Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, 2014, UNDP-GEF Directorate.

Progress towards results and project implementation and adaptive management are rated according to a 6-point scale, ranging from highly unsatisfactory to highly satisfactory. Sustainability is evaluated across four risk dimensions, including financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks. According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability 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, including likely, moderately likely, moderately unlikely, and unlikely.

1.5 Ethics

The review was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the MTR Consultant has signed the Evaluation Consultant Code of Conduct Agreement form (**Annex 9**). The MTR consultant ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.6 Audit Trail

To document an "audit trail" of the evaluation process, review comments to the draft report are compiled along with responses from the MTR Consultant and documented in an annex separate from the main report. Relevant modifications to the report are incorporated into the final version of the MTR report.

1.7 Limitations

The review was carried out over the period of February-March, including preparatory activities, field mission, desk review and completion of the report, according to the guidelines outlined in the Terms of Reference (**Annex 10**).

There were no significant limitations associated with language. An independent interpreter supported the MTR consultant during the field mission, and most of the project documentation was available in English.

Field visits were made to two of the four target landscapes: Semau and Wakatobi. The MTR consultant had the opportunity to interview host organization representatives in Nusa Penida and Gorontalo via Skype.

The midterm assessment of the GEF tracking tools was provided over the course of the MTR process. The midterm tracking tools were not fully cleared by UNDP; for time efficiency purposes, the MTR consultant reviewed the available versions.

Skype interviews were held with a few stakeholders who were unavailable to meet in person during the MTR field mission. Overall, the MTR consultant concludes that the information obtained during the desk review and field mission were sufficiently representative to enable an evaluation of progress made during the first half of the project.

2 Project Description

2.1 Development Context

The project objective is closely aligned with the programming directions and underlying mission of the GEF-SGP. Since 1992, the GEF-SGP has been supporting community-driven natural resource management aimed at alleviating poverty through promotion of local, sustainable livelihoods. This is reflected in the following excerpt from the GEF-SGP mission statement: "By providing financial and technical support to projects that conserve and restore the environment while enhancing people's well-being and livelihoods, SGP demonstrates that community action can maintain the fine balance between human needs and environmental imperatives."

The interventions funded by the GEF-SGP have tended to support the poorest and most disadvantaged sectors of society, which typically are the most dependent on the ecosystem goods and services within their communities.

The project is also consistent with the strategic priorities of the United Nations Partnership for Development Framework (UNPDF 2016-2020) and the Country Programme Document (2016-2020) for UNDP Indonesia. Outcome No. 3 under the UNPDF calls for "By 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with an increased resilience to the effects of climate change, disasters and other shocks."

2.2 Problems the Project Sought to Address

As outlined in the Project Document, Indonesia is an archipelago country consisting of more than 17,000 islands, including nearly 13,500 small islands, spread across a vast geographic area divided into 34 provinces. Small islands in

Indonesia have a potential for development, due to their strategic location, their exceptional tropical ecosystems spanning ridge to reef (i.e. coral reef, seagrass, mangrove, forest, farmland) as well as their distinctive nonrenewable resources of value for key sectors such as mining, energy, tourism, etc. At the same time, small island landscapes in Indonesia are highly vulnerable to degradation of their ecosystem functions and services, which affects their resilience to climate change and other shocks and pressures.

Management of these small islands to enhance their resilience is quite complex. Currently, small islands in Indonesia are isolated, lack attention from government, have limited, basic facilities and infrastructure, are vulnerable to external threats, including climate related threats, and suffer from increasing human pressure on ecosystem function and biodiversity. Furthermore, there is a relative lack of information about these small islands, which makes development planning of these areas difficult. Development planning in Indonesia instead follows a top-down approach, where the top level of government assigns development initiatives to lower levels of government and community groups, which are expected to adapt their own development initiatives to meet the priorities of the top-level programs. Such problems are common among islands with low accessibility but rich biodiversity and natural resources across Indonesia.

Forested landscapes across Indonesia face similar problems. Major natural resource challenges include destruction of forest ecosystems through illegal logging, mining, large-scale monoculture plantation (primarily palm and sugar), and unsustainable agriculture caused by a coupling of rapid population growth and high poverty rates. The above weakness is complex, multi-faceted and varies by landscape. However, in the case of Indonesia, several typical barriers have been identified. These include the following:

- Local communities unfamiliar with potential alternative income-generating activities compatible with conservation objectives.
- Adoption of new concepts limited because many communities are isolated and have limited access to infrastructure.
- Partnership platforms for peer-to-peer training and collaboration are not well developed.
- Local and indigenous communities lack financial capacities to tolerate risks of innovating resource management practices.
- Project experiences are rarely disseminated to policy makers, other communities and programs to enable upscaling.
- Low-carbon development pathways elusive due to land-use changes.

2.3 Project Description and Strategy

Project Strategy:

The objective of the UNDP-GEF project is to maintain and enhance the socio-ecological resilience of landscapes through community-based initiatives that pursue landscape level outcomes consistent with global environmental values.

The project design is predicated on supporting NGOs and community organizations in developing and implementing landscape management strategies and implementing community projects in pursuit of strategic landscape level outcomes related to biodiversity conservation, sustainable land management, climate change mitigation and adaptation, and integrated water resources management. Grants were envisaged to be awarded to a variety of recipients, including local communities, indigenous groups, and national and local NGOs to implement specific activities, but also to academia and other institutions such as research and micro-financing institutions. Funding is available for initiatives to build the organizational capacities of specific community groups as well as landscape level organizations to plan and manage complex initiatives and test, evaluate and disseminate community-level innovations.

The project strategy is broken down into two components, with four outcomes under Component 1 and two outcomes under Component 2.

COMPONENT 1: Resilient landscapes for sustainable development and global environmental protection

Outcome 1.1: Community-based institutional governance structures and networks in place in three coastal and marine landscapes and one forested landscape (Nusa Penida, Wakatobi Islands, Semaui Island, and Gorontalo) for effective participatory decision making to achieve landscape resiliency

Outcome 1.2: Ecosystem services and biodiversity within targeted landscapes are enhanced through multi-functional production systems

Outcome 1.3: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices

Outcome 1.4: Livelihoods of communities in the target landscapes are improved by developing eco-friendly small-scale community enterprises and improving market access

COMPONENT 2: Community-based integrated low emission systems

Outcome 2.1. Multi-stakeholder partnerships in place for managing the development and implementation of community-based integrated low-emission systems

Outcome 2.2. Increased adoption (or development, demonstration and financing) of renewable and energy efficient technologies and mitigation options at community level

Target Landscapes:

The four target landscapes include three coastal and marine landscapes and one forested landscape.

Nusa Penida: Nusa Penida is one of a series of islands in the sub-district of Nusa Penida, Klungkung kabupaten, Bali. The majority of the island's inhabitants engage in subsistence farming, seaweed cultivation, and fishing. Nusa Penida is located in the southeast part of Bali. The Indian Ocean borders the island to the south, the Badung Strait to the west and north, and the Lombok Strait to the east. Klungkung kabupaten covers 315 km² of land and marine area, with two-thirds located in Nusa Penida sub-district. The island of Nusa Penida has an area of 20,284 ha.

Wakatobi Islands: Wakatobi kabupaten is located in the Wakatobi National Park area, an area that spans 1.39 million ha, of which 94% is marine. The remaining area is made up of four main islands and over 40 smaller islands, the main ones of which together form the acronym Wakatobi (Wangi-wangi, Kaledupa, Tomia, and Binongko). While the majority of Wakatobi is made up of farmers and fishermen, the island of Wangi-Wangi is home to Wanci, the district administration center, which is a commercial hub largely dependent on dive tourism.

Semau Island: Semau Island was selected as a coastal landscape target for the COMDEKS Programme in Indonesia in 2013, which is implemented through partnership with the GEF-SGP. This 265 square kilometer island is seen as representative of the characteristics of small islands isolated from the mainland, with high vulnerability to climate change impacts such as extreme weather, agriculture with limited freshwater supply and a thin soil layer dominated by karst rocks. The island is administratively situated in Kupang kabupaten, East Nusa Tenggara (NTT) Province. Semau Island directly borders the Sawu Sea in the south, west and north, and the Semau Strait, an international sea lane, to the east. Communities are predominantly subsistence-based and made up of farmers, seaweed cultivators, and fishers.

Gorontalo: Nantu-Boliyohuto Wildlife Refuge, pending approval to become a National Park, is located in Gorontalo Province and covers 51,639 ha. The refuge spans three districts: Gorontalo, Gorontalo Utara and the Boalemo, all of which contain virgin forests that are home to rare and endemic flora and fauna. At about 85% forest cover, the refuge serves as the headwaters for numerous agricultural communities downstream.

2.4 Implementation Arrangements

The project is being implemented under an NGO implementation modality, with Yayasan Bina Usaha Lingkungan – YBUL (the NGO national host institution for the GEF-SGP in Indonesia prior to the upgrading) as the implementing partner (executing agency). As the GEF Agency, UNDP ensures that the project receives technical and managerial support, as needed, from the UNDP Country Office and from the Global Coordinator of the SGP Upgrading Country Programs, as part of the global team responsible for SGP as a corporate program of the GEF. UNDP also performs the project assurance function.

The National Steering Committee acts as the project steering committee, responsible for taking appropriate management decisions to ensure that the project is implemented in line with the GEF-SGP Operational Guidelines and the agreed project design and is consistent with national and state development policies and priorities. YBUL, as national host institution, acts as the executive secretary to the project steering committee.

The Country Program Management Unit is serving as the project management unit (PMU) and is responsible for the day-to-day implementation of project activities and for the overall coordination of the project, including operational planning, supervision, administrative and financial management and the adaptive management of the project based on inputs from the project monitoring and evaluation plan and the annual Project Implementation Review (PIR). The PMU is comprised of three full-time staff, including the project manager, finance officer and project assistant.

2.5 Project Timing and Milestones

Project Milestones:

Received by GEF:

16 March 2015

Preparation Grant Approved (PIF approval date):	28 April 2015
Project Approved for Implementation:	25 January 2017
Start Date (letter of acknowledgement from government of Indonesia):	10 June 2017
Project Inception Workshop:	17-18 July 2017
Midterm Review:	February-March 2019
Closing Date (Planned):	10 June 2021

The Project Identification Form (PIF) was approved on 28 April 2015 for incorporation into the GEF Council Work Programme of June 2015, and following the project preparation phase, the project obtained approval for implementation by the GEF CEO on 25 January 2017. The official start date of the project is 10 June 2017, roughly six months following CEO endorsement. This delay was attributed to the time required for deliberations and consultations among governmental level stakeholders, as this is the first time an NGO implementation modality has been used on a GEF-financed project in Indonesia. Rather than signing the Project Document, as is customarily done for projects operated under a national implementation modality, the governmental partners decided to issue a letter of acknowledgement, which was sufficient validation as approval of the project.

With the project management unit (PMU) in place, the inception workshop was organized roughly one month afterwards, on 17-18 July 2017. The midterm review is being carried out over the period of February-March 2019, and the 48-month (4-year) duration project is slated to close on 10 June 2021.

2.6 Main Stakeholders

The main stakeholders for the project and their expected roles and responsibilities, as outlined in the stakeholder involvement plan in the Project Document, are listed below in **Table 4**.

Table 4: Stakeholders and roles

Stakeholder	Existing Roles
Nusa Penida:	
Leader of Banjar	
District Government (including associated agencies)	
Government Districts	
Central Government	
Civil Society Institutions	
Ministry of Agriculture	Play a role in facilitating the introduction of appropriate technology for overcoming the hard limestone Karst of Penida to cultivate agricultural land and crops.
Ministry of Marine Affairs and Fisheries	
Coral Triangle Center (NGO)	Collaborates with the MMAF and the Local Government in establishing a Marine Conservation Area (MCA) in the waters of Nusa Penida;
Friends of the National Park Foundation (NGO)	Supports the breeding of the Balinese Starling in Ped village, Penida
Wakatobi:	
Elected Head of District	After inauguration in June, the new Head of District will lead the government team in developing RPJMD (District Plan on Medium-term Program)
Bappeda	Bappeda develops the first draft of RPJMD
Agriculture Agency	The agency provides inputs on agricultural program in RPJMD
Marine and Fisheries Agency	The agency provides inputs on marine and fisheries program in RPJMD
WWF and TNC	These international NGOs had been working for more than a decade in Wakatobi. Both are interested in implementing sustainable natural resources management through local traditional wisdoms and the governance of traditional 'adat' regulations coordinated with local government.
Head of Villages	Submit inputs on village program after village meetings.
Respected traditional Elders	Provide inputs in village meetings and important party to be involved in developing program.

Stakeholder	Existing Roles
Farmer group	The key actor in village program
Fisher group	The key actor in village program
Women group	The key actor in village program
Village facilitator (to be recruited by the Ministry of Village, Development of Disadvantage Regions and Transmigration)	Facilitating village in developing village program
Semau:	
Elected Head of District	After inauguration in June, the new Head of District will lead the government team in developing RPJMD (District Plan on Medium-term Program)
Bappeda	Bappeda develops the first draft of RPJMD
Agriculture Extension	The agency provides technical assistance for agriculture activities
Agriculture Agency	The agency provides inputs on agricultural program in RPJMD
Marine and Fisheries Agency	The agency provides inputs on marine and fisheries program in RPJMD
PAMSIMAS	Working together with local NGO to provide the sanitation and water supply in the island
COMDEKS Consortium	It consists of PIKUL, GMI, CIS Timor and KOTAK who have been worked in Semau since 2014. These NGOs are the most potential organizations to implement future program of GEF SGP.
Head of Villages	Provide inputs on village program after village meetings.
Church	Encourage community participation in the program
Respected traditional Elders	Provide inputs in village meetings and important party to be involved in developing program.
Farmer group	The key actor in village program
Fisher group	The key actor in village program
Seaweed farmer group	The key actor in village program
Women group	The key actor in village program
Village facilitator (to be recruited by the Ministry of Village, Development of Disadvantage Regions and Transmigration)	Facilitating village in developing village program
Gorontalo:	
Yayasan Adudu Nantu Internasional (YANI)	To work with community on biodiversity conservation; community development at Saritani/Tamilo, campaign on Nantu Boliyohuto, law enforcement
JAPESDA Gorontalo	To develop social forestry approach, watershed management and agroforestry, community organization and empowerment, policy advocacy, and media campaign
KOPESDA Gorontalo	To work on community development and livelihoods, forest conservation
Forum Komunitas Hijau	To work on conservation of tree and land, sustainable agriculture, green campaign.
LSM Mutiara Hijau	Community mapping, community assistance on forest and watershed management
WIRE G	Rural women empowerment, budget analysis on women issues, economic development and environment
Agroforestry (ICRAF & CIFOR)	Agroforestry development, farmer and women group assistance, watershed research
Burung Indonesia	Ecosystem restoration and bird habitat, community empowerment.
Program Pembangunan dan Pemberdayaan Masyarakat Desa (P3MD)	National Government Program on economic development and rural infrastructure development.
Balai Konservasi Sumberdaya Alam Wilayah Konservasi II Sulawesi Utara di Gorontalo	Authority to manage the Nantu-Boliyohuto Wildlife refuge, law enforcement
Provincial Government	Policy and central government program and budget on forestry, mining and energy, agriculture and livestock, as well as environment and research. Potential for co-financing partner

Stakeholder	Existing Roles
District Government	District Government of Gorontalo and Boalemo will play a pivotal role in relation to the local community and village organizations/groups especially in the buffer zone area of Nantu Boliyohuto. Some organizations that under district government are the sub-district and village governments, Extension Agency, Village Community Empowerment Agency, and Environmental Agency, economic bureau, cooperation bureau, law bureau, and the others. Potential for cofinancing partner
Village Organization	Existing farmer and women groups are important to become stakeholder in the first step. The Head of Villages are strategic on determining the important decisions in the village
Private Company	They have associated with local community and possible to become source of cofinancing partners

3 Findings

3.1 Project Strategy

3.1.1 Project Design

The multifocal area project was approved under the GEF-6 replenishment cycle and aligned to the following biodiversity (BD), climate change mitigation (CCM) and land degradation (LD) focal area objectives and programs:

BD-4: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors; **Program 9:** Managing the Human-Biodiversity Interface.

CCM-2: Demonstrate systematic impacts of mitigation options; **Program 4:** Promote conservation and enhancement of carbon stocks in forest, and other land-use, and support climate smart agriculture.

LD-2: Generate sustainable flows of ecosystem services from forests, including in drylands; **Program 3:** Landscape management and restoration.

The project strategy was developed in accordance with the SGP global programming directions and experiences during earlier operational phases of GEF-SGP in Indonesia, including the Community Development and Knowledge Management for the Satoyama Initiative (COMDEKS) project implemented between 2013 and 2016 in Semau Island, one of the four landscapes targeted by the project. Semau Island was added into the project design after the project concept was developed, and the project design integrated the concepts and approaches of socio-ecological production landscapes and seascapes (SEPLS) into the overall project strategy.

The two project components address the cross-cutting aspects of the three focal areas; however, Component 2 is focused on the climate change mitigation dimension, having outputs on strengthening the enabling environment for low-emission development and delivering renewable energy and energy efficient systems to the local communities in the four target landscapes. Knowledge management and monitoring and evaluation are incorporated into the two components. Considering the strong emphasis of the GEF-SGP on knowledge management, it might have been advisable to have a separate component on this aspect. (lesson learned)

The project design was not particularly aligned with national plans, strategies and priorities. For example, there is no mention in the Project Document of the relevant priority actions of the national biodiversity strategy and action plan (BSAP), the national action program (NAP) for combating land degradation in Indonesia, the national climate change strategy, etc. And, there is no mention of national programs land rehabilitation, social forestry, climate change adaptation, etc. There is also no evidence in the Project Document that the design was aligned with the UNDP Country (Indonesia) Program Document or UN Partnership Development Program. The 2016-2020 versions of these plans were developed concurrently as the project design was made. (lesson learned)

The stakeholder involvement plan annexed to the Project Document provides a list of stakeholders, but a fairly incomplete and inadequate description of roles on the project. (lesson learned)

The project design does not include a theory of change. For the purposes of the midterm review, the MTR Consultant prepared a draft theory of change for consideration (see **Figure 1**).

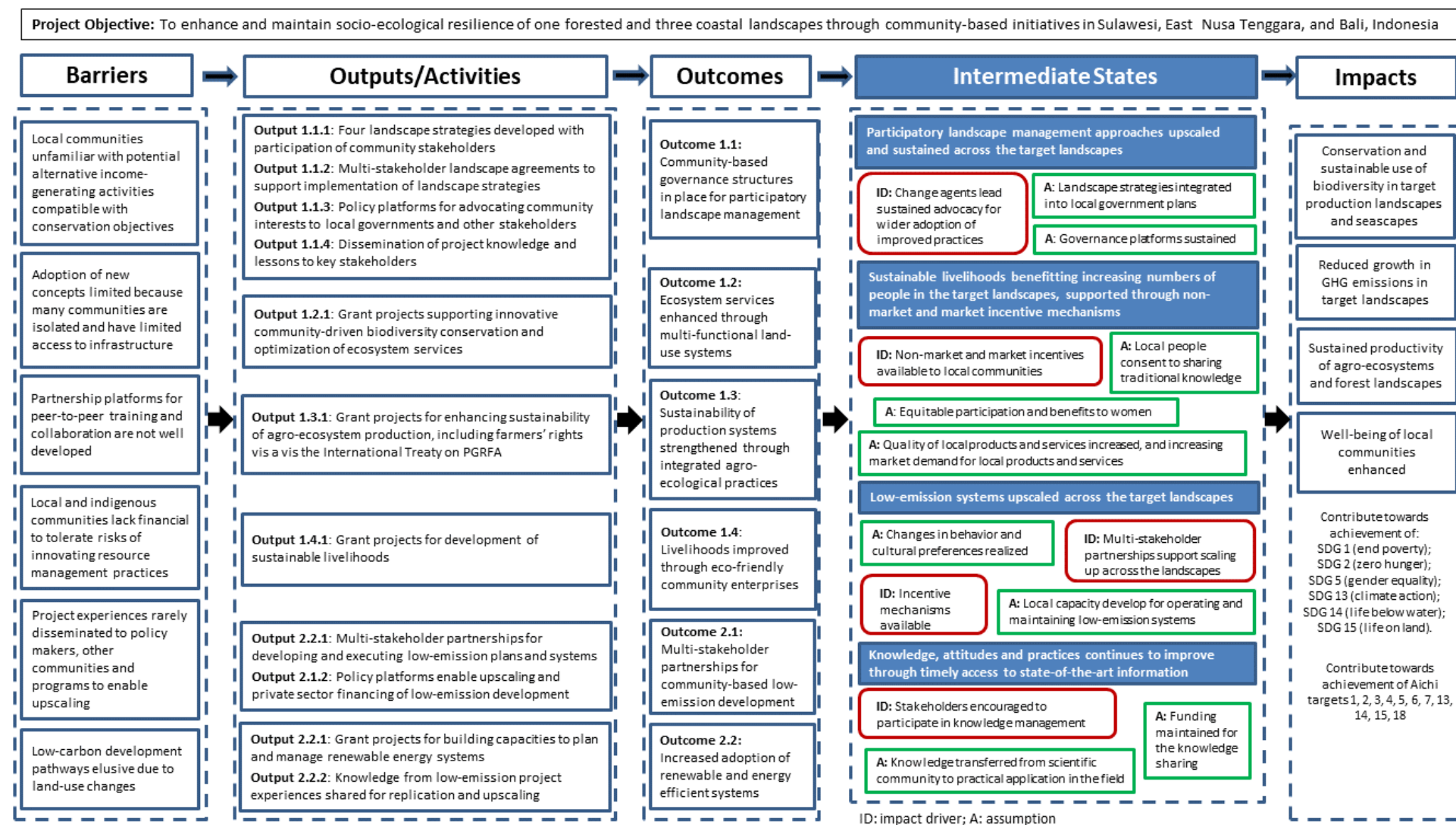


Figure 1: Draft theory of change

3.1.2 Results Framework

As part of this midterm review, the project results framework for the project was assessed against “SMART” criteria, to evaluate whether the indicators and targets were sufficiently specific, measurable, achievable, relevant, and time-bound. With respect to the time-bound criterion, all targets are assumed compliant, as they are set as end-of-project performance metrics.

Project Objective:

There are four indicators at the project objective level, as described below in **Table 5**.

Table 5: SMART analysis of project results framework (project objective)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Objective: To enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia							
A. Increased area of sustainably managed production integrating biodiversity conservation in one forested and three coastal landscapes	5,000 ha sustainably managed in the one forested and three coastal landscape	At least 47,000 ha with sustainable activities under implementation in the forested and coastal landscapes	?	?	N	Y	Y
B. Increased number of producers participating in community-based adaptive landscape planning and management in one forested and three coastal landscapes	500 producers participating in community-based landscape planning and management processes	At least 2,500 producers participating in community-based landscape planning and management	Y	Y	?	Y	Y
C. Increased number of communities, within the one forested and three coastal landscapes, participating in capacity development activities, to improve the social and financial sustainability of their organizations	500 livestock producers trained in silvopastoral systems. 25 CSO representatives participating in trainings to improve the financial and administrative sustainability their community organizations.	At least 1,000 producers trained in agro-ecological practices and systems. Up to 500 livestock producers trained in silvopastoral systems At least 300 CSO representatives participating in trainings to improve the financial and administrative sustainability of their community organizations.	?	Y	?	?	Y
D. Increased number of knowledge-sharing events and products	Not indicated	At least 12 workshops for knowledge sharing, exchange of experiences best practices, and fora in which project participants have participated	Y	Y	Y	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

Objective indicator A is a measure of the envisaged increase in sustainably managed practices in production systems in the three coastal and one forest landscapes, with the end target set at 47,000 ha having sustainable activities under implementation, up from 5,000 ha at the baseline. Considering the timeframe of the project, budget and capacity constraints and activities implemented by midterm, reaching the 47,000-ha end target seems highly unlikely. The term “sustainable activities” is not clearly defined, rendering the measurability of this metric problematic. The indicator does not capture the genuine added value of the project in this regard, e.g., strategies on maintaining and enhancing the social-ecological resilience of the target coastal and forest landscapes are agreed upon by multiple stakeholders and implementation is initiated through demonstration-scale, community-driven activities.

Objective indicator B is associated with an increase in the number of producers participating in community-based landscape planning. The baseline is 500 producers and an end target of 2,500 was established, meaning an average of 500 new producers per landscape. This seems like a fairly optimistic target.

The focus of objective indicator C is on capacity building, with end targets established for the number of producers and CSO representatives being trained. This indicator appears more appropriate at the output level, not at the project objective level (relevance is questioned). And, it is unclear if the baseline of 500 livestock producers trained in silvopastoral systems was validated; based on findings during the MTR mission, silvopastoral systems are not common among the target coastal and forest landscapes.

The relevance of objective indicator D is also questionable, with the end target measuring the number of knowledge-sharing workshops held. This seems rather an output level achievement and not particularly a measure of knowledge attained or applied.

Component 1: Resilient landscapes for sustainable development and global environmental protection

There are four outcomes under Component 1. Outcome 1.1 is focused on improved governance and expanded participation in the target coastal and forest landscapes in decision making, as outlined in the four targets described below in **Table 6**.

Table 6: SMART analysis of project results framework (Outcome 1.1)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.1: Community-based institutional governance structures and networks in place in three coastal and marine landscapes and one forested landscape (Gorontalo, Wakatobi Islands, Semaui Island and Nusa Penida Island) for effective participatory decision making to achieve resiliency							
1.1.1. Increased number of multistakeholder governance platforms established and strengthened to support participatory landscape planning and adaptive management in one forested and three coastal landscapes	No multi-stakeholder governance platforms established in the four landscapes	At least four multi-stakeholder landscape governance platforms in place and functioning	?	Y	Y	Y	Y
1.1.2. Participatory landscape strategies and adaptive management plans for the one forested and three coastal landscapes	0 strategies to enhance social and ecological resilience of the one forested and three coastal landscapes	Four landscape management strategies and plans delineating landscape level outcomes and other elements	?	Y	Y	Y	Y
1.1.3. Number and typology of community level and strategic projects developed and agreed by multi-stakeholder groups (together with eligibility criteria) as outputs to achieve landscape level outcomes	Four community-based projects identified and aligned with landscape strategies, identified and agreed by multi-stakeholder groups during the project lifetime and implemented by CBOs and NGOs in partnership with others in the four areas. Traditional systems exist but weakened due to multiple factors.	At least 16 community-based projects identified and aligned with landscape strategies	?	Y	Y	?	Y
1.1.4. Number of case studies on participatory adaptive landscape management	Not indicated	Four revitalized knowledge management systems Four case studies on participatory adaptive landscape management (one per landscape)	Y	Y	Y	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound							
Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

Indicator 1.1.1 measures the increase in the number of multi-stakeholder landscape governance platforms. It would be helpful to be more specific on what is envisaged in these governance platforms, e.g., inclusion of local government officials, and define what the term “functioning” means, i.e., only through the lifespan of the project or intended to continue following project closure.

Regarding indicator 1.1.2, it is unclear what is expected as an end target. The current versions of the landscape strategies were approved by the project steering committee, and there has been limited participation by local governments (kabupaten level) in preparing the strategies. Similarly, the end target for indicator 1.1.3 calls for at least 16 community-based projects identified and aligned with the landscape strategies. Simply identifying the projects does not seem to be an appropriate measure of achievement of this outcome. Regarding indicator 1.1.4, the end target is the number of case studies and revitalized knowledge management systems; these would be relevant output level end targets, but it is unclear how case studies and KM systems will add to local governance structures.

The three indicators under outcome 1.2 were established to measure the envisaged enhancement of ecosystem services in the target landscapes through multi-functional land use systems (see **Table 7**).

Table 7: SMART analysis of project results framework (Outcome 1.2)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.2: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems							
1.2.1. Increased area under protection for biodiversity conservation and sustainable use	Four community-based project for biodiversity conservation and sustainability used in the three coastal and marine	Approximately 10,000 hectares managed as marine and/or terrestrial community conservation areas	Y	Y	?	Y	Y

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
	landscapes and one forested landscape						
1.2.2. Increased area under reforestation or farmer managed natural regeneration	0 hectares under reforestation or farmer managed natural regeneration 0 ha planted with trees/bushes in reforestation campaigns in one forested and three coastal landscapes	At least 10,000 hectares under reforestation or farmer managed natural regeneration At least 5,000 ha planted with trees/bushes in reforestation campaigns in the forested and three coastal landscapes	Y	Y	N	Y	Y
1.2.3. Increased area of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources	At least 55 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources At least 20,000 trees planted in agroforestry systems	At least 14,000 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources. At least 100,000 trees planted in agroforestry systems. At least 8,000 hectares of silvopastoral systems established.	Y	Y	N	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

The achievability of the end target set for indicator 1.2.1 is questionable. The 10,000-ha target is considerably larger than the conservation areas being discussed during the first round of grants to local partners, e.g., a 75-ha fish bank in the Wakatobi landscape. There are partnership opportunities, e.g., with the organization RARE, which might render this target more achievable. Alternately, the phrasing of the target should be revised to reflect the reasonable result within the 4-year project timeframe.

The end targets for indicator 1.2.2 are not achievable within the time and budget constraints of the project, in the opinion of the MTR consultant. The 10,000-ha target includes reforestation or farmer managed natural regeneration; the costs associated with these two options are considerably different. Moreover, the landscape strategies do not reflect how this target might be achieved. The reforestation campaigns for the other target covering 5,000 ha would require several million trees; this is not feasible under the project time and budget constraints. Similarly, the end targets for indicator 1.2.3 are considered unachievable. The demonstration level activities being implemented at the four target landscapes cover limited land or coastal areas within broader landscapes. Again, the phrasing of some of the end targets should be revised. Establishing 8,000 ha of silvopastoral systems is unrealistic, as such systems are not common in these areas and the time required to change cultural behavior would be prohibitive within the 4-year project lifespan.

Two indicators are established under indicator 1.3 for measuring the sustainability of production systems in the target landscapes through integrated agro-ecological practices (see **Table 8**).

Table 8: SMART analysis of project results framework (Outcome 1.3)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.3: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices							
1.3.1. Number of multi-stakeholder groups active in the one forested and three coastal landscapes with strategies/plans for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No multi-stakeholder groups with a focus on landscape resilience engaged in analysis and planning of strategic approaches to upscaling successful experiences with ecotourism or commercial production of key agricultural products	At least four landscape level multi-stakeholder groups involved in analysis of experience, lessons learned and development of strategies for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	Y	Y	Y	?	Y
1.3.2. Number of community-based organizations established or strengthened in the one forested and three coastal land landscapes grouping individual community producer organizations in sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No strategy currently exists in any of the landscapes to enable and facilitate upscaling by community organizations of these economic activities based on the detailed analysis of successful SGP supported community experiences and identification of upscaling requirements and opportunities	At least 16 community-based organizations established or strengthened	Y	Y	Y	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

The end targets for the two indicators call for at least for landscape level multi-stakeholder groups involved in analyses of lessons learned (1.3.1) and establishment or strengthening of 16 community-based organizations. The relevance of the two indicators as a measure of sustainability is questionable; for example, operationalizing partnerships could be a better measure of sustainability.

Outcome 1.4 is focused on improvement of livelihoods among communities in the target landscapes through developing eco-friendly small-scale community enterprises and improving market access (see **Table 9**).

Table 9: SMART analysis of project results framework (Outcome 1.4)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.4: Livelihoods of communities in the target landscapes are improved by developing eco-friendly small-scale community enterprises and improving market access							
1.4.1. Alternative livelihoods and innovative products developed through support of activities that promote market access as well as microfinance opportunities and other services	15 projects funded in previous operational phases.	At least 20 additional income generating activities being implemented that represent sustainable livelihood options	Y	Y	Y	Y	Y
1.4.2. Increased number of case study publications documenting lessons learned from SGP-supported projects	One case study publication prepared and disseminated in previous Operational Phases	At least three case study publications documenting lessons learned from SGP-supported projects	Y	Y	Y	?	Y
1.4.3. Traditional knowledge of native crop/livestock genetic resources documented and disseminated	Communication strategy outdated	Communication strategy under implementation	?	Y	Y	?	Y
1.4.4. Farmers Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture discussed and materials disseminated	Farmers Rights poorly understood	At least two knowledge fairs or workshops regarding genetic resources and farmers' rights At least one regional/national workshop on Farmers' Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture	Y	Y	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

Regarding indicator 1.4.2, an end target of developing at least three case study publications does not particularly measure improved livelihoods. Similarly, implementing a communication strategy (indicator 1.4.3) does not seem directly associated with livelihoods among the target communities. These two indicators are valid at the output level but should be reconsidered as a measure of achievement of the intended outcome.

Component 2: Community-based integrated low-emission systems

Component 2 involves community-based integrated low-emission systems and includes two outcomes, each having two performance indicators. Outcome 2.1 is focused on establishing multi-stakeholder partnerships for implementation of community-based low emission systems (see **Table 10**).

Table 10: SMART analysis of project results framework (Outcome 2.1)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 2.1: Multi-stakeholder partnerships in place for managing the development and implementation of community-based integrated low-emission systems							
2.1.1. Increased number of multi-stakeholder partnerships for managing the development and implementation of community-based integrated low-emission systems	No partnerships currently established	Four partnerships established and functioning	?	?	Y	Y	Y
2.1.2. Targeted community grant projects (including strategic projects) to build the capacities of selected community organizations to plan strategically, operate efficiently, and monitor the use of renewable energy	No community members with the capacity to plan strategically, operate efficiently or monitor the use of renewable energy	30 community representatives have the capacity to plan strategically, operate efficiently and monitor the use of renewable energy	?	?	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

It is unclear what is expected for the end target for indicator 2.1.1, regarding the functioning of four multi-stakeholder partnerships, and therefore also difficult to measure. Involvement of potential cofinancing partners, for example, could be a more reasonable measure of effective functioning of the partnerships. Regarding indicator 2.1.2, the measurability of capacities of community representatives to plan, operate and monitor renewable energy systems is questionable. The end target should be better defined; attainment of certification of a solar panel installer is an indicative example of capacity.

The envisaged results under outcome 2.2 are associated with increased adoption of renewable and energy efficient technologies and mitigation options at the community level, with two performance indicators (see **Table 11** below).

Table 11: SMART analysis of project results framework (Outcome 2.2)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 2.2: Increased adoption (or development, demonstration and financing) of renewable and energy efficient technologies and mitigation options at community level							
2.2.1. Increased use of renewable energy technologies at a community scale implemented in the target landscape: i) increased numbers of fuel efficient stoves in use; (ii) increased number of solar panels	Limited number of solar panel and other renewable energy applications to support HH needs and farming activities:	At least 500 fuel efficient stoves in use At least 200 solar panels installed and in use	Y	Y	N	Y	Y
2.2.2. Knowledge from innovative project experience is shared for replication and upscaling of community-based integrated low-emission systems across the landscape, across the country, and to the global SGP network	Negligible knowledge compiled or disseminated	At least five experiences evaluated, codified, and disseminated in appropriate media A model of innovative energy management for efficiency at selected villages established	Y	Y	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

Realizing 500 fuel efficient cook stoves and at least 200 solar panels seems highly unlikely at midterm. The project strategy associated with Component 2 is currently under reconsideration, with the UGM university carrying out a pre-feasibility study.

3.1.3 Gender Mainstreaming and Social Inclusion Analysis

The UNDP social and environmental screening process (SESP) was carried out as part of the project preparation phase (PPG), and the results annexed to the Project Document. The SESP concluded that the project is rated as MODERATE risk, based on two aspects: (1) gender equality and women's empowerment, and (2) indigenous peoples. A gender analysis and action plan were not made during the PPG; a gender analysis has since been made for the activities proposed under the landscape strategies in the four target areas. And, the SESP concluded that the effects on livelihoods of indigenous peoples are expected to be positive and no specific management plan was proposed.

The mission of the GEF-SGP inherently addresses broader development objectives, including issues associated with gender and indigenous peoples. However, it would have been advisable to articulate this dimension further in the project design. For example, a gender marker of 2 was applied to the project, but the performance metrics in the project results framework are not disaggregated by gender – or by indigenous peoples. (lesson learned)

In summary, the level of management response resulting from the results of the SESP are considered by the MTR Consultant insufficient according to a MODERATE risk rating.

3.2 Progress towards Results

3.2.1 Progress towards Outcomes Analysis

Objective: To enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia	
Progress towards achieving the project objective is rated as:	Moderately Satisfactory

The project had a slightly delayed start but has managed over the past year to start delivering substantive results. A rating of moderately satisfactory is applied for progress made towards achieving the project objective through midterm, as summarized below in **Table 12**.

Table 12: Progress towards results, project objective

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	June 2021	
A. Increased area of sustainably managed production integrating biodiversity conservation in one forested and three coastal landscapes	5,000 ha sustainably managed in the one forested and three coastal landscape	The four landscape strategies cumulative areas of 355,324 ha of terrestrial ecosystems and 388 ha of coastal ecosystems. According to project records, interventions under implementation through midterm cover 12,735 ha of terrestrial and 388 ha of coast ecosystems.	At least 47,000 ha with sustainable activities under implementation in the forested and coastal landscapes	On target
B. Increased number of producers participating in community-based adaptive landscape planning and management in one forested and three coastal landscapes	500 producers participating in community-based landscape planning and management processes	The project has been effective in engaging producers among the four landscapes; a cumulative total of 2,265 is reported by midterm.	At least 2,500 producers participating in community-based landscape planning and management	On target
C. Increased number of communities, within the one forested and three coastal landscapes, participating in capacity development activities, to improve the social and financial sustainability of their organizations	500 livestock producers trained in silvopastoral systems. 25 CSO representatives participating in trainings to improve the financial and administrative sustainability of their community organizations.	Training has been delivered to more than 300 producers on agro-ecological practices. Regarding silvopastoral systems, the project is assessing possibilities; however, the project has had challenges in recruiting expert advisory support. Uncertain if the silvopastoral end target is achievable, or in fact relevant for these landscapes. Financial and administrative training is recognized as a critical element to ensure the viability of the participating CSOs; 16 people have received training by midterm.	At least 1,000 producers trained in agro-ecological practices and systems. Up to 500 livestock producers trained in silvopastoral systems. At least 300 CSO representatives participating in trainings to improve the financial and administrative sustainability of their community organizations.	On target (except for silvopastoral systems)
D. Increased number of knowledge-sharing events and products	Not indicated	Several knowledge-sharing events have been organized with support of various partners. The project is benefitting from the extensive SGP network of NGOs and the organization's in-depth experience associated with knowledge management. Apart from knowledge-sharing events and meetings, the project has also facilitated production of two books, one long film and six documentary videos.	At least 12 workshops for knowledge sharing, exchange of experiences best practices, and fora in which project participants have participated	On target

Component 1: Resilient landscapes for sustainable development and global environmental protection

There are four outcomes under Component 1.

Outcome 1.1: Community-based institutional governance structures and networks in place in three coastal and marine landscapes and one forested landscape (Gorontalo, Wakatobi Islands, Semaui Island and Nusa Penida Island) for effective participatory decision making to achieve resiliency	
Progress towards achieving Outcome 1.1 is rated as:	Satisfactory

Progress towards achievement of Outcome 1.1 is rated as satisfactory, as outlined below in **Table 13** in the discussion of each performance metric for this outcome.

Table 13: Progress towards results, Outcome 1.1

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
1.1.1. Increased number of multistakeholder governance platforms	No multi-stakeholder governance platforms	Multi-stakeholder platforms have been strengthened in three of the four landscapes; Nusa Penida is	At least four multi-stakeholder landscape	On target

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
established and strengthened to support participatory landscape planning and adaptive management in one forested and three coastal landscapes	established in the four landscapes	pending. Expanding the platforms with further inclusion of governmental and private sector stakeholders would enhance the likelihood that project results will be sustained after project closure.	governance platforms in place and functioning	
1.1.2. Participatory landscape strategies and adaptive management plans for the one forested and three coastal landscapes	0 strategies to enhance social and ecological resilience of the one forested and three coastal landscapes	Four landscape strategies have been completed and approved by the project steering committee. The project has retained the services of Principia to continue to support the four host organizations through a systems-thinking approach, ensuring that implementation is aligned with underlying objectives. It would be advisable to update the strategies throughout the project and request the kabupaten local governments to validate the strategies.	Four landscape management strategies and plans delineating landscape level outcomes and other elements	Achieved
1.1.3. Number and typology of community level and strategic projects developed and agreed by multi-stakeholder groups (together with eligibility criteria) as outputs to achieve landscape level outcomes	Four community-based projects identified and aligned with landscape strategies, identified and agreed by multi-stakeholder groups during the project lifetime and implemented by CBOs and NGOs in partnership with others in the four areas. Traditional systems exist but weakened due to multiple factors.	The project has been effective in mobilizing community-based projects in each of the four target landscapes. The activities are aligned with the landscape strategies; in some cases, the capacities of the local partners are inconsistent with the scope of the strategies. It would be advisable to adjust the strategies through an adaptive management approach and extend the timeframe of the strategies beyond the lifespan of the project.	At least 16 community-based projects identified and aligned with landscape strategies	On target
1.1.4. Number of case studies on participatory adaptive landscape management	Not indicated	One of the key strengths of the project is the proactive approach towards knowledge management. The project has mobilized support services from organizations to collect traditional knowledge at the local level, to develop an online system to manage the information, and to analyze and report on traditional knowledge. It would be advisable to implement a project specific free, prior and informed consent (FPIC) process, to insure local communities understand and consent to how their knowledge is being collected and used.	Four revitalized knowledge management systems Four case studies on participatory adaptive landscape management (one per landscape)	On target

Output 1.1.1: Three coastal landscapes strategies and one forested landscape strategy developed with the participation of community stakeholders

Landscape strategies have been completed for the four target landscapes on the project by the Konsorsium Kaoem Telapak and Process Institute, under grant agreement INS/SGP/OP6/Y1/STAR/CD/17/001, one of the two strategic grants (USD 150,000) administered to date.

The landscape strategies include updated baseline assessments and were prepared using the concepts and approaches of socio-ecological production landscapes and seascapes (SEPLS), building upon the experiences and lessons learned under the COMDEKS project carried out in Semau.

The baseline assessments are detailed and based upon participatory field surveys and capture local circumstances and traditional knowledge across the landscapes. The documents are well written (English versions available), and the strategic frameworks were developed based on the SEPLS principles and according to local priorities. There are commonalities among the four landscape strategies, including an outcome focused on local governance and an outcome on monitoring and evaluation.

The landscape strategies were approved by the project steering committee (PSC) in February 2018. Following PSC approval, grant agreements with the host organizations were issued for the four target landscapes to implement the strategies. Staff from the host organizations were, to varying degrees, involved in the baseline assessments and formulation of the strategies; however, certain adjustments have been required since implementation started in mid-2018. For instance, one of the villages identified in Nusa Penida has since been excluded, because there are essentially no residents there. The capacities of the local partners also play an important role in determining to what degree the strategies can be achieved as planned.

The landscape strategies cover the 4-year timeframe of the project implementation. Considering the theory of change presented earlier in this report and the time required to achieve behavioral changes, it would be advisable to extend the time scales of the strategies, indicating the catalytic inputs from the GEF funding and outlining the assumptions and impact drivers associated with facilitating continuation towards achieving the envisaged long-term impacts.

It would also be advisable to involve the kabupaten governments in the process of updating the strategies, e.g., aligning the strategies to their development priorities and requesting them to validate the strategies. This would help identify synergies with sector-level activities and provide possible entry points for expanded partnerships.

Output 1.1.2: Multi-stakeholder landscape agreements to engage in and support implementation by communities of the landscape management strategies

The grant agreements reached with the four host organizations is a form of landscape agreement for implementation of the landscape strategies. The host organizations have facilitated local partners for carrying out specific interventions, through separate grant agreements, and are working closely with village leaders and other stakeholders in the process.

As mentioned under the discussion of Output 1.1.1, obtaining validation of the landscape strategies from the kabupaten local governments would broaden the recognition that the strategies are consistent with landscape level priorities.

Output 1.1.3: Policy platforms in which policy briefs prepared by NGOs and communities are discussed with the participation of local government officials and other stakeholders

The project is working towards strengthening multi-stakeholder governance platforms in each of the four target landscapes. In Semau, village committees are being consulted in the implementation of project interventions, and a landscape level body, comprising representatives from each of the 14 villages in Semau is planned to be established in the second half of the project.

At the Wakatobi landscape, existing stakeholder forums are being strengthened, including the Forkani (see photo below in **Figure 2**) and Foneb forums that operate at the island level, and the Forum Antar Pulau, which is an inter-island forum connecting the four islands of Wakatobi.



Figure 2: MTR mission photos, stakeholder platforms

For Gorontalo, the project is working with the water resources management platform for the Paguyaman River basin. The host organization in Nusa Penida is actively engaging with multiple stakeholders across the island and plans on establishing a landscape governance platform to support implementation of the landscape strategy.

Output 1.1.4: Dissemination of project knowledge and lessons to organizations and institutions across the coastal and marine landscapes and forested landscape, across the country, and to the global SGP network

Through a series of grant agreements, the project has retained the expert services of several organizations having extensive experience in knowledge management. The organization Kapas Ungu has been tasked to distill traditional knowledge at the grassroots level in each of the target landscapes. The Lite Institution developed a knowledge management platform, KMOL (Knowledge Management Online Learning) and the Kobo Tool Box for facilitating gathering of project results. The Kaoem Telapak organization, which completed the landscape strategies, is preparing traditional knowledge products as part of their monitoring and evaluation tasks.

The project has been proactive in ensuring knowledge management is an integral part of the implementation phase. Certain knowledge products have already been produced, including two books, one on weaving and the second on stories written by youth – see cover page below in **Figure 3**), a long movie chronicling the stories of three women, and six documentary films produced with cofinancing support from ICCA-GSI.

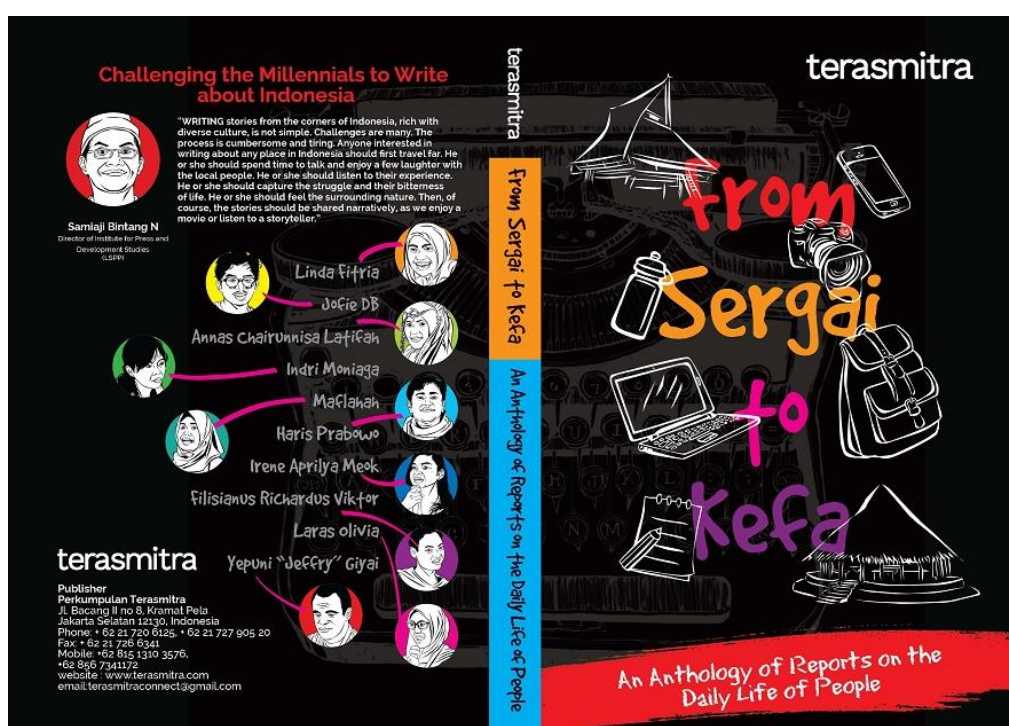


Figure 3: Cover page of the book "From Sergai to Kefa"

Outcome 1.2: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems

Progress towards achieving Outcome 1.2 is rated as:

Moderately satisfactory

Progress towards achievement of Outcome 1.2 is rated as satisfactory, as outlined below in **Table 14** in the discussion of each performance metric for this outcome.

Table 14: Progress towards results, Outcome 1.2

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
1.2.1. Increased area under protection for biodiversity conservation and sustainable use	Four community-based project for biodiversity conservation and sustainability used in the three coastal and marine landscapes and one forested landscape	The project is actively working in the target landscapes on facilitating community conservation areas, including 3 potential fish banks covering a cumulative area of 120 ha. The 10,000-ha end target is	Approximately 10,000 hectares managed as marine and/or terrestrial community conservation areas	Marginally on target

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
		inconsistent with actual areas being considered.		
1.2.2. Increased area under reforestation or farmer managed natural regeneration	0 hectares under reforestation or farmer managed natural regeneration 0 ha planted with trees/bushes in reforestation campaigns in one forested and three coastal landscapes	The project has initiated several activities on reforestation and tree planting to protect water sources in the target landscapes. The end targets do not match the scale of the work completed and under consideration. For example, in Semau one of the groups has planted 2,783 seedlings over an area of 1.43 ha. The project has identified 35 ha for reforestation and 50 ha for farmer managed natural regeneration. Activities have also been started in Gorontalo and Wakatobi, at similar levels of scope. These figures are significantly lower than the end targets	At least 10,000 hectares under reforestation or farmer managed natural regeneration At least 5,000 ha planted with trees/bushes in reforestation campaigns in the forested and three coastal landscapes	Not on target
1.2.3. Increased area of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources	At least 55 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources At least 20,000 trees planted in agroforestry systems	Project activities have been initiated on agro-ecological practices in each of the four target landscapes, including 50 ha in Semau and 124 ha in Gorontalo. Agroforestry systems have also been initiated and under planning, with 2,945 trees planted through midterm in Nusa Penida. Silvopastoral systems are under consideration; however, it has been difficult to recruit qualified advisory support. The end targets for these interventions do not match the scale of work being implemented in the project.	At least 14,000 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources. At least 100,000 trees planted in agroforestry systems. At least 8,000 hectares of silvopastoral systems established.	Not on target

Output 1.2.1: Targeted community grant projects (including strategic projects) to meet strategic objectives and support innovation regarding biodiversity conservation and optimization of ecosystem services

Several of the grants issued in the first round are focused on biodiversity conservation and protection of ecosystem services. Three separate fish banks are under discussion in the Wakatobi landscape, including a 12-ha fish bank for Kaomba village on Binongko Island, a 75-ha fish bank for Karang Kaledupa village on Kaledupa Island, and a 33-ha fish bank for Kulati village on Tomia Island. Project resources have also supported an ongoing mangrove restoration project in Wakatobi (see photograph below in **Figure 4**).

Considering that the majority of the communities among the four landscapes depend on terrestrial ecosystem goods and services, many of the interventions are focused on reforestation, protection of water sources and other activities aimed at protecting terrestrial resources. In Semau, 35 ha have been targeted for reforestation and another 50 ha for farmer-managed, natural regeneration. In the Gorontalo landscape, 100 ha have been earmarked for reforestation, and more than 3,000 trees have been planted in reforestation efforts in the Wakatobi landscape.

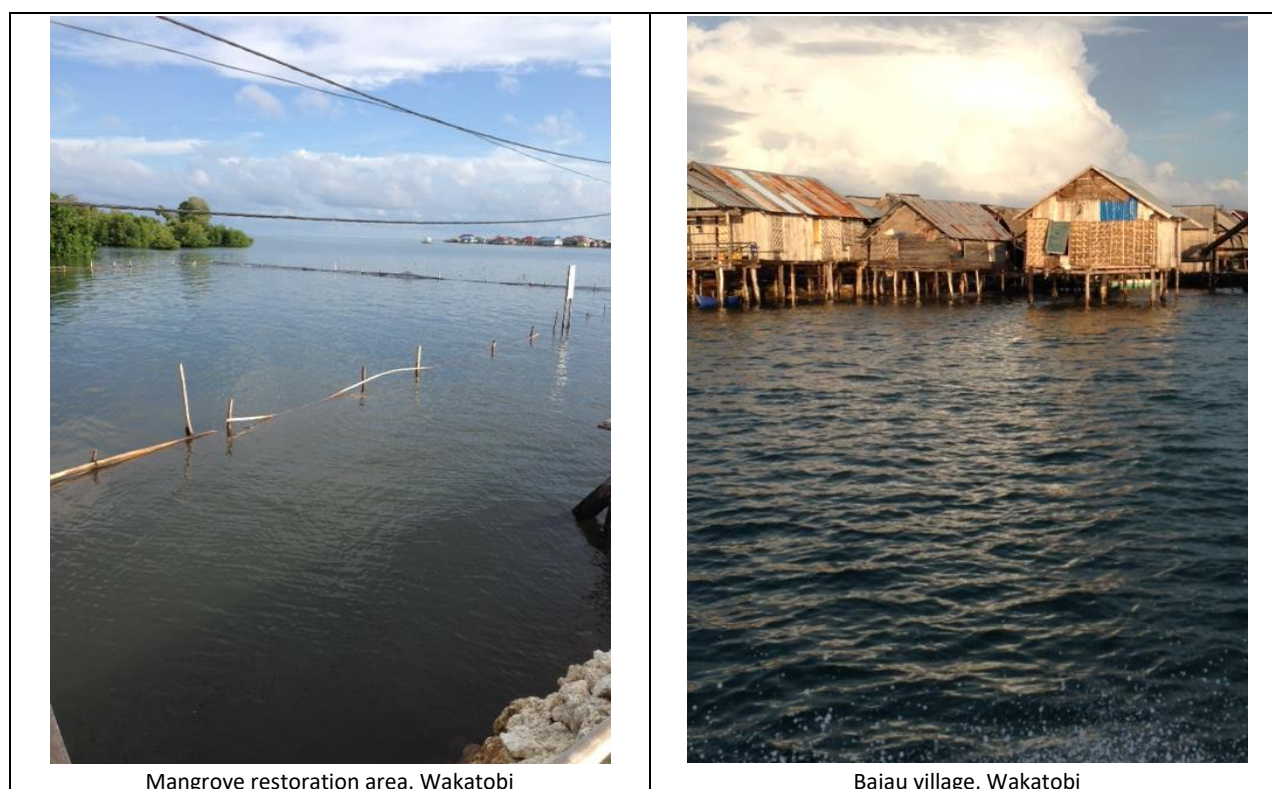


Figure 4: MTR mission photos, mangrove restoration and Bajau village

Outcome 1.3: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices

Progress towards achieving Outcome 1.3 is rated as:

Satisfactory

Progress towards achievement of Outcome 1.3 is rated as satisfactory, as outlined below in **Table 15** in the discussion of each performance metric for this outcome.

Table 15: Progress towards results, Outcome 1.3

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
1.3.1. Number of multi-stakeholder groups active in the one forested and three coastal landscapes with strategies/plans for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No multi-stakeholder groups with a focus on landscape resilience engaged in analysis and planning of strategic approaches to upscaling successful experiences with ecotourism or commercial production of key agricultural products	One multi-stakeholder meeting facilitated by Terasmitra was held in Gorontalo. Discussions have started in the other landscapes, but it is early to analyze experiences and lessons learned, as project activities have been under implementation for approx. one year.	At least four landscapes level multi-stakeholder groups involved in analysis of experience, lessons learned and development of strategies for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	On target
1.3.2. Number of community-based organizations established or strengthened in the one forested and three coastal landscapes grouping individual community producer organizations in sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No strategy currently exists in any of the landscapes to enable and facilitate upscaling by community organizations of these economic activities based on the detailed analysis of successful SGP supported community experiences and identification of upscaling requirements and opportunities	The project has facilitated establishment and strengthening of community-based organizations in each of the four landscapes. Efforts will need to be accelerated in the second half of the project to reach the end target of 16.	At least 16 community-based organizations established or strengthened	On target

Output 1.3.1: Targeted community grant projects (including strategic projects) to meet strategic objectives regarding sustainability of agro-ecosystem production, including Farmers' Rights vis a vis the International Treaty for Plant Genetic Resources for Food and Agriculture

The main source of livelihoods for the communities in the four landscapes is farming, and consequently, several of the grant agreements are focusing on sustainable agro-ecological practices, protecting local varieties and promoting farmers' rights.

A grant has been administered to the national organization Perkumpulan Indonesia Berseru (PIB), under grant agreement INS/SGP/OP6/Y2/STAR/BD/18/027, for working with the local partners in the four landscapes in strengthening agro-ecological resilience. Local varieties in the landscapes were mapped and a series of trainings are being delivered to increase knowledge of sustainable agricultural practices and genetic diversity and on social equity and farmers' rights. A local corn variety has been planted at two different plots in Semau, and soil testing has been undertaken to assess possible impacts associated with use of agrochemicals in these landscapes (see photographs below in **Figure 5**).



Figure 5: MTR mission photos, local corn and soil testing

Field interventions on improved agro-ecological practices include 50 ha in Semau and 124 ha in Gorontalo. Agroforestry systems are being implemented in conjunction with protection of water sources, e.g., jack fruit and mango trees are being planted to protect water sources in Wakatobi and provide livelihood benefits to the local beneficiaries. Seedlings have been planted in Semau and a nursery has been established in Wakatobi to support agro-forestry initiatives there (see photographs below in **Figure 6**).



Figure 6: MTR mission photos, preparing for land rehabilitation

Silvopastoral systems were highlighted in the project strategy in the Project Document; however, based on limited application of such systems and the lack of qualified experts to support implementation, it is uncertain how and whether silvopastoral systems will be integrated into the project. In fact, the landscape strategy for Semau, where there are several thousand cattle, does not mention silvopastoral systems.

Outcome 1.4: Livelihoods of communities in the target landscapes are improved by developing eco-friendly small-scale community enterprises and improving market access

Progress towards achieving Outcome 1.4 is rated as:

Satisfactory

Progress towards achievement of Outcome 1.4 is rated as satisfactory, as outlined below in **Table 16** in the discussion of each performance metric for this outcome.

Table 16: Progress towards results, Outcome 1.4

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
1.4.1. Alternative livelihoods and innovative products developed through support of activities that promote market access as well as microfinance opportunities and other services	15 projects funded in previous operational phases.	The first round of grants has been disbursed to local partners in the target landscapes, and several of the grants are focused on facilitating income generating activities.	At least 20 additional income generating activities being implemented that represent sustainable livelihood options	On target
1.4.2. Increased number of case study publications documenting lessons learned from SGP-supported projects	One case study publication prepared and disseminated in previous Operational Phases	Documenting project experiences has already started, including publication of two informative books. The project is implementing a commendable knowledge management approach.	At least three case study publications documenting lessons learned from SGP-supported projects	On target
1.4.3. Traditional knowledge of native crop/livestock genetic resources documented and disseminated	Communication strategy outdated	The project has developed an online system, KMOL, for collecting information on project activities and results. The project is also efficiently using social media, including through Terasmitra (SGP networking platform) and WhatsApp groups. It would be	Communication strategy under implementation	On target

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
		advisable to document the communication and knowledge management approaches and practices into formulation of a strategy and action plan.		
1.4.4. Farmers Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture discussed and materials disseminated	Farmers Rights poorly understood	The project has issued a grant to Perkumpulan Indonesia Berseru to increase awareness of farmers' rights and genetic diversity. Village schools (a series of trainings) have been organized in the first half of the project in two of the target areas: Gorontalo and Wakatobi.	At least two knowledge fairs or workshops regarding genetic resources and farmers' rights At least one regional/national workshop on Farmers' Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture	On target

Output 1.4.1: Targeted community grant projects (including strategic projects) to meet strategic objectives regarding development of sustainable livelihoods (i.e. activities that promote market access as well as microfinance opportunities)

The project has a strong emphasis on sustainable livelihoods, given that the local communities in the four target landscapes are highly natural resource dependent.

A strategic grant (USD 150,000) has been issued to the organization Perhimpunan LAWE, under grant agreement INS/SGP/OP6/Y1/STAR/CD/17/002, for creating a business plan for Terasmitra, building the platform and framework for Terasmitra's community business development initiative, supporting partners among the target landscapes and preparing knowledge products consistent with Terasmitra's new strategy under operational phase VI of the GEF-SGP.

Several of the grants to local partners are focused on developing and strengthening sustainable livelihoods, including supporting weaving operations, production of organic fertilizer, horticulture production and producing added-value agricultural products, such as cassava chips, banana chips and corn chips. Project grants have supported purchase of shredding equipment for production of organic fertilizer and for establishing beehives for honey production (see photographs below in **Figure 7**).



Shredding equipment for organic fertilizer, Semau

Beehive, Semau

Figure 7: MTR mission photos, organic fertilizer and honey production

One of the local partners in Wakatobi visited during the MTR field mission is expanding and increasing the resilience of their weaving operation by growing their own cotton and plants for natural dyes (e.g., indigo, pomegranate), as shown below in the photographs in **Figure 8**.



Figure 8: MTR mission photos, weaving and cotton cultivation

Component 2: Community-based integrated low-emission systems

There are two outcomes under Component 2.

Outcome 2.1: Multi-stakeholder partnerships in place for managing the development and implementation of community-based integrated low-emission systems	
Progress towards achieving Outcome 2.1 is rated as:	Moderately unsatisfactory

Progress towards achievement of Outcome 2.1 is rated as satisfactory, as outlined below in **Table 17** in the discussion of each performance metric for this outcome.

Table 17: Progress towards results, Outcome 2.1

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
2.1.1. Increased number of multi-stakeholder partnerships for managing the development and implementation of community-based integrated low-emission systems	No partnerships currently established	The objective of the pre-feasibility study being carried out by the UGM university is to update the project strategy regarding community-based integrated low emission systems. The process of conducting this pre-feasibility study involving stakeholder consultations and interactions with other partners is providing foundational guidance on establishment of the envisaged multi-stakeholder partnerships.	Four partnerships established and functioning	On target
2.1.2. Targeted community grant projects (including strategic projects) to build the capacities of selected community organizations to	No community members with the capacity to plan strategically, operate efficiently or monitor	There are have been no decisions made yet regarding the updated strategy for delivering community-based low-emission systems.	30 community representatives have the capacity to plan strategically, operate efficiently and	Not on target

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
plan strategically, operate efficiently, and monitor the use of renewable energy	the use of renewable energy		monitor the use of renewable energy	

Output 2.1.1: Multi-stakeholder partnerships in communities in the target landscapes develop and execute adaptive management plans for energy efficient systems

The envisaged multi-stakeholder partnerships for developing and executing adaptive management plans for energy efficient systems have not yet been established. The UGM university teams that are carrying out pre-feasibility studies in the four landscapes have interacted with local stakeholders, gathering information and feedback. It would be important to obtain local approval of the recommended interventions in the pre-feasibility studies before proceeding with planning and procurement.

Output 2.1.2 Policy platforms in which policy briefs prepared by NGOs and communities are discussed with the participation of local government officials and other stakeholders to enable upscaling and catalyze private sector financing

Activities under this output have not yet started, as the pre-feasibility studies are currently ongoing. The PMU assures that the expert teams carrying out the studies are engaging with local government officials and prospective private sector investors.

Outcome 2.2: Increased adoption (or development, demonstration and financing) of renewable and energy efficient technologies and mitigation options at community level

Progress towards achieving Outcome 2.2 is rated as:

Moderately unsatisfactory

Progress towards achievement of Outcome 2.2 is rated as moderately unsatisfactory, as outlined below in **Table 18** in the discussion of each performance metric for this outcome.

Table 18: Progress towards results, Outcome 2.2

Indicator	Baseline	Midterm status	End-of-Project target	MTR Assessment
Date:	2015	Feb 2019	Jun 2021	
2.2.1. Increased use of renewable energy technologies at a community scale implemented in the target landscape: i) increased numbers of fuel-efficient stoves in use; (ii) increased number of solar panels	Limited number of solar panel and other renewable energy applications to support HH needs and farming activities:	The UGM university is carrying out a pre-feasibility study, updating the strategy for delivering renewable and energy efficient interventions in the target landscapes. This indicator should be revised according to the updated strategy.	At least 500 fuel efficient stoves in use At least 200 solar panels installed and in use	Not on target
2.2.2. Knowledge from innovative project experience is shared for replication and upscaling of community-based integrated low-emission systems across the landscape, across the country, and to the global SGP network	Negligible knowledge compiled or disseminated	Planned interventions under this outcome have not yet started.	At least five experiences evaluated, codified, and disseminated in appropriate media A model of innovative energy management for efficiency at selected villages established	Not on target

Output 2.2.1: Targeted community grant projects (including strategic projects) to build the capacities of selected community organizations to plan strategically, operate efficiently, and monitor the use of renewable energy

Among the first round of grants issued to local partners, 30 cook stoves have been reportedly made by a women's group in Wakatobi for household use and 4 additional stoves for community use. Delivering training on making biomass stoves is part of the scope of work in the grant agreement to Yayasan Pelayanan dan Pengembangan Masyarakat Alfa Omega (INS/SGP/OP6/Y2/STAR/BD/18/017) in the Semau landscape; however, based on feedback obtained during the MTR mission, it is uncertain if biomass cook stoves are a viable option for the target villages, due to cultural and cost constraints.

The overall strategy for Component 2 is being reassessed through the pre-feasibility studies undertaken by the UGM university teams. According to information obtained from the expert team as part of the MTR interview process, preliminary recommendations are to focus on integrating local renewable and energy efficient systems with productive uses. For instance, solar water systems are under consideration for farmer groups in the Semau and Gorontalo landscapes. In Wakatobi, solar units could power ice-making facilities for aquaculture farmers. If costs of production can be lowered through introduction of renewable and energy efficient options, there is a higher chance that local stakeholders would accept the proposed solutions and also possibly be willing to invest in cofinancing and upscaling. The energy systems would also support household needs. This seems to be a sensible approach with respect to the strategy for Component 2, but time is of the essence for completing the planning, procurement, installation and operation of the systems. It would be advisable to have sufficient time for operation of the systems within the project's implementation timeframe, to allow for training and troubleshooting.

Output 2.2.2: Knowledge from innovative project experience is shared for replication and upscaling of community-based integrated low-emission systems across the landscape, across the country, and to the global SGP network

Activities under this output have not yet started.

3.2.2 Remaining Barriers to Achieving the Project Objective

A considerable amount of work remains to achieve the project objective and outcomes. Some of the barriers that need to be overcome in the second half of the project include:

Lack of a current and coherent strategy for Component 2 (low-emission development): The strategic approach for low-emission development outlined in the Project Document is outdated according to current circumstances. It is imperative that the project completes the pre-feasibility studies that are underway and formulate an updated strategy for addressing this aspect of the project.

Capacity constraints among some of the local partners: Some of the local partners lack the capacities for addressing the issues included in their grant agreements, such as protection of water sources, conservation of plant genetic resources for food and agriculture, etc. The GEF-SGP has an extensive network of partners in the country; it is important that technical assistance and mentoring support be provided to the local partners and host organizations.

Project performance metrics are inconsistent with respect to the envisaged outcomes in the landscape strategies: The envisaged results reflected in the project results framework and the landscape strategies should be synchronized and also reconciled according to the limited timeframe remaining and capacity constraints. It would be advisable to adjust the project and landscape strategic results frameworks to a theory of change, that describes the causal pathways required to achieve longer-term impacts.

3.3 Project Implementation and Adaptive Management

Project Implementation and Adaptive Management is rated as: Moderately Satisfactory

3.3.1 Management Arrangements

The project is being implemented under an NGO implementation modality, with YBUL as the lead implementing partner (executing agency). YBUL has been the NGO national host institution for the GEF-SGP in Indonesia under previous operational programs, prior to the upgrading in operational phase 6. As executing agency, which was formerly held by UNOPS, YBUL now has more day-to-day management responsibilities in the implementation of the project.

This is the first time that an NGO implementation modality has been applied in Indonesia, and it took approximately 6 months following CEO endorsement for the government of Indonesia to approve the project, through issuing a letter of acknowledgement. The project management unit (PMU) was in place at project entry, with the GEF-SGP national coordinator as project manager and the finance officer and program assistant rounding off the unit. The lead implementing partner, YBUL, has been the NGO host organization for GEF-SGP for years.

Project steering committee:

The project steering committee (PSC) is essentially the same body that has been operating as the National Steering Committee for the GEF-SGP. The experience of the PSC is advantageous, with members having an in-depth understanding the mission of the GEF-SGP and also having tried and tested processes for approving small grant proposals.

The PSC is co-chaired by the GEF Operational Focal Point, an official from the Ministry of Environment and Forestry. Having a high-level official from the ministry as co-chair of the PSC provides a strong incentive for active participation

by the other members and also delivers an important connection to the governmental sector. Representation of the PSC is wide-ranging, with members from the civil society, private sector, microfinance, journalism and research. There is, however, no representation on the PSC from the four target landscapes, i.e., Sema, Gorontalo, Wakatobi and Nusa Penida. The MTR consultant suggests that the project consider including representatives from the target landscapes onto the PSC as members or at least as observers; this would help facilitate improved interaction with local governmental stakeholders, possibly identify additional cofinancing opportunities and enhance the likelihood that results will be sustained after project closure.

The PSC has convened relatively frequently, a total of six times through midterm, including:

1. 9 October 2017
2. 6 December 2017
3. 26 February 2018
4. 19 July 2018
5. 13 September 2018
6. 12 December 2018

According to the recorded meeting minutes, participation has been variable. It is indeed difficult to assemble the large number of members on an essentially quarterly basis. Apart from the physical meetings, the PSC is also functioning through email correspondence, providing timely feedback and approval on proposal requests and other project issues.

GEF Agency (UNDP):

The UNDP Country office in Jakarta has provided extensive support to the project, including on strategic guidance, administrative issues, and financial reporting. The UNDP Country Office has also provided procurement support, e.g., for recruitment of the independent midterm review consultant. And, the UNDP Country Office is actively participating in the GEF-SGP National Steering Committee.

Technical advisory has been delivered by the Global Coordinator of the SGP Upgrading Country Programs based in New York. The Global Coordinator provides feedback to the project implementation review (PIR) reports and delivers support to the project team as needed, sharing lessons learned and experiences across the network of countries where the GEF-SGP is operating in.

The UNDP Country Program Document (2016-2020) or the UN Partnership Development Framework (2016-2020) do not mention the GEF-SGP, and the Project Document does not reflect these strategic planning frameworks. From an operational standpoint, there is room for improvement in addressing the two aspects of the social and environmental screening process (SESP) that rendered the project MODERATE risk: gender and indigenous peoples. For example, the project was assigned a GEN 2 gender marker, but gender mainstreaming objectives are not integrated into project results framework.

Lead Implementing Partner (YBUL):

The lead implementing agency for the project is YBUL, which has been the NGO national host institution for the GEF-SGP in Indonesia for a number of years. The PMU is comprised of the national coordinator, as project manager, and the finance officer and program assistant for the GEF-SGP complete the three-person, full-time PMU staff.

The PMU has instituted participatory monitoring and evaluation procedures, using online forms and facilitating the process through social media applications. The project is also implementing an inclusive and proactive knowledge management approach, another organizational strength that has been developed over the 25+ years of operating the GEF-SGP in Indonesia. The project is benefitting from the extensive network of qualified organizations in the country, providing technical assistance, strategic planning, systems thinking, mentoring, monitoring and evaluation, knowledge management and production of knowledge products.

Financial delivery has been good; delivery was essentially 100% in the one full-year, 2018, of the project implementation phase through midterm. Materialized cofinancing exceeds 50% of the confirmed amounts at CEO endorsement; however, the project is not regularly tracking cofinancing contributions, there has been limited interaction with some of the cofinancing partners, and there have been missed opportunities for collaborating with additional cofinancing partners, e.g., local governments and protected area administrations.

3.3.2 Work Planning

The GEF approved the project for implementation on 25 January 2017, and the government of Indonesia approved the Project Document about six months later, on 10 June of that year. As recorded in the 2018 project implementation

review (PIR) report, this is the first time an NGO implementation modality is being applied, and it took some time for the governmental partners to sort out how the project would be approved. A decision was made to issue a letter of acknowledgement by the government, rather than signing the Project Document. As the project management unit (PMU) was already assembled, the team was able to move quickly in starting up the project, with the inception workshop organized about a month later, on 17-18 July 2017.

An indicative four-year work plan is included in the Project Document and was updated and approved during the inception workshop. A second revision was made in 2018, when the annual work plan and budget for the year 2018 was increased from USD 810,019 to USD 975,022. The annual work plans are prepared using a UNDP template and ATLAS budget codes; the plans are not very detailed, with less than ten line-items for each of the two components and project management.

The landscape strategies contribute to the activity level work planning. Specific proposals from the local partners are developed based on the relevant strategy. The landscape strategies are broken down into five outcomes, consistent with the SEPLS social-ecological resilience framework. Setting up the strategies across these outcomes is consistent with how the baseline assessments were made; however, the strategies are not directly comparable to the project results framework. It would be useful to align the landscape strategies with the project results framework.

3.3.3 Finance and Cofinance

Financial Expenditures:

Through project midterm, defined as the start of the project on 10 June 2017 through 28 February 2019, a cumulative sum of USD 1,245,502 or 35% of the USD 3,561,644 GEF implementation grant had been expended, as broken down below in **Table 19**.

Table 19: Project expenditures through midterm

Component	Actual Expenditures (USD)				GEF Grant
	2017	2018	2019*	Total	Prodoc Budget
Component 1	163,062	688,976	7,415	859,454	2,544,032
Component 2	76,015	246,494	2,696	325,206	848,010
Project Management	16,786	28,351	2,282	47,419	169,602
Unrealized Loss	2,397	18,819	0	21,217	N/A
Unrealized Gain	(175)	(7,619)	0	(7,794)	N/A
Total	258,086	975,022	12,393	1,245,502	3,561,644

Figures in USD;

Source of expenditures: Combined Delivery Reports (CDR), provided by UNDP

*2019 expenditures for 01 January - 28 February

The majority of the costs incurred to date have been spent, understandably, on grants, which are booked under Atlas Code 72100 (Contractual Services – Companies); approximately 65% of the total costs spent are accounted under this category.

Spending has been consistent across the two components, as recorded in the project accounts. The project has a policy to allocate 70% of each grant to Component 1 and 30% to Component 2, due to the cross-cutting nature of the activities which contain, to varying degrees, aspects of each of the three focal areas of biodiversity, land degradation and climate change.

Consistent with GEF requirements, the budgeted project management costs were 5% (USD 169,602) of the sub-total of the indicative budget for the two components. The cumulative project management costs incurred by midterm are USD 47,419, which is 4% of the sub-total of the cumulative expenditures for Components 1 and 2.

Currency Fluctuations and Inflation:

With local project costs in Indonesian rupiah (IDR) and the GEF grant in USD, there have been some efficiency gains due to fluctuations in the value of the IDR against the USD over during the first half of the project, particularly in the second half of 2018, when the exchange rate exceeded 1:15,000, compared to approximately 1:13,300 at project start in June 2017 (see **Figure 9** below).

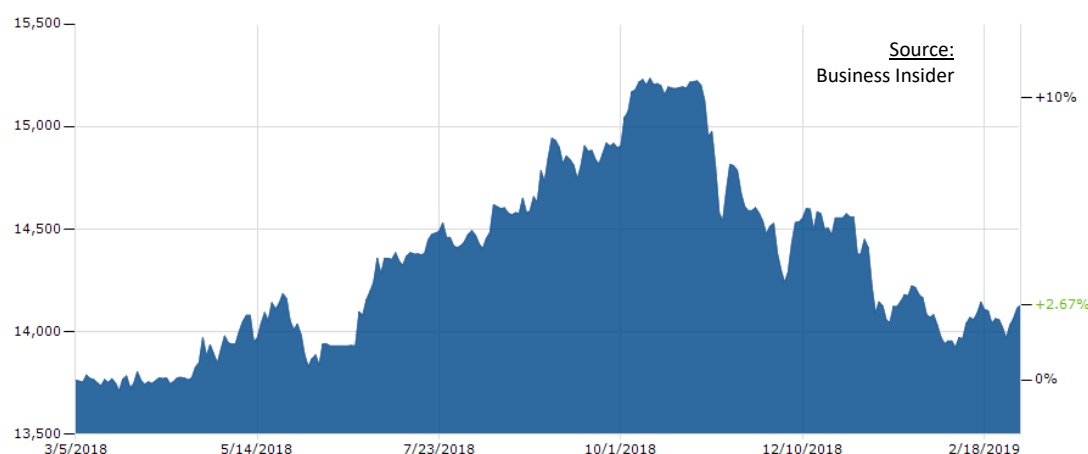


Figure 9: IDR:USD exchange rate history March 2018-March 2019

Inflation (consumer price index) has ranged from 3.88% in July 2017 to 2.57% in February 2019 (source: Bank of Indonesia, www.bi.go.id)

Asset Management:

Equipment and other assets are purchased through the individual grant agreements, and, therefore, the project is not maintaining an asset register. According to the standard grant agreements, the grantees are responsible for the assets acquired throughout the timeframe of the agreement. Consistent with standard practice by the SGP, assets will be transferred to the local beneficiaries at the end of the project or grant term. In the opinion of the MTR Consultant, it would be advisable to include a condition in the grant agreements, indicating that the assets need to be transferred to the relevant beneficiary at the close of the project or the grant agreement.

Financial Audits:

UNDP has commissioned periodic spot checks by the public accountant firm Kumalahadi Kuncara Sugeng Pamudji & Partners. Three spot check reports were available for review by the MTR Consultant: two for Q3 2017 and one for Q4 2017. Each of the three reports were dated 18 December 2018. A common finding, rated as a medium risk, identified in the spot check reports was that “some expenditures didn’t have sufficient supporting documents such as proposed budget and invoice, indicate that the expenditures have not been verified and approved in accordance with the IP’s (implementing partner’s) SOP (standard operating procedure)”. The auditors indicated in the remarks section of the report that the IP provided all supporting documentation after the spot checks were completed.

A full financial audit is reportedly scheduled to be carried out in March 2019.

Cofinancing:

The cumulative total of cofinancing confirmed at CEO endorsement was USD 11,749,385, with contributions from the UNDP, the Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas (ICCA-GSI), the Wakatobi kabupaten government, WWF Indonesia, RARE and the grantee civil society organizations (CSOs). The largest confirmed contribution was from the Wakatobi kabupaten government, at USD 5,298,385 of in-kind cofinancing.

Through project midterm, defined as 28 February 2019, according to information collected by the PMU and provided directly from the cofinancing partners, a total of USD 7,490,339 in cofinancing have materialized, or roughly 64% of the sum confirmed at endorsement (see **Annex 7**).

Each of the approved grants to the local CSO partners has an in-kind cofinancing contribution, and the cumulative total through midterm is USD 3,189,743. A comparable sum of in-kind cofinancing from local partners is likely in the second half of the project. The cofinancing letter, dated 11 October 2016, signed by the chairperson of the National Steering Committee, indicates that cofinancing from the grantees was expected to include USD 1,960,000 of in-kind contributions and USD 1,560,000 in the form of in-cash (or grant). Based on feedback during MTR interviews, this breakdown seems to have been mistakenly included in the letter; contributions from the local CSO grantees were expected only in the form of in-kind cofinancing, similar to the general practice during early operational phases of the GEF-SGP in Indonesia.

Cofinancing contributions from ICCA-GSI include top-up grants to some of the local interventions, including efforts being made at establishing community conservation areas in the four target landscapes.

Through utilization of TRAC² funds, UNDP Indonesia has also made grant contributions totaling USD 20,000, directly supporting the implementation of the project.

The in-kind contributions from the Wakatobi kabupaten government are estimated at USD 1,324,596; this is 25% (or one out of four years) of the total amount confirmed. There is no breakdown available regarding the cofinanced activities in Wakatobi.

The WWF in-kind contributions are also associated with the Wakatobi landscape. WWF has been operating there for many years, supporting the national park administration. The confirmed cofinancing amount of USD 1,850,000 is estimated to have materialized in full through midterm. WWF has downscaled their activities in Wakatobi, but they do maintain their office there and continue to support the national park administration. Based on MTR interviews, there are opportunities for more direct interaction with WWF in Wakatobi, e.g., as part of their program on training local fishers in participating in monitoring, control and surveillance (MCS) of the fisheries within the sustainable use regions of the national park.

There are also opportunities to develop direct synergies with the cofinancing partner RARE, which is active in Wakatobi on establishing territorial use right for fishing reserves (TURFs). These efforts are complementary to the landscape strategy the project developed for Wakatobi, and RARE plans on investing approximately USD 1 million in Wakatobi over the next few years, until 2021.

According to findings during the MTR mission, it is apparent that additional project cofinancing is going unreported and there could be missed opportunities in collaborating with other cofinancing partners, including local and provincial governmental stakeholders. For instance, the Indonesian government is making significant investments in rehabilitation of degraded and deforested lands. There are forest management units (FMUs) operating in each province under this program. As indicated under the description of Outcome 1.3 in the Project Document, the project does plan on collaborating with FMUs in Sulawesi and Bali. There is a separate program on social forestry, which includes granting access rights to local communities to sustainably exploit non-timber forest products (NTFPs); there could also be opportunities for collaboration with this program. Each of the four target landscapes of the project is situated within or near protected areas; these are other possible cofinancing partners. These are only a few examples of possible cofinancing partnerships.

3.3.4 Project-level Monitoring and Evaluation Systems

The monitoring and evaluation (M&E) plan was prepared using the standard UNDP-GEF template. The estimated cost for implementation of the M&E plan, as recorded in the Project Document, is USD 171,000, which is 5% of the GEF grant, and is broken down in two parts: USD 136,000 covers the standard and mandatory GEF M&E requirements and an additional USD 35,000 for M&E activities associated with implementation of the individual grants.

The M&E plan and requirements were presented at the project inception workshop. There were no changes to the M&E plan noted in the inception workshop report.

The project has been proactive and innovative in facilitating participatory M&E during the implementation phase. Local partners and host organizations input M&E information onto forms developed by the project team, and the PMU then consolidates the inputs and prepares quarterly reports and other M&E deliverables.

The landscape strategies include a separate outcome dedicated to M&E (outcome 5), and the national organization (Kaoem) that prepared the strategies has also been tasked with supporting the local partners in monitoring and evaluating progress.

There has been one PIR report prepared through midterm, covering the period of June 2017 through June 2018. The PIR report was found to be thorough, including inputs from the key project partners and issues and self-ratings reported with candor.

Development objectives are inherently built into the M&E systems of the project, considering there is a strong focus on strengthening the well-being of local communities in the target landscapes. A gender mainstreaming strategy has been completed and includes recommended actions at the activity level, consistent with the activities outlined in the landscape strategies. Gender was one of the two social and environmental aspects that rendered the overall moderate risk rating for the project through the UNDP social and environmental screening procedure (SESP). Although the recently completed gender mainstreaming strategy addresses some of the important issues at the local level, the document does not address the project as a whole. It would be advisable to capture the broader gender dimension of

² Target for Resource Assignment from the Core

the project, including decision making, with the chairperson of the PSC, the project manager and the UNDP-GEF SGP UCP Global Coordinator being women, and many of the professionals among the participating partners are also women.

The other aspect of the moderate risk rating was indigenous (local) peoples. The term “indigenous peoples” is not favored among Indonesian governmental officials, and the term “local peoples” is used on the project. In each of the target landscapes, and throughout Indonesia, there are local peoples having unique traditions, knowledge and heritage. And, the project is actively collecting and reporting on traditional knowledge. Based on MTR interviews and reflected in the project design, the general view among the project stakeholders is that the project is positively promoting and advocating for the rights of local peoples. The project and the earlier operational phases of GEF-SGP in Indonesia are making important contributions to advancing the rights and benefits to local peoples; however, a specific risk mitigation strategy is lacking. For example, it is unclear if the local peoples among the target landscapes are genuinely understanding why their traditional knowledge is being collected, how it is being transposed and reported and what rights they have in protecting the knowledge. It would be advisable to develop and implement a project-specific process for free, prior and informed consent (FPIC).

Tracking tools:

The following GEF-6 tracking tools are being used on the project:

- Biodiversity, Objective 4, Program 9
- Climate Change Mitigation
- Land Degradation Focal Area - Portfolio Monitoring and Tracking Tool (PMAT)

The baseline tracking tool assessments were completed in November-December 2016 and submitted as an annex to the Project Document. There is no indication in the inception report that the baseline assessments were reviewed or validated at the inception workshop.

The PMU is uncertain whether it is required to continue making tracking tool assessments, considering the GEF Secretariat decision to discontinue most of the tracking tools in the GEF-7 replenishment cycle and discussions among the SGP global management team. During the MTR mission and in consultation with the UNDP-GEF SGP UCP Global Coordinator, it was decided that the PMU prepare midterm assessments of the tracking tools. The midterm assessments reviewed were draft versions and had not yet been cleared by the UNDP-GEF SGP UCP Global Coordinator.

Biodiversity (BD) tracking tool: A few observations from the baseline BD tracking tool: (a) tourism should be one of the production sectors covered by the project; (b) the breakdown of the indicated cumulative 67,000 ha of landscapes/seascapes directly covered by the project is not provided; and (c) only two protected areas were indicated being within the landscapes/seascapes: Wakatobi National Park and the Nantu-Boliyohuto National Park (Gorontalo). In fact, the Sawu Sea Marine National Park (Taman Nasional Perairan Laut Sawu, WDPA ID: 555511970) encompasses much of Semau Island, and the Nusa Penida Marine Recreation Park (Taman Wisata Perairan Nusa Penida, WDPA ID: 555587241) completely encompasses Nusa Penida.

The midterm tracking tool indicates that 4,303.67 ha are under reforestation/farmer managed natural regeneration (Section III); the figure foreseen at project start was 10,000 ha. The midterm figure includes 2,587.18 ha of reforestation in Wakatobi and 1,042.49 ha in Nusa Penida. These areas are earmarked for reforestation or managed natural regeneration. The midterm assessment also indicates that apart from reforestation/farmer managed natural regeneration, agro-ecological practices are included. The interpretation of how to report progress by midterm should be discussed with the UNDP-GEF SGP UCP Global Coordinator. Some of the information included on policy and regulatory frameworks in Park IV should be reconsidered. For instance, while biodiversity considerations are most likely included in Indonesia forestry sector policy it is uncertain why the midterm assessment indicates “No”. There is also specific agriculture, fisheries and forestry legislation that considers biodiversity.

Climate Change Mitigation (CCM) tracking tool: Estimates of lifetime direct and indirect greenhouse gas (GHG) emissions avoided are based on improved cook stove efficiencies. The project has delivered 30 improved cook stoves and anecdotal evidence has indicated that less firewood is being used in these units. As discussed earlier in this report, the strategy for Component 2 is being reassessed; the baseline tracking tool should be reconsidered after a decision is reached on changes to the strategy regarding the type and number of renewable energy and energy efficient systems.

Land Degradation (LD) tracking tool: The baseline LD tracking tool contains information on the number of direct beneficiaries, household income and production system spatial areas. It would be advisable to validate the baseline information with the baseline information gathered as part of the landscape strategies, cross-reference to the baseline conditions included in the project results framework, and document the assumptions made and information sources used.

3.3.5 Stakeholder Engagement and Partnerships

The GEF-SGP has built up a broad partnership network through more than 25 years' operating in Indonesia. The project is clearly benefiting from this comparative advantage, effectively facilitating the project strategy predicated on implementing bottom-up approaches at the grassroots level that influence landscape-level improvements in the management of biodiversity and ecosystems.

Experienced partners are supporting the project through a wide range of activities, including baseline assessments and landscape strategies, knowledge management, M&E, marketing, etc. The selected host organizations in the four landscapes have extensive experience mobilizing local stakeholders, and the GEF funds are supporting these organizations in strengthening multi-stakeholder platforms. In contrast to many other GEF-financed projects, stakeholder engagement primarily includes civil society organizations, both domestic and international organizations, including WWF, RARE and others. With respect to governmental stakeholders, the host organizations are working closely with village leaders. As a result of the decentralization policies introduced a few years ago in Indonesia, villages are more autonomous than in years past, having fairly wide discretion on spending the allocated governmental funding. Project partners are involving kabupaten level officials in the target areas; it would be advisable to expand involvement with the kabupaten leaders and sectors, consistent with the landscape approach being promoted on the project. There is also room for improvement with respect to engaging with protected area management administrations operating within and near the target landscapes.

The global reach of the GEF-SGP provides an effective platform for South-South cooperation. The project manager (national coordinator) has actively participated in global GEF-SGP seminars and other learning experiences and sharing lessons learned in Indonesia with other countries. The project design was informed by the experiences and lessons learned from the COMDEKS project in Semau. The PMU has been consulted in the current development of a full-sized GEF project on social forestry in Indonesia (GEF ID 9600), discussing community level activities, selection of sites and possible synergies. Lessons learned and results from earlier UNDP-GEF projects were considered in the design and implementation of the project. The Strengthening Community-based Forest and Watershed Management (GEF ID 3443), for example, worked in NTT province and facilitated a draft provincial regulation on incentives for ecosystem services. It would be advisable to inquire with provincial officials on the status of this regulation and to explore opportunities for having local communities in the Semau landscape benefit accordingly.

The project is doing a good job at public awareness, particularly within the local communities. Strengthening multi-stakeholder partnership platforms is one of the key performance metrics among the target landscapes.

Private sector engagement is reflected among the partners retained for specific services, including Principia for facilitating systems thinking training and application for local partners, IMPRO for supporting production of audiovisual knowledge products and Ideja-Asia for production of printed knowledge products. The private sector is also represented among the members of the project steering committee. One of the activities being implemented in the Nusa Penida coastal landscape involves engaging with the private sector company distributing bottled water to the island, as this is the one of the main sources of plastic waste. The project should explore opportunities for mobilized investments from the private sector; for example, private sector forestry and mining companies are operating in the Gorontalo landscape. Private sector involvement is an important element of the land degradation neutrality (LDN) approach, something being promoted in the GEF-7 programming directions.

3.3.6 Reporting

There has been one project implementation review (PIR) report produced to date, for the period covering June 2017 through June 2018. The PIR report addresses challenges the project has faced, including the delay in having the government of Indonesia approve the project. The ratings applied in the 2018 PIR were "moderately satisfactory" for progress toward development objective, and "moderately satisfactory" with respect to implementation. The overall risk rating was "low". The PIR report was presented to and discussed with the PSC during an online meeting and the final version was sent to the PSC members by email.

The 2018 PIR report also outlines the challenges the project has faced in recruiting qualified experts on silvopastoral systems; this aspect of the project strategy should be reconsidered, similar to the approach taken to consider the current priorities associated with renewable energy and energy efficient systems. The project has retained the services of the UGM university to carry out pre-feasibility studies in each of the target landscapes to develop recommended interventions for community-driven low emissions systems.

Detailed baseline assessments were completed for the four target landscapes shortly after implementation started in mid-2017. The baseline assessments along with landscape strategies were reported to the project steering committee in February 2018. The landscape strategies are following the general approaches outlined in the Project Document, but

certain adaptive management measures will need to be implemented, for example, in regard to the expectations associated with silvopastoral systems and community-driven low emission systems.

3.3.7 Communications

The project has done a good job with communication, both internal and external. Social media is being used effectively as an internal communication tool, e.g., several WhatsApp groups have been established. The knowledge management platform KMOL is also an online tool for uploading project information, photographs, stories, etc. Apart from social media and online communication, the project partners are facilitating firsthand knowledge-sharing through grantee meetings, socialization events, Terasmitra workshops, book launching, systems thinking training, etc.

GEF-SGP Indonesia maintains a website (www.sgp-indonesia.org), which includes information on the current operational phase (VI) and previous phases. Calls for proposals are announced on the website, publications are uploaded and some information on events is included.

The PSC meetings have provided a communication platform for keeping PSC members informed of project progress and information on grant proposals.

With extensive experience gained during the previous GEF-SGP operational phases, the project is implementing a commendable knowledge management approach. Information on project interventions is regularly collected and knowledge products have already started to be produced. The four landscape strategies include landscape-specific knowledge management plans. Two books have been published, one on weaving and one including stories written by youth from the target landscapes. A long movie showcasing the true story of three women was produced by the company IMPRO; this film is planned to be disseminated through national and/or international film festivals. And, six documentary films have been produced by the company Sitas Desa with cofinancing support from ICCA-GSI. These ICCA films have been reportedly been disseminated in GEF-SGP and ICCA-GSI events, on YouTube and on the GEF-SGP global channel.

A communication strategy is one of the indicators under Component 1; it would be advisable to prepare the strategy, indicating the various communication and knowledge management approaches being implemented, including information on target audiences, dissemination plans, partners involved, etc.

3.4 Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under GEF criteria each sustainability dimension is critical, i.e., the overall ranking cannot be higher than the lowest one among the four assessed risk dimensions.

Overall:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

One of the key strengths of the project is the focus on the well-being of the local communities in the target landscapes, and the landscape strategies provide practicable frameworks for strengthening the social-ecological resilience of the ecosystems that these communities are dependent upon. Engaging local partners in implementing interventions at the grassroots level enhances the likelihood that the results will be sustained after project closure. The enabling environment is also being strengthened through building capacities from the bottom up, establishing multi-stakeholder governance platforms and facilitating support in the form of technical assistance, strategic planning, marketing and business training and knowledge management. The long-standing implementation of the GEF-SGP in Indonesia further enhances the likelihood for sustainability of project results; local beneficiaries will have the opportunity to continue to benefit from the vast network of partners throughout the country.

Each of the four target landscapes are situated within key biodiversity areas (KBAs) and in or near national or provincial protected areas; this increases the likelihood that governmental and donor support will continue. On the other hand, there are increasing threats to natural resources and ecosystem services in these landscapes, including from tourism, forestry, mining, unsustainable fishing and climate change. Strengthening social-ecological resilience on a landscape-scale is the right approach for overcoming these threats; however, broad stakeholder involvement is required. The project has had limited involvement with kabupaten (and provincial) governmental stakeholders and there has been a general lack of alignment of the landscape strategies with governmental plans and strategies.

There are other factors that diminish the prospects of sustainability. Firstly, there are capacity constraints among the local partners, and it is unlikely that some of the interventions initiated will be able to be sustained without further external support. Moreover, changing behavior and overcoming cultural preferences and habits take time and require oversight.

Overall, the likelihood that benefits will continue to be delivered after project closure is rated as **moderately likely**. The following sections include considerations across the four sustainability risk dimensions, including financial, institutional and governance, socioeconomic, and environmental.

3.4.1 Financial Risks to Sustainability

Financial Risks:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

The underlying objective of the project – which is reflected in the landscape strategies – is strengthening the social-ecological resilience of the target landscapes. Achieving this result entails promoting sustainable production systems, increased awareness, and strengthened cooperation, which are envisaged to contribute towards strengthening and diversifying sustainable livelihood opportunities for local communities in the target landscapes. These efforts enhance the likelihood that results will be sustained after project closure. Substantive project resources are also allocated for improving marketing skills and strengthening and introducing partnerships for local producers.

Certain external factors are also affecting sustainability. For example, tourism is increasing in Nusa Penida and Wakatobi, and the NTT provincial government and the Kupang kabupaten government are promoting nature tourism, including for Semau island. If the landscape strategies are better aligned with these and other kabupaten plans and sector priorities, local communities would be involved in the decision-making processes at the local government level, and there would be a higher probability that benefits would flow to them.

The limited interaction with cofinancing partners in realizing synergies diminishes sustainability. This is not restricted to the cofinancing partners who confirmed cofinancing at project endorsement but other ones that are operating in the target landscapes.

The project has recognized the need to enhance business and marketing skills among the local partners. This is something the SGP has encountered throughout the previous operational phases. Even with training and mentoring on these aspects, it is unlikely that many of the local partners would attain sufficient capacity within the 4-year project timeframe to enable them to independently raise and manage funding moving forward. It would be prudent to identify this risk in a project exit strategy and identify partnership opportunities for ensuring further capacity development is extended to these partners after the project closure.

In summary, there are capacity constraints that limit the likelihood that local partners will be able to secure financial support to continue advancing the landscape strategies after project closure, rendering the prospect of sustaining project results moderately likely.

3.4.2 Socioeconomic Risks to Sustainability

Socioeconomic Risks:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

One of the key strengths of the project is the focus on the well-being of the local communities in the target villages. The PMU and the extensive partnership network developed over the years of implementing the GEF-SGP in Indonesia are ideally suited to implement this project.

Strengthening social-ecological resilience through development and implementation of the landscape strategies will certainly contribute towards enhancing the likelihood that socioeconomic risks will be mitigated moving forward. It would be advisable to expand stakeholder engagement during the second half of the project, e.g., among the governmental sector, to develop enabling partnerships.

Balancing economic development with social and environmental priorities among the target landscapes continues to be a challenge. For instance, expanding tourism is often accompanied with increased pressures on traditional ways of life and local ecosystems. This is something that Indonesian officials have experienced over the years and are trying to address. Similarly, the demand for the vast natural resources of Indonesia, including forest, marine and mineral resources, is often in conflict with conservation objectives, and the socioeconomic benefits to local communities are frequently not equitably distributed.

There are other socioeconomic issues that diminish the likelihood that project results will be sustained. For instance, the complex land tenurial systems across the target landscapes, as well as in other parts of Indonesia, make it difficult to reach landscape-scale consensus. The patrilineal nature of many of the communities affects the extent of involvement and decision-making authority among women.

Increasing awareness of farmers' rights is an important aspect that the project is addressing across each of the four landscapes. Addressing the intellectual property rights of indigenous (local) peoples could be improved. The project is implementing an impressive knowledge management approach and collecting and utilizing traditional knowledge is an integral part of the strategy. It is unclear, however, whether the indigenous (local) custodians of the knowledge genuinely understand how the traditional knowledge will be used, how it is being interpreted and transposed into written or video knowledge products, translated into Bahasa Indonesia language, etc.

The factors outlined above render the likelihood that project results are sustained as moderately likely, with respect to socioeconomic risks.

3.4.3 Institutional Framework and Governance Risks to Sustainability

Institutional Framework and Governance Risks:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

Strengthening governance structures on natural resource management in the target landscapes is an integral part of the project strategy. Facilitating participatory planning and monitoring and evaluation of the landscape strategies enhances sustainability. The likelihood of sustainability could be enhanced through strengthening and expanding stakeholder involvement, e.g., aligning the landscape strategies with local government plans and strategies, and linking up with community initiatives facilitated by the management administrations of the protected areas within and near each of the four landscapes.

The project has a strong emphasis on local governance, building new multi-stakeholder platforms and strengthening existing ones. These efforts significantly enhance the likelihood that project results will be sustained after GEF funding ceases.

Institutional framework and governance risks remain relevant, but the project is poised to address these during the second half of the project. At midterm, a rating of moderately likely is applied for this sustainability dimension.

3.4.4 Environmental Risks to Sustainability

Risks:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

The selection of project landscapes was partly made according to the vulnerability to expected impacts of climate change. For instance, the eastern regions of Indonesia receive lower levels of rainfall than in the west, thus more prone to droughts and water scarcity. Declaration of protected areas (PA's) within or near each of the four landscapes underscores commitment by the national and local government to protecting the relevant biodiversity and ecosystem services. And, the fact that the four target landscapes are each located within a key biodiversity area (KBA) (see **Table 20**) reinforces the project's contributions towards protecting globally significant biodiversity.

Table 20: Key biodiversity areas (KBAs) among project landscapes

Site ID	Site name	Area (ha)	Latitude	Longitude
15897	Nusa Penida	2,157	-8.73	115.53
15955	Semau	4,497	-10.22	123.40
16382	Wakatobi	44,964	-5.57	123.77
44780	Nantu (Gorontalo)	53,506	0.87	122.34

Strengthening community participation in biodiversity conservation is incorporated in the project strategy. Broadening stakeholder participation, e.g., with the PA management administrations, international NGOs such as WWF and RARE, who are operating in the Wakatobi landscape, would enhance the likelihood that project level initiatives will be sustained and scaled up. It is important that the project captures the additivity of the achievements made at the local scale, regarding delivering global environmental benefits across the target landscapes.

Strengthening social-ecological resilience further enhances the likelihood that project results will be sustained.

Sustainable water management is part of the landscape strategies for Semau, Nusa Penida and Wakatobi. There is room for improvement in development of strategic approaches to addressing sustainable water management and retaining the services of expert partners.

There remain substantive threats to biodiversity and ecosystem goods and services across the target landscapes, including unsustainable tourism, forestry, mining and fishing, as well as climate change. Implementing a landscape level

approach is an effective strategy for achieving meaningful reductions in threats. Realizing change takes time, and it is important that the project develops and facilitates the implementation of an exit strategy that ensures progress made through the incremental GEF funding is sustained moving forward.

A moderately likely rating has been applied for the environmental sustainability dimension at midterm.

4 Conclusions and Recommendations

4.1 Conclusions

The project is benefitting from an experienced PMU, tried and tested small grant administration procedures and an extensive network of qualified partners. The organizational strengthen in engaging with local communities is demonstrated through the short time needed to mobilize field interventions, which were initiated very soon after the grant agreements were administered with the local partners.

The large number of partners involved strengthens the inclusivity of the project, enhances the capacity development dimension by reaching more organizations and promotes the potential for a higher number of partnerships. There are challenges, however, associated with working with a high number of partners, e.g., it is more difficult to manage inputs, transactional costs could be higher with many small grants compared with fewer grants, and troubleshooting and mentoring require more resources.

The project has recognized the need to provide technical assistance to the host organizations and local partners. And, several innovative approaches are being used in the project, including application of systems thinking to help prioritize resource allocation, targeting the root cause of the specific issue being addressed. The online, formed-based monitoring and reporting system the project has instituted is another innovative practice and a good adaptive response to the higher number of partners having varying degrees of capacities. And, efficiency gains have been realized through the use of social media, such as WhatsApp groups.

The landscape strategies include some broader environmental and development level objectives, but the strategies only extend through the 4-year project implementation phase. Extending the strategies across a longer timeline, consistent with a theory of change for the project, which has not yet been developed, would be advisable. And, aligning the strategies with governmental programs and plans would provide clearer guidance on potential sustainable pathways towards achieving longer-term impacts. The strategies should also adopt a more incremental approach towards achieving the intended results, recognizing the capacities of the local partners, the time required to realize behavioral or cultural change and cost constraints.

The landscape strategies are promoting bottom-up approaches and, understandably, the village level leaders are the first line of government officials engaged in the field interventions. The host organizations are also involving, to varying degrees, the next level up of governmental officials, i.e., the kabupaten level; however, it would be advisable to expand involvement with kabupaten level sectors. The provincial level might be too high of a level for the host organizations to reasonably expect to engage with, but the PMU, with the assistance from the Ministry of Environment and Forestry, should reach out to the provincial level stakeholders, e.g., to the forest management units (FMUs) which have been recently upgraded from kabupaten to province level. The FMUs are implementing the governmental programs on social forestry and rehabilitation of degraded and deforested lands.

The project design does not sufficiently describe how the project is aligned to national priorities and programs. This is also reflected in the limited involvement with the governmental sector to date. The MTR consultant does recognize the mission of the GEF-SGP to engage at the grassroots level; however, implementing landscape approaches require broad stakeholder involvement.

Some of the performance metrics included in the project results framework are unrealistic. For certain indicators, the end targets could be appropriate for longer-term impacts, but not for what is reasonably expected to be achieved over the 4-year duration of the project. The project targets regarding greenhouse gas (GHG) emissions avoided that were estimated in the Project Document (e.g., CCM tracking tool) are unlikely to be achieved, as the energy efficiency field interventions will most likely be considerably fewer in number than envisaged. The strategic approach for Component 2 on low-emission development is inconsistent with current circumstances and the needs of the local communities in the target landscapes. The project has engaged the UGM university to carry out pre-feasibility studies in order to provide recommendations on specific interventions at the local level. It seems that the added value the project is best positioned to deliver in this respect is to strengthen the enabling environment for participatory, small-scale low-emission approaches that can be scaled up across the four landscapes based upon lessons learned and best practice guidelines produced from the demonstrations completed during the project implementation timeframe.

The project knowledge management approach is commendable, initiated concurrently and collaboratively with the field interventions. This is in distinct contrast to the common practice of distilling results near the end of a project, rather than integrating knowledge management into the implementation of the project.

An estimated USD 7.49 million of cofinancing has materialized through midterm, which is about 64% of the USD 11.75 million confirmed at CEO endorsement. Apart from the in-kind cofinancing from the grantee organizations, UNDP cofinancing from TRAC funds, and top-up grant cofinancing from the ICCA-GSI program, there is limited evidence of how the cofinancing from other partners is being integrated into project implementation. And, there is no tracking of new cofinancing mobilized during project implementation.

Through 28 February 2019, a total of USD 1,245,502, or 35% of the USD 3,561,644 GEF implementation grant have been incurred. If delivery is sustained in 2019 and 2020 similar to the impressive achievements in 2018, then the project has a good chance of meeting the financial delivery objectives by the planned closure date of June 2021. Behavioral change takes time and it will be important that proactive sustainability structures are put in place and a practical exit strategy and action plan are developed during the second half of the project to ensure the results attained catalyze sustained action along the causal pathways towards achievement of the long-term impacts.

4.2 Recommendations

No.	Recommendation	Responsibility
1.	<p>Ensure that project interventions and landscape strategies are aligned with governmental programs and plans, and strengthen involvement of governmental level stakeholders.</p> <p>Some examples to consider include the following:</p> <ol style="list-style-type: none"> The MTR consultant suggests that representatives from the target landscapes be included on the project steering committee as members or at least as observers; this would help facilitate improved interaction with local governmental stakeholders, possibly identify additional cofinancing opportunities and enhance the likelihood that results will be sustained. Facilitate validation of landscape strategies by kabupaten officials. Involve kabupaten level sectors, e.g., conservation, fisheries, water resources, agriculture, poverty alleviation, energy, gender, etc., on multi-stakeholder governance platforms. Identify specific policies and strategies for the biodiversity mainstreaming objectives and follow-up with regular advocacy. Engage with provincial level forest management units (FMUs) in the government program on land rehabilitation and reforestation and the social forestry program, and advocating for strengthening the enabling environment for implementing land degradation neutrality (LDN) approaches. Engage with local and/or provincial governmental partners in the energy sector, e.g., to explore possibilities for matching funds for local renewable energy interventions, delivering training on energy related issues, developing partnerships for operation and maintenance of small-scale renewable energy systems, etc. 	NSC/PSC, PMU, UNDP, governmental sector stakeholders
2.	<p>Update the landscape strategies according to a theory of change for the project, integrating global environmental benefits generated by the project and reconciling the scope and timeframe of the strategies, according to the capacities of the local partners, time required to achieve behavioral and cultural change.</p> <p>A draft theory of change is included in the MTR report. The project should confirm the intermediate states envisaged in the causal pathways in achieving long-term impacts, verify the relevant impact drivers and assumptions, and reflect these aspects in updated landscape strategies.</p>	PMU, host organizations, expert partners
3.	<p>Update the strategic approach for responding to barriers hindering implementation of low-emission development in the target landscapes (Component 2).</p> <p>Based on the results of the pre-feasibility studies being carried out by the UGM university and other information gathered during the first half of the project, there is a pressing need to formulate an updated strategic approach for Component 2, secure approval by the PSC and initiate implementation, as time is of the essence.</p>	PMU, NSC/PSC, host organizations, expert partners
4.	<p>Reconcile certain performance metrics and integrate gender mainstreaming objectives in the project results framework.</p> <p>The project results framework should be adjusted according to achievable outcome level results, according to the project theory of change, reflecting the updated strategic approach low-emission development (Component 2) and integrating the gender mainstreaming objectives. Some preliminary recommendations are included in the MTR report (see Annex 6). The GEF tracking tools should be updated according to adjustments to the project results framework; and the UNDP SGP UCP Global Coordinator should clear the midterm assessments of the tracking tools as part of the management response to the MTR recommendations.</p>	PMU, UNDP RTA, host organizations, expert partners
5.	<p>Expand and strengthen stakeholder engagement associated with the biodiversity dimension of the project.</p>	PMU and host organizations

No.	Recommendation	Responsibility
	In order to fulfill the community-driven conservation objectives of the project, it is important to strengthen engagement with enabling stakeholders. Each of the four landscapes are located either within or adjacent to national or provincial protected areas. Engagement with the PA management administrations and partners who are currently supporting community initiatives in these areas would be important. It would be advisable to invite these stakeholders onto the multi-stakeholder landscape governance platforms, where they can participate in or observe management effectiveness assessments, participate in community ranger training programs (such as the program supported by WWF for the Wakatobi marine national park), increase engagement with the cofinancing partner RARE in establishing territorial use right for fishing reserves in Wakatobi, etc.	
6.	Articulate and implement specific risk mitigation measures in response to the two issues characterized as moderate risk in the social and environmental screening at the PPG phase, namely gender equality and women's empowerment and indigenous (local) peoples. For example, it would be advisable to expand the gender analysis and action plan for the project, articulating how gender mainstreaming is an integral dimension of the project, not only covering issues at the activity level. A recommended mitigation measure for the indigenous peoples risk is to develop and implement an indigenous (local) peoples plan, that includes project-specific free, prior and informed consent (FPIC) procedures associated with collection and use of traditional knowledge.	PMU, gender specialist, host organizations, UNDP, ICCA-GSI
7.	Develop an exit strategy and action plan for the project. Using the project theory of change as a guiding framework, develop an exit strategy and action plan that identifies specific actions along the causal pathways, responsible parties and partnerships and funding opportunities.	PMU, host organizations, expert partners
8.	Extend technical assistance to local partners, supporting specific thematic areas. There are capacity shortcomings across the target landscapes on addressing certain thematic areas. It would be advisable to organize technical assistance for these areas, including but not limited to the following: sustainable water management for small island ecosystems, biodiversity mainstreaming, seaweed mariculture (for example, troubleshooting the disease and lower productivity, and also addressing the project target of establishing at least two seaweed processing centers).	PMU, host organizations, expert partners
9.	Develop a communication strategy that documents the communication and knowledge management approach implemented by the project. The project is implementing an inclusive and proactive communication and knowledge management approach, but a communication strategy has not yet been developed (one of the performance metrics in the project results framework). It would be useful to document the methods being used, identify the specific gaps in knowledge, attitudes and practices that are targeted, describe how information and knowledge is being shared, etc.	PMU, host organizations, expert partners
10.	Strengthen oversight support to the host organization in the Gorontalo landscape. The host organization in the Gorontalo landscape does not have the level of experience working with the GEF-SGP as compared to the host organizations in the other three landscapes. It would be advisable to increase oversight support in Gorontalo, ensuring that the work program is consistent with the objectives of the landscape strategy.	PMU

Annex 1: MTR Mission Itinerary

Date	Location	Description
Friday, 15 Feb 2019	Transit	MTR Consultant departs for Denpasar: BUD-DOH (QR200), DOH-DPS (QR092)
Saturday, 16 Feb	Denpasar	MTR Consultant arrives to Denpasar at 17:30, overnight at airport hotel
Sunday, 17 Feb	Denpasar – Kupang	MTR Consultant arrives to Kupang
Monday, 18 Feb	Kupang	Opening meeting with Executing Agency (YBUL) and PIKUL (NGO granted with facilitating NTT activities)
		Meet with local government and other project stakeholders
Tuesday, 19 Feb	Kupang, Sema Island	Field visit and interviews with local stakeholders at Sema Island, overnight in Kupang
Wednesday, 20 Feb	Kupang - Kendari	Travel Kupang to Jakarta; Interview project manager and other PMU staff
Thursday, 21 Feb	Kendari - Wakatobi	Travel from Jakarta to Wakatobi
		Meeting with local government and other project stakeholders
Friday, 22 Feb	Wakatobi - Kaledupa	Field visit and interviews with local stakeholders at Kaledupa
		Return to Wangi-wangi Island
Saturday, 23 Feb	Wangi-wangi - Jakarta	Travel from Wangi-wangi Island to Jakarta
		Desk review, consolidate field findings
Sunday, 24 Feb	Jakarta	Desk review, consolidate field findings
Monday, 25 Feb	Jakarta	Interviews with UNDP CO staff
		Interviews with YBUL project management team
		Interviews with Ministry of Environment and Forestry
		Interviews with project partners
Tuesday, 26 Feb	Jakarta	Interviews with UNDP focal point
		Skype/Telephone interview with Global ICCA Support Initiative, Rare and other cofinancing partners
		MTR debriefing
Wednesday, 27 Feb	Jakarta departure	MTR Consultant departs Jakarta 00:25: CGK-DOH (QR955), DOH-BUD (QR199)

Annex 2: List of Persons Interviewed

Name	Position	Organization
Ms. Laksmi Dhewanti	GEF Operational Focal Point	Ministry of Environment and Forestry
Ms. Sophie Kemkhadze	Deputy Resident Representative	UNDP Indonesia
Mr. Agus Prabowo	Head of Environment Unit	UNDP Indonesia
Mr. Anton Sri Probiyanto	County Office Focal Point	UNDP Indonesia
Mr. Nick Remple	UNDP-GEF Regional Technical Advisor	UNDP
Mr. Mathias Ola	Project Implementing partner	Yayasan Bina Usaha Lingkungan (YBUL)
Ms. Catharina Dwiastarini	National Coordinator	SGP Indonesia (YBUL)
Mr. Hery	Finance Officer	SGP Indonesia (YBUL)
Ms. Meinar Sapto	Program Assistant	SGP Indonesia (YBUL)
Mr. Agus Rusly	Deputy Director for Climate Change Negotiation Facilitation	Ministry of Environment and Forestry, Directorate for Sectoral and Regional Resources Mobilization for Climate Change
Mr. Hary Kushardanto	Project Director	RARE
Mr. Terence Hay-Edie	Programme Advisor for Biodiversity	ICCA GSI
Mr. Sugiyanta	Wakatobi Office Director	SESS-WWF
Ms Shirley Suhenda	Executive Director	Principia
Ms. Almira Rahma	Program Assistant	Principia
Ms. Ery Damayanti	Vice President	Kaoem Telapak
Mr. Candra Kusuma	Researcher	Process Institute
Mr Tejo W	Director	Indonesia Berseru
Ms Ida Pardosi	Program Manager	Indonesia Berseru
Mr. Derajad Sulistyo Widhyarto, S.Sos., M.Si	Lecturer and researcher	Universitas Gadjah Mada (UGM)
Nusa Penida:		
Ms. Denik Purwanti	Director of Wisnu Foundation	Host Institution – Wisnu Foundation
Mr. Gde Sugiarta	Programme Manager	Wisnu Foundation
Wakatobi:		
Mr Joharis Hardin	head of the sub-section of the economy	District Government
Mr Jamuddin	Staff of Environmental Service	District Government
Mr La Salama	Head of Sub district	Sub District Government
Mr Askal Sumera	Staff of Bappeda	District Government
Ms. Nurmayanti	Program Coordinator	Host Institution – FORKANI
Mr. La Beloro	Programme Manager	Host Institution – FORKANI
Mr. Hasanuddin	Programme Finance	Host Institution - FORKANI
Mr. Mursiati	Programme Manager	Host Institution – LAWA TOUDANI
Mr. Tamrin Tahir	Program Coordinator	Host Institution – LAWA TOUDANI
Mr. Roman	Programme Finance	Host Institution – LAWA TOUDANI
Mr. La Tao	Programme Manager	Koperasi Usaha Nelayan Mantigola

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Name	Position	Organization
Mr. Edi Harto	Program Coordinator	Koperasi Usaha Nelayan Mantigola
Ms. Dita septian kamal	Programme Finance	Koperasi Usaha Nelayan Mantigola
Mr. Jambo saputra	Programme Manager	Kelompok Toudani
Mr. Ld. Hermawan Susanto	Program Coordinator	Kelompok Toudani
Mr. Fajar Afdal Pratama	Programme Finance	Kelompok Toudani
Mr. Bambang Muliadi	Programme Manager	Yanmar Horuo
Mr. Pangki	Program Coordinator	Yanmar Horuo
Ms. Nuriati U	Programme Finance	Yanmar Horuo
Mr. Hasmin	Programme Manager	Kelompok Panglima
Ms. Nila Yuningsih	Program Coordinator	Kelompok Panglima
Ms. Murti	Programme Finance	Kelompok Panglima
Semau:		
Mrs. Agustina Wijayanti	Secretary of Bappeda	Bappeda
Mr. Meserasi Ataupah	Head of Bappeda	Bappeda
Mr. Torry Kuswardono	Director	PIKUL
Ms. Septiani C Suyono	Knowledge Management Officer	PIKUL
Ms. Megawati Liu	Project officer	PIKUL
Mr. Roberth Asbanu	Program Staff	Yayasan Alfa Omega
Ms. Rini Meir	Program Staff	Yayasan Alfa Omega
Ms. Brigita Rumung	Program Staf	Yayasan Alfa Omega
Ms. Conny Tiluata	Program Coordinator	Tafena Tabua
Mr. Arry Pellokila	Program Coordinator	Geng Motor IMUT
Ms. Yuliana weni Duan	Program Staff	Geng Motor IMUT
Ms. Kartika C K Lay	Program Staff	Geng Motor IMUT
Mr. Emanuel Sardedi	Program Staff	Geng Motor IMUT
Mr. Zadrak Nenu	Program Staff	Geng Motor IMUT
Mr. Rame Bunga	Program Coordinator	CIS Timor
Mrs. Lenny M Mooy	Program Coordinator	Kupang Batanam
Mr. Andry Anakay	Program Staff	Kupang Batanam
Mr. Reymon A Fangidae	Program Staff	Kupang Batanam
Ms. Neta Kore Bangngm	Program Staff	Kupang Batanam
Mr. Desron Lafu	Member Staff	Dalen Mesa
Mr. Uniasis Lafu	Head community	Dalen Mesa
Mr. Okfin Nalle	Member Staff	Dalen Mesa
Mr. Yenince Lafu	Member Staff	Dalen Mesa
Mr. Petrus Pono	Head Community	Sinar Karya
Mr. Alfius D Thon	Member Staff	Sinar Karya

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Name	Position	Organization
Mr. Bernadus Radja	Head	Kelompok Madu Sesawi
Mr. Gerson Lilong	Member Staff	Kelompok Madu Sesawi
Mr. Oninus Lilong	Member Staff	Kelompok Madu Sesawi
Mr. Bernadus Lilong	Member Staff	Kelompok Madu Sesawi
Mr. Arefan Laitabuan	Member Staff	Kelompok Madu Sesawi
Ms. Yuliana Lilong	Member Staff	Kelompok Madu Sesawi
Ms. Fia Adirana Laikupan	Member Staff	Kelompok Madu Sesawi
Ms. Yei Lilong	Member Staff	Kelompok Madu Sesawi
Ms. Matelda Lilong	Member Staff	Kelompok Madu Sesawi
Mr. Yohan Lilong	Member Staff	Kelompok Madu Sesawi
Mr. Reza Niti	Member Staff	Desa Uiboa
Ms. Yohana Niti	Member Staff	Desa Uiboa
Gorontalo:		
Mr. Sugeng Sutrisno	Board of JAPESDA	Host Institution-JAPESDA

Annex 3: List of Documents Reviewed

1. Project Identification Form (PIF)
2. UNDP Project Document
3. GEF CEO Endorsement Request
4. UNDP Environmental and Social Screening results
5. Project inception report
6. Annual work plans for each year of implementation
7. Annual financial project reports (combined delivery reports - CDR), broken down by components and project management
8. Cofinancing records
9. Project Implementation Report (PIR)
10. Quarterly Progress Reports (QPRs)
11. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm
12. Consultancy products (report, technical studies, etc.)
13. Project Steering Committee meeting minutes
14. Spot-check reports
15. Knowledge products
16. Monitoring reports by the project
17. Landscape strategies (4)
18. List of grants administered through midterm
19. Gender analysis
20. Pre-survey reports on low-emission development baseline information in the four target landscapes
21. Knowledge products
22. UNDP Country Programme Document (CPD) 2016-2020
23. Government-United Nations Partnership for Development Framework (UNPDF) 2016-2020
24. Indonesia National Medium-Term Development Plan 2015-2019 (RPJMN)
25. Indonesian Biodiversity Strategy and Action Plan 2015-2020
26. The Fifth National Report of Indonesia to the Convention on Biological Diversity, 2014
27. National Action Programme (NAP) for Combatting Land Degradation in Indonesia, 2002
28. Indonesia – Land Degradation Neutrality National Report, 2015
29. National Mitigation Action Plan on Greenhouse Gas Emission Reduction (RAN-GRK), 2011
30. National Adaptation Action Plan on Climate change (RAN-API), 2014
31. Indonesia Voluntary National Review (VNR), “Eradicating Poverty and Promoting Prosperity in a Changing World”, 2017
32. Indonesia: Human Development Indices and Indicators: 2018 Statistical Update

Annex 4: Evaluation Matrix

Evaluation theme	Questions	Sources	Methodology
Project Strategy			
Project Design:	To what extent is the project suited to local and national development priorities and policies?	National development strategies, sector plans, medium term development plan, Project Document	Desk review, interviews
Project Design:	To what extent is the project in line with GEF operational programs?	GEF focal area strategies, project design, PIR reports	Desk review, interviews
Project Design:	To what extent are the objectives and design of the project supporting environment and development priorities?	UNPDF, UNDP CPD, multilateral environmental agreements, etc.	Desk review, interviews
Project Design:	Does the project design remain relevant in generating global environmental benefits?	GEF strategies, national and subnational development plans, PIF, Project Document, CEO endorsement request, reviews, PIRs	Desk review, interviews
Results Framework:	Does the results framework fulfil SMART criteria and sufficiently captures the added value of the project?	Strategic results framework, tracking tools, inception report, PIRs	Desk review, interviews
Results Frameworks:	What changes could be made (if any) to the design of the project in order to improve the achievement of the project's expected results?	SMART analysis of results framework, current national and local development strategies	Desk review, interviews
Mainstreaming:	How are broader development objectives are represented in the project design?	Project Document, social and environmental social screening procedure, gender action plan, work plans for community activities, training records, monitoring reports of community activities, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards Results			
Progress towards Outcomes Analysis:	Has the project been effective in achieving the expected outcomes and objective?	PIRs, self-assessment reports by PMU, annual reports, monitoring reports, output level deliverables, midterm tracking tool, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards results:	To what extent has the project increased institutional capacity to sustainably manage the national protected area system?	Progress reports, national and local development strategies, etc.	Desk review, interviews, field visits.
Progress towards results:	How has the project been able to influence monitoring and evaluation associated with landscape/seascape conservation and management?	Progress reports, national and local development strategies, budget allocations, increased level of awareness	Desk review, interviews, field visits
Risk management:	What were the risks involved and to what extent were they managed?	Project Document, risk log, progress reports	Desk review, interviews, field visits

Evaluation theme	Questions	Sources	Methodology
Lessons learned:	What lessons have been learned from the project regarding achievement of outcomes?	Progress reports, lessons learned reports, back-to-office reports	Desk review, interviews
Remaining Barriers to Achieving the Project Objective:	How are the project outputs addressing key barriers?	PIRs, annual reports, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Project Implementation & Adaptive Management			
Management Arrangements, GEF Partner Agency:	How were lessons learned on other projects incorporated into project implementation?	PIRs, project steering committee meeting minutes, audit reports, feedback obtained during MTR mission	Desk review, interviews
Management Arrangements, Executing Agency/Implementing Partner:	How effective has adaptive management been, e.g., in response to recommendations raised by project steering committee?	PIRs, project steering committee meetings, feedback obtained during MTR mission	Desk reviews, interviews
Work Planning:	Are milestones within annual work plans consistent with indicators in strategic results framework.	Project Document, multi-year work plan, annual work plans, PIRs, financial expenditure reports, feedback obtained during MTR mission	Desk review, interviews
Finance and Cofinance:	How efficient has financial delivery been?	Financial expenditure reports, combined delivery reports, audit reports, project steering committee meeting minutes, PIRs, midterm cofinancing report, feedback obtained during MTR mission	Desk review, interviews
Cost-effectiveness:	How cost-effective have the project interventions been?	Analysis of progress towards results, financial delivery	Desk review, interviews, field visits
Project-level Monitoring and Evaluation Systems:	How timely has implementation of adaptive management measures been?	PIRs, midterm tracking tools, monitoring reports, annual progress reports, self-assessment reports by PMU, project steering committee meeting minutes, feedback obtained during MTR mission	Desk review, interviews, field visits
Stakeholder Engagement:	How inclusive and proactive has stakeholder involvement been?	Stakeholder involvement plan in the Project Document, meeting minutes, records of exchange visits, stakeholder feedback obtained during MTR mission	Desk review, interviews, field visits
Partnership Arrangements:	How effective have partnership arrangements been?	Partnership agreements, contracts, progress reports, cofinancing realized	Desk review, interviews, field visits
Local Capacity Utilized:	Has the project efficiently utilized local capacity in implementation?	Contracts, financial expenditure records, progress reports	Desk review, interviews, field visits
Reporting:	Adaptive management measures implemented in response to recommendations recorded in PIRs.	PIRs, annual progress reports, midterm tracking tools, output level project deliverables, feedback obtained during MTR mission	Desk review, interviews
Communication:	Project information is effectively managed and disseminated.	Internet and social media, press releases, media reports, statistics on awareness campaigns, evidence of changes in behavior, feedback obtained during MTR mission	Desk review, interviews, field visits
Sustainability			

Evaluation theme	Questions	Sources	Methodology
Risk Management:	How timely has delivery of project outputs been?	Project Document, risk logs, PIRs, project steering committee meeting minutes, feedback during MTR mission	Desk review, interviews
Lessons Learned:	What lessons can be drawn regarding sustainability of project results, and what changes could be made (if any) to the design of the project in order to improve sustainability of project results?	Progress reports, monitoring and evaluation reports, feedback from stakeholders, current national and local development strategies and sector plans	Desk review, interviews, field visits
Financial Risks to Sustainability:	How has the project addressed financial and economic sustainability? Are recurrent costs sustainable after project closure? What evidence is available that demonstrates budget allocations have been or will be made to sustain project results?	Budget allocations, progress reports, government publications	Desk review, interviews, field visits
Socioeconomic Risks to Sustainability:	What incentives are in place or under development to sustain socioeconomic benefits? What evidence is available that demonstrates capacities and resilience of local communities have been strengthened?	Project outputs realized, progress reports	Desk review, interviews, field visits
Institutional Framework and Governance Risks to Sustainability:	How have management plans and other approaches promoted by the project been integrated into institutional frameworks? What is the operating status of multi-stakeholder governance platforms? What is the level of ownership of approaches promoted by the project? What policies are in place that enhance the likelihood that project results will be sustained?	Tracking tool, training records, evidence of policy reform, governance platform records	Desk review, interviews, field visits
Environmental Risks to Sustainability:	What evidence is available that demonstrate reduction of key threats to biodiversity and ecosystems? Have any new environmental threats emerged?	Tracking tool, budget allocations, training record, statistics on awareness campaigns	Desk review, interviews, field visits
Progress towards Impact			
Environmental stress reduction	What evidence is available that demonstrates progress towards environmental stress reduction?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Environmental status change	What evidence is available that demonstrates progress towards environmental status change?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Community well-being	What evidence is available that demonstrates progress towards improving community well-being?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Policies	What evidence is available that demonstrates progress towards changes in policies?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits

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Evaluation theme	Questions	Sources	Methodology
Governance mechanisms	What evidence is available that demonstrates progress towards changes in governance mechanisms?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Capacities	What evidence is available that demonstrates progress towards changes in capacities?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Unintended consequences	What unintended consequences have occurred?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits

Annex 6: Progress towards Results

Assessment Key:	Achievement Rating Scale:
Achieved	Ratings assigned using the following 6-point scale: highly satisfactory, satisfactory, moderately satisfactory, unsatisfactory, highly unsatisfactory
On target to be achieved	
Not on target to be achieved	
Unable to assess	

Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
Objective: To enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia					
A. Increased area of sustainably managed production integrating biodiversity conservation in one forested and three coastal landscapes	5,000 ha sustainably managed in the one forested and three coastal landscape	At least 47,000 ha with sustainable activities under implementation in the forested and coastal landscapes	Direct intervention Wakatobi: a. Coastal: 143 ha b. Forested: 2,587.18 ha Semau: 50 ha (land) Nusa Penida: a. Coastal : 245 ha b. Forested: 1,042.49 ha Gorontalo: a. Forested : 9,055 ha Direct Impact Forested Area: 355,323.89 ha Coastal area: 388 ha a. Project activities in Nusa Penida Island cover 6,020.71 ha in three hilly villages (Batukandik (2,166 Ha, Batumadeg (1,267.71 ha), Tanglad (1,524 ha) and one coastal village (Suana Village (1,063 ha)). b. Project activities in Semau Island cover 19,131 ha in 10 villages: Batuinan Village (513 ha), Hansisi Village (1,976 ha), Huilelot Village (2,356 ha), Uiasa Village (3,000 ha), Uitutuan Village (2,064 ha), Onansila Village (938 ha), Uitiuhana Village (2,626 ha), Uिताo Village (1,226 ha), Bokunusan (2,125 ha), and Letbaun village (2,307 ha). c. Project activities in Wakatobi Archipelago cover 1,797.18 ha in 5	On target	The four landscape strategies cumulative areas of 355,324 ha of terrestrial ecosystems and 388 ha of coastal ecosystems. According to project records, interventions under implementation through midterm cover 12,735 ha of terrestrial and 388 ha of coastal ecosystems.

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
			villages: Pajam Village (800 ha), Horuo Village (950 ha, Montigola Village (14.28 ha), Kulati Village (7.9 ha), and Wali Village (25 ha). d. Project activities in Goronto cover 318,445 ha in 3 villages: Juriya Village (910 ha), Saritani Village (312,400 ha), and Tumba sub-village at Tamaila Village (5,135 ha). e. Project activities in fish bank in Binongko, Tomia, and Kaledupa Isle, Wakatobi cover 143 ha. f. Project activities in Paguyaman watershed cover 9,930 ha.		
B. Increased number of producers participating in community-based adaptive landscape planning and management in one forested and three coastal landscapes	500 producers participating in community-based landscape planning and management processes	At least 2,500 producers participating in community-based landscape planning and management	a. Semau: 1,016 producers b. Wakatobi: 622 producers c. Nusa Penida: 118 producers d. Gorontalo: 509 producers	On target	The project has been effective in engaging producers among the four landscapes; a cumulative total of 2,265 is reported by midterm.
C. Increased number of communities, within the one forested and three coastal landscapes, participating in capacity development activities, to improve the social and financial sustainability of their organizations	500 livestock producers trained in silvopastoral systems. 25 CSO representatives participating in trainings to improve the financial and administrative sustainability their community organizations.	At least 1,000 producers trained in agro-ecological practices and systems. Up to 500 livestock producers trained in silvopastoral systems. At least 300 CSO representatives participating in trainings to improve the financial and administrative sustainability of their community organizations.	Agro-ecological a. Semau: 214 b. Nusa Penida: 76 c. Wakatobi: planning phase d. Gorontalo: 102 Silvopastoral : Planning Phase Financial and administrative: National : 16	On target (except for silvopastoral systems)	Training has been delivered to more than 300 producers on agro-ecological practices. Regarding silvopastoral systems, the project is assessing possibilities; however, the project has had challenges in recruiting expert advisory support. Uncertain if the silvopastoral end target is achievable, or in fact relevant for these landscapes. Financial and administrative training is recognized as a critical element to ensure the viability of the participating CSOs; 16 people have received training by midterm.
D. Increased number of knowledge sharing events and products	Not indicated	At least 12 workshops for knowledge sharing, exchange of experiences best practices, and fora in which project participants have participated	Knowledge Sharing events: a. National Level: 12 (Terasmitra Futura, System Thinking for Consortium, System Thinking for Consortium and Host Institution, Financial and Administration for Host Institution, Youth Writing Workshop, System Thinking for	On target	Several knowledge-sharing events have been organized with support of various partners. The project is benefitting from the extensive SGP network of NGOs and the organization's in-depth experience associated with knowledge management. Apart from

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
			<p>Host Institutions, STRIDE for Nusa Penida, STRIDE for Gorontalo, STRIDE for Kupang, STRIDE for Wakatobi, launching and discussion book of Weaving, Guardian of Identity, Launching and discussion book of From Sergai to Kefa)</p> <p>b. Terasmitra: 2 (Learning from the Eastern of Indonesia Programme for Youth and TM-Ability Movement (Proposal Development workshop for Difabel Organisation)</p> <p>c. Semau: 1 (Learning and sharing from the field experience – grantee partners meeting of Semau)</p> <p>d. Nusa Penida: 3 (grantee partners quarterly Meeting)</p> <p>e. Wakatobi: 5 (Grantee partners meeting)</p> <p>f. Gorontalo: 7 (Monthly meeting and socialization programme at grass root level)</p> <p>Product: National :</p> <p>a. 2 books (Weaving, Guardian of Identity and From Sergai to Kefa).</p> <p>b. One long movie with theme of women that has been produced by IMPRO. The movie told about three women story - based on true story from Banyumas, Yogyakarta, and East Nusa Tenggara. This movie will follow movie festival therefore the story of women activities that supported by SGP will spread all around the world</p> <p>c. 6 documentary film were produced through ICCA co-financing funding</p>		<p>knowledge-sharing events and meetings, the project has also facilitated production of two books, one long film and six documentary videos.</p>
Achievement rating, project objective:					Moderately Satisfactory

Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
Component 1: Resilient landscapes for sustainable development and global environmental protection					
Outcome 1.1: Community-based institutional governance structures and networks in place in three coastal and marine landscapes and one forested landscape (Gorontalo, Wakatobi Islands, Sema Island and Nusa Penida Island) for effective participatory decision making to achieve resiliency					
1.1.1. Increased number of multistakeholder governance platforms established and strengthened to support participatory landscape planning and adaptive management in one forested and three coastal landscapes	No multi-stakeholder governance platforms established in the four landscapes	At least four multi-stakeholder landscape governance platforms in place and functioning	<ul style="list-style-type: none"> a. Sema: Strengthening Village Committees and Planning to develop one Multi stakeholder Platform at district level b. Wakatobi: Strengthening 3 Forum ((Forkani and Foneb at Island Level and Forum Antar Pulau (Inter-Island Forum that forum for connecting 4 islands in Wakatobi)) c. Gorontalo: Strengthening Water Resources Management Platform in the Paguyaman River as one of members of Management Coordination team. 	On target	Multi-stakeholder platforms have been strengthened in three of the four landscapes; Nusa Penida is pending. Expanding the platforms with further inclusion of governmental and private sector stakeholders would enhance the likelihood that project results will be sustained after project closure.
1.1.2. Participatory landscape strategies and adaptive management plans for the one forested and three coastal landscapes	0 strategies to enhance social and ecological resilience of the one forested and three coastal landscapes	Four landscape management strategies and plans delineating landscape level outcomes and other elements	<p>Provided Grant to Kaoem Telapak Consortium and Process Institute to develop with four landscape/seascape strategies.</p> <p>Target achieved with four landscape/seascape strategies developed and approved by the NSC.</p> <p>Provided Grant to Principia to provide technical assistant for developing system thinking together with Consortium and Host Institutions for each issue at project level. Technical assistant from Principia also to give assistant of Host Institution for developing strategic based on its STRIDE (Strategic Alignment in Development Programme).</p>	Achieved	Four landscape strategies have been completed and approved by the project steering committee. The project has retained the services of Principia to continue to support the four host organizations through a systems-thinking approach, ensuring that implementation is aligned with underlying objectives. It would be advisable to update the strategies throughout the project and request the kabupaten local governments to validate the strategies.
1.1.3. Number and typology of community level and strategic projects developed and agreed by multi-stakeholder groups (together with eligibility criteria) as outputs to achieve landscape level outcomes	Four community-based projects identified and aligned with landscape strategies, identified and agreed by multi-stakeholder groups during the project lifetime and implemented by CBOs and NGOs in partnership with others in the four areas.	At least 16 community-based projects identified and aligned with landscape strategies	<ul style="list-style-type: none"> a. National : 1 (Kapas Ungu) b. Sema: 3 (Kupang Batanam, Dalem Mesa, GMI) c. NusaPenida: 3 (Kelompok Tenun Cepuk Buluh Sari, Desa Pekraman Nyuh Kukuh, Kelompok Petani rumput Laut – Dusun Semaya) 	On target	The project has been effective in mobilizing community-based projects in each of the four target landscapes. The activities are aligned with the landscape strategies; in some cases, the capacities of the local partners are inconsistent with the scope of the

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
	Traditional systems exist but weakened due to multiple factors.		d. Wakatobi: 8 (FORKANI, YANMAR, FONEB, POASSA NUHADA, PANGLIMA, KUN Mantigola, Lembaga Toudani, Lawa Toudani) e. Gorontalo: 3 (Wire-G, PKEPL, Marsudi Group) f. Planning grants were given to 6 youth group from Yogyakarta (Learn from Eastern Programme of Terasmitra). They conducted field visit, explore all of the possibilities for increasing community-based social enterprises in Wakatobi and Semau. Their full proposal will follow proposal screening in the end of March 2019		strategies. It would be advisable to adjust the strategies through an adaptive management approach and extend the timeframe of the strategies beyond the lifespan of the project.
1.1.4. Number of case studies on participatory adaptive landscape management	Not indicated	Four revitalized knowledge management systems Four case studies on participatory adaptive landscape management (one per landscape)	Provided grant to Kapas Ungu to document all of finding traditional knowledge at grass root level for each targeted area. At National Level, SGP and Lite Institution developed knowledge management platform called by KMOL (Knowledge Management Online Learning) and Kobo Tool Box for gathering all of information at project and grass root level. SGP will give grant to institution for analysing and writing report from field finding although Kaoem Telapak has been developed several visual documentations as part as monitoring process. Kaoem Telapak also document all of visual traditional knowledge as part as monitoring and evaluation process.	On target	One of the key strengths of the project is the proactive approach towards knowledge management. The project has mobilized support services from organizations to collect traditional knowledge at the local level, to develop an online system to manage the information, and to analyze and report on traditional knowledge. It would be advisable to implement a project specific free, prior and informed consent (FPIC) process, to insure local communities understand and consent to the how their knowledge is being collected and used.
Achievement rating, outcome 1.1:					Satisfactory
Outcome 1.2: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems					

Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
1.2.1. Increased area under protection for biodiversity conservation and sustainable use	Four community-based projects for biodiversity conservation and sustainability used in the three coastal and marine landscapes and one forested landscape	Approximately 10,000 hectares managed as marine and/or terrestrial community conservation areas	Fish Bank: <ul style="list-style-type: none"> a. Kaombo (Binongko Island): 12 ha b. Karang Kaledupa (Kaledupa Island) : 75 ha c. Kulati Village (start from Tanjung Liang Kuri-kuri to Tanjung HonghaTomia Island): 33 ha Seaweed Production: Nusa Penida : 245 ha	Marginally on target	The project is actively working in the target landscapes on facilitating community conservation areas, including 3 potential fish banks covering a cumulative area of 120 ha. The 10,000-ha end target is inconsistent actual areas being considered.
1.2.2. Increased area under reforestation or farmer managed natural regeneration	0 hectares under reforestation or farmer managed natural regeneration 0 ha planted with trees/bushes in reforestation campaigns in one forested and three coastal landscapes	At least 10,000 hectares under reforestation or farmer managed natural regeneration At least 5,000 ha planted with trees/bushes in reforestation campaigns in the forested and three coastal landscapes	Semau : <ul style="list-style-type: none"> a. 35 ha (reforestation) b. 50 ha (farmer managed natural regeneration) Gorontalo: <ul style="list-style-type: none"> a. 100 ha (reforestation) b. 20,000 trees Wakatobi <ul style="list-style-type: none"> a. 3,213 trees (reforestation) 	Not on target	The project has initiated several activities on reforestation and tree planting to protect water sources in the target landscapes. The end targets do not match the scale of the work completed and under consideration. For example, in Semau one of the groups has planted 2,783 seedlings over an area of 1.43 ha. The project has identified 35 ha for reforestation and 50 ha for farmer managed natural regeneration. Activities area have also been started in Gorontalo and Wakatobi, at similar levels of scope. These figures are significantly lower than the end targets.
1.2.3. Increased area of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources	At least 55 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources At least 20,000 trees planted in agroforestry systems	At least 14,000 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources. At least 100,000 trees planted in agroforestry systems. At least 8,000 hectares of silvopastoral systems established.	Agro-ecological Practices Semau: 50 ha Gorontalo : 124 ha Wakatobi : planning process through Perkumpulan Indonesia Berseru (PIB) NusaPenida: Number of Trees Semau: Nusa Penida: 2,945 Wakatobi: Planning process through PIB Gorontalo: Silvopastoral systems : planning process	Not on target	Project activities have been initiated on agro-ecological practices in each of the four target landscapes, including 50 ha in Semau and 124 ha in Gorontalo. Agroforestry systems have also been initiated and under planning, with 2,945 trees planted through midterm in Nusa Penida. Silvopastoral systems are under consideration; however, it has been difficult to recruit qualified advisory support. The end targets on these interventions do not

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
					match the scale of work being implemented on the project.
Achievement rating, outcome 1.2:					Moderately satisfactory
Outcome 1.3: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices					
1.3.1. Number of multi-stakeholder groups active in the one forested and three coastal landscapes with strategies/plans for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No multi-stakeholder groups with a focus on landscape resilience engaged in analysis and planning of strategic approaches to upscaling successful experiences with ecotourism or commercial production of key agricultural products	At least four landscapes level multi-stakeholder groups involved in analysis of experience, lessons learned and development of strategies for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	1 Multi-stakeholder meeting facilitated by Terasmitra in Gorontalo	On target	One multi-stakeholder meeting facilitated by Terasmitra was held in Gorontalo. Discussions have started in the other landscapes, but it is early to analyze experiences and lessons learned, as project activities have been under implementation for approx. one year.
1.3.2. Number of community-based organizations established or strengthened in the one forested and three coastal land landscapes grouping individual community producer organizations in sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No strategy currently exists in any of the landscapes to enable and facilitate upscaling by community organizations of these economic activities based on the detailed analysis of successful SGP supported community experiences and identification of upscaling requirements and opportunities	At least 16 community-based organizations established or strengthened	a. Semau: 3 (through BDT (Belajar dari Timur programme) or Learning from Eastern Part programme) b. Nusa Penida: planning process for difabel groups c. Wakatobi : 3 (through BDT (Belajar dari Timur programme) or Learning from Eastern Part programme) d. Gorontalo: planning process for difabel groups	On target	The project has facilitated establishment and strengthening of community-based organizations in each of the four landscapes. Efforts will need to be accelerated in the second half of the project to reach the end target of 16.
Achievement rating, outcome 1.3:					Satisfactory
Outcome 1.4: Livelihoods of communities in the target landscapes are improved by developing eco-friendly small-scale community enterprises and improving market access					
1.4.1. Alternative livelihoods and innovative products developed through support of activities that promote market access as well as microfinance opportunities and other services	15 projects funded in previous operational phases.	At least 20 additional income generating activities being implemented that represent sustainable livelihood options	a. Wakatobi: 1 (Weaving activities) b. Nusa Penida : 4 (weaving, seaweed, developing merchandise for raising awareness of waste management, and organic farming) c. Semau : 4 (organic fertilizer activity, planting sorghum, planting red union, eco-tourism activity)	On target	The first round of grants has been disbursed to local partners in the target landscapes, and several of the grants are focused on facilitating income generating activities.

Midterm Review Report, 2019

Sixth Operational Phase of the GEF Small Grants Programme in Indonesia

UNDP PIMS ID: 5499; GEF Project ID: 9086

Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
			d. Gorontalo: 2 (developing cassava chips, banana chips, corn chips activities and fertilizer organic activity)		
1.4.2. Increased number of case study publications documenting lessons learned from SGP-supported projects	One case study publication prepared and disseminated in previous Operational Phases	At least three case study publications documenting lessons learned from SGP-supported projects	Book: 2 (Weaving, Guardian of Identity and From Sergai to Kefa)	On target	Documenting project experiences has already started, including publication of two informative books. The project is implementing a commendable knowledge management approach.
1.4.3. Traditional knowledge of native crop/livestock genetic resources documented and disseminated	Communication strategy outdated	Communication strategy under implementation	SGP provided grant to D-Panell to organise and develop content for managing social media of Terasmitra (SGP networking platform) Through KMOL and Kobo Tool Box, SGP can collect all of information from project level. Through STRIDE meeting every month by online system (skype or phone)	On target	The project has developed an online system, KMOL, for collecting information on project activities and results. The project is also efficiently using social media, including through Terasmitra (SGP networking platform) and WhatsApp groups. It would be advisable to document the communication and knowledge management approaches and practices into a strategy and action plan.
1.4.4. Farmers Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture discussed, and materials disseminated	Farmers Rights poorly understood	At least two knowledge fairs or workshops regarding genetic resources and farmers' rights At least one regional/national workshop on Farmers' Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture	Grant has been provided to Perkumpulan Indonesia Berseru (PIB) to held several kampung discussions at community level. 2 Kampung Discussions were held on: a. 31 Oct-2 Nov 2018 : Gorontalo (PIB and Japesda) b. 20-25 November 2018: Wakatobi (PIB and Forkani)	On target	The project has issued a grant to Perkumpulan Indonesia Berseru to increase awareness on farmers' rights and genetic diversity. Village schools (a series of trainings) have been organized in the first half of the project in two of the target areas: Gorontalo and Wakatobi.
Achievement rating, outcome 1.4:					Satisfactory
Component 2: Community-based integrated low-emission systems					
Outcome 2.1: Multi-stakeholder partnerships in place for managing the development and implementation of community-based integrated low-emission systems					
2.1.1. Increased number of multi-stakeholder partnerships for managing the development and implementation of community-	No partnerships currently established	Four partnerships established and functioning	On-going process through Gajah Mada University (UGM) networking.	On target	The objective of the pre-feasibility study being carried out by the UGM university is to update the project strategy regarding community-based integrated low

Midterm Review Report, 2019

Sixth Operational Phase of the GEF Small Grants Programme in Indonesia

UNDP PIMS ID: 5499; GEF Project ID: 9086

Indicator	Baseline	End of Project target	Self-assessment by PMU, Feb 2019	Midterm Assessment	MTR Assessment Justification
based integrated low-emission systems					emission systems. The process of conducting this pre-feasibility study involving stakeholder consultations and interactions with other partners is providing foundational guidance on establishment of the envisaged multi-stakeholder partnerships.
2.1.2. Targeted community grant projects (including strategic projects) to build the capacities of selected community organizations to plan strategically, operate efficiently, and monitor the use of renewable energy	No community members with the capacity to plan strategically, operate efficiently or monitor the use of renewable energy	30 community representatives have the capacity to plan strategically, operate efficiently and monitor the use of renewable energy	Conducting Pre-survey and assessment at grass-root level through Gajah Mada University Networking.	Not on target	There are have been no decisions made yet regarding the updated strategy for delivering community-based low-emission systems.
Achievement rating, outcome 2.1:					Moderately unsatisfactory
Outcome 2.2: Increased adoption (or development, demonstration and financing) of renewable and energy efficient technologies and mitigation options at community level					
2.2.1. Increased use of renewable energy technologies at a community scale implemented in the target landscape: i) increased numbers of fuel-efficient stoves in use; (ii) increased number of solar panels	Limited number of solar panel and other renewable energy applications to support HH needs and farming activities:	At least 500 fuel efficient stoves in use At least 200 solar panels installed and in use	Wakatobi: 30 stoves made by women group at household level and 4 stoves made by women group at community level in Binongko Island, Wakatobi	Not on target	The UGM university is carrying out a pre-feasibility study, updating the strategy for delivering renewable and energy efficient interventions in the target landscapes. This indicator should be revised according to the updated strategy.
2.2.2. Knowledge from innovative project experience is shared for replication and upscaling of community-based integrated low-emission systems across the landscape, across the country, and to the global SGP network	Negligible knowledge compiled or disseminated	At least five experiences evaluated, codified, and disseminated in appropriate media A model of innovative energy management for efficiency at selected villages established	Not yet	Not on target	Planned interventions under this outcome have not yet started.
Achievement rating, outcome 2.2:					Moderately Unsatisfactory

Annex 6: Suggested Modifications to Project Results Framework

Indicator	Baseline	End of Project target	Comments
Objective: To enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia			
A. Increased area of sustainably managed production integrating biodiversity conservation in one forested and three coastal landscapes	5,000 ha sustainably managed in the one forested and three coastal landscape	At least 47,000 ha with sustainable activities under implementation in the forested and coastal landscapes 47,000 ha of landscapes under improved management	Recommend revising the phrasing of the end target.
B. Increased number of producers participating in community-based adaptive landscape planning and management in one forested and three coastal landscapes	500 producers participating in community-based landscape planning and management processes	At least 2,500 producers participating in community-based landscape planning and management	
C. Increased number of communities, within the one forested and three coastal landscapes, participating in capacity development activities, to improve the social and financial sustainability of their organizations	500 livestock producers trained in silvopastoral systems. 25 CSO representatives participating in trainings to improve the financial and administrative sustainability of their community organizations.	At least 1,000 producers (including 30% women) trained in agro-ecological practices and systems Up to 100 500 livestock producers trained in silvopastoral systems At least 300 CSO representatives (including 30% women) participating in trainings to improve the financial and administrative sustainability of their community organizations.	Recommend integrating gender mainstreaming aspect. Silvopastoral systems target should be reconciled; suggest an end target of 100 rather than 500.
D. Increased number of knowledge sharing events and products	Not indicated	At least 12 workshops for knowledge sharing, exchange of experiences best practices, and fora in which project participants have participated; at least two events/products are focused on gender mainstreaming, and at least one event/product focused on indigenous (local peoples)	Recommend integrating gender mainstreaming and indigenous peoples aspects.
E. Number of direct beneficiaries (% women)	To be determined	To be determined	Recommend adding this indicator at the objective level.
Outcome 1.1: Community-based institutional governance structures and networks in place in three coastal and marine landscapes and one forested landscape (Gorontalo, Wakatobi Islands, Semaui Island and Nusa Penida Island) for effective participatory decision making to achieve resiliency			
1.1.1. Increased number of multistakeholder governance platforms established and strengthened to support participatory landscape planning and adaptive management in one forested and three coastal landscapes	No multi-stakeholder governance platforms established in the four landscapes	At least four multi-stakeholder landscape governance platforms in place and functioning, with 30% women representation	Recommend integrating gender mainstreaming aspect.
1.1.2. Participatory landscape strategies and adaptive management plans for the one forested and three coastal landscapes	0 strategies to enhance social and ecological resilience of the one forested and three coastal landscapes	Four landscape management strategies and plans delineating landscape level outcomes and other elements, validated by kabupaten governments	Recommend enhancing the sustainability of the landscape strategies through validation by kabupaten governments.
1.1.3. Number and typology of community level and strategic projects developed and agreed by multi-stakeholder groups (together with eligibility criteria) as outputs to achieve landscape level outcomes	Four community-based projects identified and aligned with landscape strategies, identified and agreed by multi-stakeholder groups during the project lifetime and implemented by CBOs and NGOs in partnership with others in the four areas. Traditional systems exist but weakened due to multiple factors.	At least 16 community-based projects identified and aligned with landscape strategies implemented, with 30% women participation	Focus should be on implementation rather than identification. Recommend integrating gender mainstreaming aspect.
1.1.4. Number of case studies on participatory adaptive landscape management	Not indicated	Four revitalized knowledge management systems Four case studies on participatory adaptive landscape management (one	Recommend integrating gender mainstreaming aspect.

Indicator	Baseline	End of Project target	Comments
		per landscape), including at least one focusing on the role of women.	
Outcome 1.2: Ecosystem services within targeted landscapes are enhanced through multi-functional land-use systems			
1.2.1. Increased area under protection for biodiversity conservation and sustainable use	Four community-based project for biodiversity conservation and sustainability used in the three coastal and marine landscapes and one forested landscape	Approximately 10,000 hectares managed as marine and/or terrestrial community conservation areas Local communities in target areas participating in the collaborative management of approximately 10,000 ha of marine and/or terrestrial community conservation areas	The end target should be reconciled, focusing on collaboration with ongoing initiatives. It is unrealistic to reach 10,000 ha of new community conservation areas within the project's lifespan.
1.2.2. Increased area under reforestation or farmer managed natural regeneration	0 hectares under reforestation or farmer managed natural regeneration 0 ha planted with trees/bushes in reforestation campaigns in one forested and three coastal landscapes	At least 10,000 hectares under community-supported reforestation or farmer managed natural regeneration Local communities supporting governmental and non-governmental partners on at least 5,000 ha planted with trees/bushes in reforestation campaigns in the forested and three coastal landscapes	It is unrealistic to achieve 5,000 ha of reforestation under the project; this would require several million tree seedlings.
1.2.3. Increased area of agroecosystems agricultural land under improved agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources	At least 55 hectares of agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources At least 20,000 trees planted in agroforestry systems	At least 14,000 hectares of agroecosystems agricultural land under agro-ecological practices and systems that increase sustainability and productivity and/or conserve crop genetic resources. At least 100,000 trees planted in agroforestry systems. At least 8,000 hectares of silvopastoral systems established. Demonstration scale silvopastoral systems established in at least two of the four target landscapes.	The inter-cropped tropical land managed by local farmers is maybe better described as agroecosystems, rather than agricultural land. End target on silvopastoral systems should be reconciled.
Outcome 1.3: The sustainability of production systems in the target landscapes is strengthened through integrated agro-ecological practices			
1.3.1. Number of multi-stakeholder groups active in the one forested and three coastal landscapes with strategies/plans for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No multi-stakeholder groups with a focus on landscape resilience engaged in analysis and planning of strategic approaches to upscaling successful experiences with ecotourism or commercial production of key agricultural products	At least four landscapes level multi-stakeholder groups (with 30% women representation) involved in analysis of experience, lessons learned and development and implementation of strategies for sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	Recommend adding emphasis on implementation of the strategies. Recommend integrating gender mainstreaming aspect.
1.3.2. Number of community-based organizations established or strengthened in the one forested and three coastal land landscapes grouping individual community producer organizations in sustainable production of non-timber forest product, craft and fisheries production through Terasmitra	No strategy currently exists in any of the landscapes to enable and facilitate upscaling by community organizations of these economic activities based on the detailed analysis of successful SGP supported community experiences and identification of upscaling requirements and opportunities	At least 16 community-based organizations established or strengthened, having 30% women representation	Recommend integrating gender mainstreaming aspect.
Outcome 1.4: Livelihoods of communities in the target landscapes are improved by developing eco-friendly small-scale community enterprises and improving market access			
1.4.1. Alternative livelihoods and innovative products developed through support of activities that promote market access as well as microfinance opportunities and other services	15 projects funded in previous operational phases.	At least 20 additional income generating activities being implemented that represent sustainable livelihood options, equitably benefitting women	Recommend integrating gender mainstreaming aspect.

Indicator	Baseline	End of Project target	Comments
1.4.2. Increased number of case study publications documenting lessons learned from SGP-supported projects	One case study publications prepared and disseminated in previous Operational Phases	At least three case study publications documenting lessons learned from SGP-supported projects, with at least one focusing on the role of women in community-driven natural resource management	Recommend integrating gender mainstreaming aspect.
1.4.3. Traditional knowledge of native crop/livestock genetic resources documented and disseminated, to benefit conservation, protect cultural and traditional heritage and enhance food and nutrition security	Communication strategy outdated	Communication strategy under implementation Custodians of traditional knowledge in target landscapes consent and actively participate in implementation of an updated communication and knowledge management strategy and action plan	Recommend requesting feedback from indigenous (local) peoples in the revision of this performance metric.
1.4.4. Farmers Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture discussed and materials disseminated	Farmers Rights poorly understood	At least two knowledge fairs or workshops regarding genetic resources and farmers' rights At least one regional/national workshop on Farmers' Rights under the International Treaty on Plant Genetic Resources for Food and Agriculture	No changes recommended.
Outcome 2.1: Multi-stakeholder partnerships in place for managing the development and implementation of community-based integrated low-emission systems			
2.1.1. Increased number of multi-stakeholder partnerships for managing the development and implementation of community-based integrated low-emission systems	No partnerships currently established	Four partnerships established and functioning, with 30% women representation.	Recommend integrating gender mainstreaming aspect.
2.1.2. Targeted community grant projects (including strategic projects) to build the capacities of selected community organizations to plan strategically, operate efficiently, and monitor the use of renewable energy	No community members with the capacity to plan strategically, operate efficiently or monitor the use of renewable energy	30 community representatives, including equitable participation of women , have the capacity to plan strategically, operate efficiently and monitor the use of renewable energy	Recommend integrating gender mainstreaming aspect.
Outcome 2.2: Increased adoption (or development, demonstration and financing) of renewable and energy efficient technologies and mitigation options at community level			
2.2.1. Increased use of renewable energy technologies at a community scale implemented in the target landscape: i) increased numbers of fuel efficient stoves in use; ii) increased number of solar panels Progress in low-emission development, as indicated by the increase in the number of households in the target landscapes benefitting from renewable energy and energy efficient systems	Limited number of solar panel and other renewable energy applications to support HH needs and farming activities:	At least 500 fuel efficient stoves in use At least 200 solar panels installed and in use To be determined	End target should be determined after updated strategic approach for Component 2 is developed
2.2.2. Knowledge from innovative project experience is shared for replication and upscaling of community-based integrated low-emission systems across the landscape, across the country, and to the global SGP network	Negligible knowledge compiled or disseminated	At least five experiences evaluated, codified, and disseminated in appropriate media A model of innovative energy management for efficiency at selected villages established	No changes recommended.

Annex 7: Cofinancing Table

Note	Sources of Cofinancing ¹	Name of Cofinancer	Type of Cofinancing ²	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure ³ USD	Actual % of Expected Amount USD
4	GEF Agency	UNDP	Grant	\$40,000	\$20,000	\$40,000	50%
5	GEF Agency	Global ICCA Support Initiative	Grant	\$500,000	\$265,000	\$465,000	57%
6	Recipient Government	Government of Wakatobi District	In-kind	\$5,298,385	\$1,324,596	\$5,298,385	25%
7	Civil Society Organization	WWF Indonesia	In-kind	\$1,850,000	\$1,850,000	\$1,850,000	100%
8	Civil Society Organization	RARE	In-kind	\$541,000	\$841,000	\$1,541,000	55%
9	Civil Society Organization	Grantee organizations	In-kind	\$1,960,000	\$3,189,743	\$3,520,000	91%
10	Civil Society Organization	Grantee organizations	Grant	\$1,560,000	\$0	\$0	0%
	Total			\$11,749,385	\$7,490,339	\$12,714,385	59%
Notes:							
1	Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other						
2	Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other						
3	Expected amount by project closure includes actual materialized by midterm and expected cofinancing during the second half of the project.						
4	UNDP cofinancing from TRAC resources, at USD 10,000 per year and including international consultant cost (USD 5,000), staff support (USD 10,000), duty travel (USD 4,000), communications (USD 500) and miscellaneous other costs (USD 500)						
5	ICCA-GSI contributions include top-up funding for community conservation areas in Nusa Penida, Semau, Gorontalo and Wakatobi, and some support to national-level catalytic organizations.						
6	Contributions from Wakatobi kabupaten government estimated evenly distributed annually, USD 1,324,596 per year. No breakdown available regarding cofinancing activities.						
7	Cofinancing contributions from WWF considered fulfilled, based on their activities supporting the Wakatobi National Park. There could be further cofinancing opportunities in the second half of the project.						
8	Contributions from RARE include USD 541,000 for a country program completed in 2017 and USD 300,000 in 2018 in Wakatobi for current marine-focused program (expected USD 1 million in Wakatobi through 2021).						
9	CSO grantee contributions (in-kind) are based on approved grants issued through midterm. At least USD 3.52 million expected by closure; likely greater than this amount.						
10	CSO grantee contributions (grant) have not been realized through midterm. These contributions might have been incorrectly stated in the cofinancing letter; in-kind contributions were expected.						

Annex 8: Rating Scales

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 (U)	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.

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

Annex 9: Signed UNEG 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.

MTR Consultant Agreement Form

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

Name of Consultant: James Lenoci

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

Signed at Budapest on 4 February 2019



James Lenoci
MTR Consultant

Annex 10: MTR Terms of Reference

UNDP-GEF Midterm Review

Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full* sized project titled Sixth Operational Phase of the GEF SGP in Indonesia (PIMS5529) implemented through Yayasan Bina Usaha Lingkungan (YBUL), under the NGO execution modality, which is to be undertaken in 2018. The project started on the 10th of June 2017 and is in its *second* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* ([hyperlink](#)).

2. PROJECT BACKGROUND INFORMATION

The project is designed to enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia through the generation of global environmental benefits. The project will enable community organizations and NGOs to develop and implement adaptive landscape/seascape management strategies that build social, economic and ecological resilience based on local sustainable development benefits.

The target landscapes and seascapes are a key forest landscape of Nantu Wild Life Reserve, Gorontalo province, as well as coastal seascapes of Sulawesi (Wakatobi archipelagos); Bali (Nusa Penida island); and East Nusa Tenggara (Semaui Island). To pursue the outcomes of these adaptive landscape/seascape management strategies, community organizations will implement grant projects, reviewed and approved by the SGP National Steering Committee. Community-based projects will be supported by multi-stakeholder agreements, involving local government, private sector, NGOs and other partners.

The 4-year project (expected operational closure June 10th, 2021) is implemented by UNDP and executed through Yayasan Bina Usaha Lingkungan (YBUL), under the NGO execution modality, under the existing mechanism of the GEF Small Grants Programme including the approval of each initiative by the National Steering Committee CDN, as well as the due monitoring which will be provided, under the leadership of the National Program Coordinator. The overall total project cost is \$ 3,561,644.00 (grant amount without fee), with an expected co-financing of \$11,749,385.

3. OBJECTIVES OF THE MTR

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

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.² Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *Perkumpulan Pikul* (East Nusa Tenggara), *Yayasam Wisnu* (Bali), *Forkani* (Wakatobi/Southeast Sulawesi), *Japesda* (Gorontalo), *Principia* (Jakarta), and *Perkumpulan Kaoem Telapak* (Bogor), executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to Jakarta, Bogor, Semaui Island (East Nusa Tenggara Timur), Nusa Penida (Bali), Wakatobi (Southeast Sulawesi), and Gorontalo, including the following project sites in those area.

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

5. DETAILED SCOPE OF THE MTR

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

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?

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

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

- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

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

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

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

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

Project Strategy	Indicator ³	Baseline Level ⁴	Level in 1 st PIR (self-reported)	Midterm Target ⁵	End-of-project Target	Midterm Level & Assessment ⁶	Achievement Rating ⁷	Justification for Rating
Objective:	Indicator (if applicable):			N/A				
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

⁸ Alternatively, MTR conclusions may be integrated into the body of the report.

Indicator Assessment Key

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

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

iii. Project Implementation and Adaptive Management

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

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

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

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

Reporting:

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

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

Conclusions & Recommendations

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

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

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

Ratings

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

Table. MTR Ratings & Achievement Summary Table for **(Sixth Operational Phase of the GEF SGP in Indonesia)**

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

6. TIMEFRAME

⁸ Alternatively, MTR conclusions may be integrated into the body of the report.

The total duration of the MTR will be approximately 24 working days over a time period of 8 of weeks, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	3 days (recommended: 2-4 days)	5th December, 2018
MTR mission: stakeholder meetings, interviews, field visits	8 days (recommended: 7-15 days)	17th December 2018
Presentation of initial findings- last day of the MTR mission	1 day	19th December 2018
Preparing draft report (due within 3 weeks of the MTR mission)	8 days (recommended: 5-10 days)	January 3, 2019
Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft) (note: accommodate time delay in dates for circulation and review of the draft report)	5 days (recommended: 3-4 days)	January 15, 2018

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

7. MIDTERM REVIEW DELIVERABLES

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

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

8. MTR ARRANGEMENTS

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

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

9. TEAM COMPOSITION

One independent consultant will conduct the MTR - with experience and exposure to projects and evaluations in other regions globally) and from the country of the project. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultant will be aimed at maximizing the overall "team" qualities in the following areas:

- Recent experience with result-based management evaluation methodologies; 10 points
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Work experience in relevant technical areas for at least 10 years; 10 points
- Competence in adaptive management, as applied to Biodiversity Conservation, Climate Change and Land Degradation; 10 points
- Experience working with the GEF or GEF-evaluations; especially with SGP - Small Grants Programme; 20 points
- Experience working in the Asia and the Pacific region; 10 points
- Demonstrated understanding of issues related to gender, including experience in gender sensitive evaluation and analysis 10
- Project evaluation/review experiences within United Nations system will be considered an asset; 10 points
- A Master's degree in areas of environment and sustainable development, or other closely related field. 10 points
- Fluency in written and spoken English 10 points
- Excellent communication skills;
- Demonstrable analytical skills

10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon approval of the final MTR Inception Report

30% upon submission of the draft MTR report

60% upon finalization of the MTR report

Or, as otherwise agreed between the Commissioning Unit and the MTR team.

11. APPLICATION PROCESS⁹

Recommended Presentation of Proposal:

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

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)¹⁰ provided by UNDP;
- b) **CV** and a **Personal History Form** ([P11 form](#)¹¹);
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted indicating the following reference “Consultant for UNDP-GEF Midterm Review” or by email at the following address ONLY: **bids.id@undp.org** by **2nd December 2018 at 23.59 GMT +7**. Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

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

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR’s)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm *(fill in specific TTs for this project’s focal area)*
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:

13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the *(Project Title)* Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report¹²

¹⁰

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

¹¹ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

¹² The Report length should not exceed **40** pages in total (not including annexes).

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

5. Conclusions and Recommendations (4-6 pages)
 - 5.1 Conclusions
 - Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project
 - 5.2 Recommendations
 - Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
6. Annexes
 - MTR ToR (excluding ToR annexes)
 - MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Example Questionnaire or Interview Guide used for data collection
 - Ratings Scales
 - MTR mission itinerary
 - List of persons interviewed
 - List of documents reviewed
 - Co-financing table (if not previously included in the body of the report)
 - Signed UNEG Code of Conduct form
 - Signed MTR final report clearance form
 - *Annexed in a separate file:* Audit trail from received comments on draft MTR report
 - *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.*)

ToR ANNEX C: Midterm Review Evaluative Matrix Template

(Questions to be filled out by the Commissioning Unit)

This Midterm Review Evaluative Matrix must be fully completed/amended by the consultant and included in the MTR inception report and as an Annex to the MTR report.

Annex VII: Evaluation Criteria Matrix

Evaluative Criteria	Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the focal areas, and to the environment and development priorities at the local, regional and national levels for indigenous crop and livestock diversity conservation in Indonesia?				
Is the project relevant to the GEF Focal Area objectives?	<ul style="list-style-type: none"> How does the project support the objectives of the UNCBD? 	<ul style="list-style-type: none"> UNCBD priorities and areas of work incorporated in project design Extent to which the project is implemented in line with incremental cost argument 	<ul style="list-style-type: none"> Project documents National policies and strategies to implement the UNCBD, other international conventions, or related to environment more generally UNCBD and other international 	<ul style="list-style-type: none"> Documents analyses Interviews with project team, UNDP and other partners

			convention web sites	
Is the project relevant the GEF biodiversity focal area and other relevant focal areas?	<ul style="list-style-type: none"> How does the project support the GEF biodiversity focal area and strategic priorities related to agro-biodiversity conservation 	<ul style="list-style-type: none"> Existence of a clear relationship between the project objectives and GEF biodiversity focal area 	<ul style="list-style-type: none"> Project documents GEF focal areas strategies and documents 	<ul style="list-style-type: none"> Documents analyses GEF website Interviews with UNDP and project team
Is the project relevant to Indonesia's environment and sustainable development objectives?	<ul style="list-style-type: none"> How does the project support the environment and sustainable development objectives of Indonesia? Is the project country-driven? What was the level of stakeholder participation in project design? What was the level of stakeholder ownership in implementation? Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation? 	<ul style="list-style-type: none"> Degree to which the project supports national environmental objectives Degree of coherence between the project and national's priorities, policies and strategies Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities Level of involvement of government officials and other partners in the project design process Coherence between needs expressed by national stakeholders and UNDP-GEF criteria 	<ul style="list-style-type: none"> Project documents National policies and strategies Key project partners 	<ul style="list-style-type: none"> Documents analyses Interviews with UNDP and project partners
Is the project addressing the needs of target beneficiaries at the local and regional levels?	<ul style="list-style-type: none"> How does the project support the needs of relevant stakeholders? Has the implementation of the project been inclusive of all relevant stakeholders? Were local beneficiaries and stakeholders adequately involved in project design and implementation? 	<ul style="list-style-type: none"> Strength of the link between expected results from the project and the needs of relevant stakeholders Degree of involvement and inclusiveness of stakeholders in project design and implementation 	<ul style="list-style-type: none"> Project partners and stakeholders Needs assessment studies Project documents 	<ul style="list-style-type: none"> Document analysis Interviews with relevant stakeholders
Is the project internally coherent in its design?	<ul style="list-style-type: none"> Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)? Is the length of the project sufficient to achieve project outcomes? 	<ul style="list-style-type: none"> Level of coherence between project expected results and project design internal logic Level of coherence between project design and project implementation approach 	<ul style="list-style-type: none"> Program and project documents Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Key interviews

How is the project relevant with respect to other donor-supported activities?	<ul style="list-style-type: none"> Does the GEF funding support activities and objectives not addressed by other donors? How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors? Is there coordination and complementarity between donors? 	<ul style="list-style-type: none"> Degree to which program was coherent and complementary to other donor programming nationally and regionally 	<ul style="list-style-type: none"> Documents from other donor supported activities Other donor representatives Project documents 	<ul style="list-style-type: none"> Documents analyses Interviews with project partners and relevant stakeholders
Does the project provide relevant lessons and experiences for other similar projects in the future?	<ul style="list-style-type: none"> Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Effectiveness: To what extent have the expected outcomes and objectives of the project been/be achieved?				
Has the project been effective in achieving the expected outcomes and objectives?	<ul style="list-style-type: none"> Has the project been effective in achieving its expected outcomes? 	<ul style="list-style-type: none"> See indicators in project document results framework and logframe 	<ul style="list-style-type: none"> Project documents Project team and relevant stakeholders Data reported in project annual and quarterly reports 	<ul style="list-style-type: none"> Documents analysis Interviews with project team Interviews with relevant stakeholders
How is risk and risk mitigation being managed?	<ul style="list-style-type: none"> How well are risks, assumptions and impact drivers being managed? What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project? 	<ul style="list-style-type: none"> Completeness of risk identification and assumptions during project planning and design Quality of existing information systems in place to identify emerging risks and other issues Quality of risk mitigations strategies developed and followed 	<ul style="list-style-type: none"> Project documents UNDP, project team, and relevant stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews
What lessons can be drawn regarding effectiveness for other similar projects in the future?	<ul style="list-style-type: none"> What lessons have been learned from the project regarding achievement of outcomes? What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?				

Was project support provided in an efficient way?	<ul style="list-style-type: none"> Was adaptive management used or needed to ensure efficient resource use? Did the project logical framework and work plans and any changes made to them use as management tools during implementation? Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? Was project implementation as cost effective as originally proposed (planned vs. actual)? Did the leveraging of funds (co-financing) happen as planned? Were financial resources utilized efficiently? Could financial resources have been used more efficiently? Was procurement carried out in a manner making efficient use of project resources? How was results-based management used during project implementation? 	<ul style="list-style-type: none"> Availability and quality of financial and progress reports Timeliness and adequacy of reporting provided Level of discrepancy between planned and utilized financial expenditures Planned vs. actual funds leveraged Cost in view of results achieved compared to costs of similar projects from other organizations Adequacy of project choices in view of existing context, infrastructure and cost Quality of results-based management reporting (progress reporting, monitoring and evaluation) Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency Cost associated with delivery mechanism and management structure compare to alternatives 	<ul style="list-style-type: none"> Project documents and evaluations UNDP Project team 	<ul style="list-style-type: none"> Document analysis Key interviews
How efficient are partnership arrangements for the project?	<ul style="list-style-type: none"> To what extent partnerships/linkages between institutions/ organizations were encouraged and supported? Which partnerships/linkages were facilitated? What was the level of efficiency of cooperation and collaboration arrangements? Which methods were successful or not and why? 	<ul style="list-style-type: none"> Specific activities conducted to support the development of cooperative arrangements between partners, Examples of supported partnerships Evidence that particular partnerships/linkages will be sustained Types/quality of partnership cooperation methods utilized 	<ul style="list-style-type: none"> Project documents and evaluations Project partners and relevant stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews
Did the project efficiently utilize	<ul style="list-style-type: none"> Was an appropriate balance struck between utilization 	<ul style="list-style-type: none"> Proportion of expertise utilized from international experts 	<ul style="list-style-type: none"> Project documents 	<ul style="list-style-type: none"> Document analysis

local capacity in implementation ?	<ul style="list-style-type: none"> of international expertise as well as local capacity? Did the project take into account local capacity in design and implementation of the project? Was there an effective collaboration between institutions responsible for implementing the project? 	<ul style="list-style-type: none"> compared to national experts Number/quality of analyses done to assess local capacity potential and absorptive capacity 	<ul style="list-style-type: none"> and evaluations UNDP Beneficiaries 	<ul style="list-style-type: none"> Interviews
What lessons can be drawn regarding efficiency for other similar projects in the future?	<ul style="list-style-type: none"> What lessons can be learnt from the project regarding efficiency? How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc...)? What changes could have been made (if any) to the project in order to improve its efficiency? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Results: What are the current actual, and potential long-term, results of activities supported by the project?				
How is the project effective in achieving its long-term objectives?	<ul style="list-style-type: none"> Will the project achieve its overall objective ? Is the globally significant biodiversity of the target area likely to be conserved? What barriers remain to achieving long-term objectives, or what necessary steps remain to be taken by stakeholders to achieve sustained impacts and Global Environmental Benefits? Are there unanticipated results achieved or contributed to by the project? 	<ul style="list-style-type: none"> Change in capacity: <ul style="list-style-type: none"> To pool/mobilize resources For related policy making and strategic planning For implementation of related laws and strategies through adequate institutional frameworks and their maintenance Change in use and implementation of sustainable livelihoods Change in the number and strength of barriers such as: <ul style="list-style-type: none"> Knowledge about biodiversity conservation and sustainable use of biodiversity resources, and economic incentives in these areas Cross-institutional coordination and inter-sectoral dialogue Knowledge of biodiversity conservation and 	<ul style="list-style-type: none"> Project documents Key stakeholders Monitoring data 	<ul style="list-style-type: none"> Documents analysis Meetings with UNDP, project team and project partners Interviews with project beneficiaries and other stakeholders

		sustainable use practices by end users ○ Coordination of policy and legal instruments incorporating biodiversity conservation and agro-environmental strategies ○ Agro-environmental economic incentives for stakeholders		
How is the project effective in achieving the objectives of the UNCBD?	<ul style="list-style-type: none"> What are the impacts or likely impacts of the project? <ul style="list-style-type: none"> ○ On the local environment; ○ On economic well-being; ○ On other socio-economic issues. 	<ul style="list-style-type: none"> Provide specific examples of impacts at species, ecosystem or genetic levels, as relevant 	<ul style="list-style-type: none"> Project documents UNCDB documents Key Stakeholders Monitoring data 	<ul style="list-style-type: none"> Data analysis Interviews with key stakeholders
Future directions for results	<ul style="list-style-type: none"> How can the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Sustainability: Are the conditions in place for project-related benefits and results to be sustained?				
Are sustainability issues adequately integrated in project design?	<ul style="list-style-type: none"> Were sustainability issues integrated into the design and implementation of the project? 	<ul style="list-style-type: none"> Evidence / quality of sustainability strategy Evidence / quality of steps taken to ensure sustainability 	<ul style="list-style-type: none"> Project documents and evaluations UNDP and project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews
Financial sustainability	<ul style="list-style-type: none"> Did the project adequately address financial and economic sustainability issues? Are the recurrent costs after project completion sustainable? What are the main institutions/organizations in country that will take the project efforts forward after project end and what is the budget they have assigned to this? 	<ul style="list-style-type: none"> Level and source of future financial support to be provided to relevant sectors and activities after project ends Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end Level of recurrent costs after completion of project and funding sources for those recurrent costs 	<ul style="list-style-type: none"> Project documents and evaluations UNDP and project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews

Institutional and governance sustainability	<ul style="list-style-type: none"> • Were the results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures? • Is there evidence that project partners will continue their activities beyond project support? • What degree is there of local ownership of initiatives and results? • Were laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms? • What is the level of political commitment to build on the results of the project? • Are there policies or practices in place that create perverse incentives that would negatively affect long-term benefits? 	<ul style="list-style-type: none"> • Degree to which project activities and results have been taken over by local counterparts or institutions/organizations • Level of financial support to be provided to relevant sectors and activities by in-country actors after project end • Efforts to support the development of relevant laws and policies • State of enforcement and law making capacity • Evidences of commitment by government enactment of laws and resource allocation to priorities 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
Social-economic sustainability	<ul style="list-style-type: none"> • Are there adequate incentives to ensure sustained benefits achieved through the project? 		<ul style="list-style-type: none"> • Project documents and evaluations • UNDP, project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Interviews • Documentation review
Environmental sustainability	<ul style="list-style-type: none"> • Are there risks to the environmental benefits that were created or that are expected to occur? • Are there long-term environmental threats that have not been addressed by the project? • Have any new environmental threats emerged in the project's lifetime? 	<ul style="list-style-type: none"> • Evidence of potential threats such as infrastructure development • Assessment of unaddressed or emerging threats 	<ul style="list-style-type: none"> • Project documents and evaluations • Threat assessments • Government documents or other external published information • UNDP, project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Interviews • Documentation review
Individual, institutional and systemic capacity development	<ul style="list-style-type: none"> • Is the capacity in place at the regional, national and local levels adequate to ensure sustainability of the results achieved to date? 	<ul style="list-style-type: none"> • Elements in place in those different management functions, at the appropriate levels (regional, national and local) in terms of adequate structures, 	<ul style="list-style-type: none"> • Project documents • UNDP, project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Interviews • Documentation review

Replication		strategies, systems, skills, incentives and interrelationships with other key actors	<ul style="list-style-type: none"> Capacity assessments available, if any 	
	<ul style="list-style-type: none"> Is there potential to scale up or replicate project activities? Did the project's Exit Strategy actively promote replication? 	<ul style="list-style-type: none"> Number/quality of replicated initiatives Number/quality of replicated innovative initiatives Scale of additional investment leveraged 	<ul style="list-style-type: none"> Project Exit Strategy UNDP, project personnel and project partners 	<ul style="list-style-type: none"> Document analysis Interviews
Challenges to sustainability of the project	<ul style="list-style-type: none"> What are the main challenges that may hinder sustainability of efforts? Have any of these been addressed through project management? What could be the possible measures to further contribute to the sustainability of efforts achieved with the project? 	<ul style="list-style-type: none"> Challenges in view of building blocks of sustainability as presented above Recent changes which may present new challenges to the project Education strategy and partnership with school, education institutions etc. 	<ul style="list-style-type: none"> Project documents and evaluations Beneficiaries UNDP, project personnel and project partners 	<ul style="list-style-type: none"> Document analysis Interviews
Future directions for sustainability and catalytic role	<ul style="list-style-type: none"> Which areas/arrangements under the project show the strongest potential for lasting long-term results? What are the key challenges and obstacles to the sustainability of results of the project initiatives that must be directly and quickly addressed? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis

Evaluators/Consultants:

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

MTR Consultant Agreement Form

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at _____ (Place) on _____ (Date)

Signature: _____

¹³ <http://www.unevaluation.org/document/detail/100>

ToR ANNEX E: MTR Ratings

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

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

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

ToR ANNEX F: MTR Report Clearance Form

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

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

ToR ANNEX G: Audit Trail Template

Note: The following is a template for the MTR Team to show how the received comments on the draft MTR report have (or have not) been incorporated into the final MTR report. This audit trail should be included as an annex in the final MTR report.

To the comments received on (date) from the Midterm Review of (project name) (UNDP Project ID-PIMS #)

The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	#	Para No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken

Annex 11: Signed MTR final report clearance form

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