

## UNDP-GEF Midterm Review Terms of Reference

### Standard Template 1: Formatted for attachment to UNDP Procurement Website

#### 1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanism for Sustainable Watershed/ Land Management (PIMS 5224) implemented through the Ministry of Environment and Forestry (MoEF), which is to be undertaken in 5 years. The project started on the August 2016.

2016 and is in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects ([http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance\\_Midterm%20Review%20 EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20EN_2014.pdf)).

#### 2. PROJECT BACKGROUND INFORMATION

Indonesia ratified the United Nations Framework Convention on Climate Change (FCCC) on 23 August 1994, the United Nations Convention on Biological Diversity (CBD) on 26 November 1994, and the United Nations Convention to Combat Desertification and Drought on 31 August 1998. In addition to these conventions, Indonesia also ratified the Kyoto Protocol on 3 December 2004, thereby committing itself to stabilizing global greenhouse gas emissions for the period of 2008-2012. Moreover, to protect biodiversity from the potential risks posed by genetically modified organisms that are the product of biotechnology, Indonesia subscribed to the Cartagena Protocol on Biological Safety on 3 December 2004.

Furthermore, in addition to the three Rio Conventions, Indonesia has also demonstrated its commitment to the global environment through the accession or ratification of several other multilateral environmental agreements (MEAs) that call for the protection and sustainable use of natural resources. These include: (1) Convention on International Trade in Endangered Species of Wild Fauna and Flora CITES (28 March 1979); (2) World Heritage Convention (1 January 1989); (3) Vienna Convention for the Protection of the Ozone Layer (26 June 1992); (4) Convention on Wetlands (8 August 1992); (5) Basel Convention on the Control of Trans-boundary Movements of Hazardous Wastes and Their Disposal (3 December 2004); (6) International Treaty on Plant Genetic Resources for Food and Agriculture (1 January 2006); (7) Stockholm Convention on Persistent Organic Pollutants (28 September 2009); (8) Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, adopted by the Conference of the Parties to the Convention on Biological Diversity (24 September 2013); (9) Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (24 September 2013).

CCCD Project will strengthen a targeted set of policy, legislative, and economic instruments as stronger incentive mechanisms for mainstreaming global environmental obligations. Specifically,

the project will do so through the integration of global environmental values and principles within planning frameworks for integrated water resource management (sustainable watershed management). With this focus, the project will strengthen targeted foundational capacities (systemic, institutional, and individual) to reduce pressure on natural resources through competing land uses, identify and test innovative financing mechanisms for sustainable forest management targeted to protecting watersheds, as well as to mainstream synergies and best practices for monitoring impacts and assessing ecosystem services.

This project fits with the GEF-5 Cross-Cutting Capacity Development Strategy, specifically to provide resources for reducing, if not eliminating, the institutional bottlenecks and barriers to the synergistic implementation of the Rio Conventions. This particular project is in line with CCCD Programme Frameworks 2, 4, and 5, which call for countries to: (i) generate, access, and use information and knowledge; (ii) strengthen capacities to implement and manage global convention guidelines; and (iii) enhance capacities to monitor and evaluate environmental impacts and trends, respectively.

The core strategy for CCCD projects utilizes a learning-by-doing approach to engage national stakeholders and encourage ownership of key cross-cutting issues facing the country in order to develop and implement feasible and replicable solutions. In addition to coordinating efforts with other government institutions, CCCD projects also strive to create linkages with other initiatives from national and international development partners. Inherent in this strategy is the effort to institutionalize capacities, to the extent possible, thereby reducing the loss of lessons learned and good practices that are available for improved decision-making and planning.

This project is primarily aligned with GEF-5 Land Degradation Objective 3, which is to reduce pressures on natural resources from competing land uses in the wider landscape. Secondly, the project will also contribute to meeting GEF-5 Land Degradation Objective 4, which is to increase capacity to apply adaptive management tools in sustainable land management.

The total allocated resources (UNDP Managed fund) are US \$ 1,930,000 consisting of TRAC funds (US \$ 50,000) and GEF (US \$ 1,880,000). In addition, in-kind Parallel Funding is US \$ 5,550,000 consisting of Government of Indonesia funds (US \$ 5,500,000) and UNDP (US \$ 50,000). Ministry of Environment and Forestry is leading project implementation in partnership with UNDP to strengthen government efforts in implementing Rio Conventions.

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

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

### **4. MTR APPROACH & METHODOLOGY**

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the

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

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

Engagement of stakeholders is vital to a successful MTR.<sup>2</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Directorate General of Watershed Management and Protection Forest, Ministry of Environment and Forestry, National Project Director (NPD) of CCCD Project, Directorate of Watershed Planning and Evaluation, Ministry of Environment and Forestry; Directorate of Water and Forestry, BAPPENAS; Directorate of Biodiversity Conservation, Directorate of Climate Change; Head of BPDAS Way Seputih Way Sekampung, Lampung; Head of BPDAS Brantas Sampean, East Java; Head of Bromo Tengger Semeru National Park, East Java; Head of BKSDA Lampung dan Bengkulu; Operation Focal Point of GEF Indonesia, Ministry of Environment and Forestry, Field Coordinator from each of Site Coordinator Unit (SCU) of CCCD Project; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to specific locations in Way Khilau District, Pesawaran Regency, Lampung and Wajak District, Malang Regency, East Java. 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:

This project was designed in consultation with representatives of key stakeholders in order to strengthen the collaborative approach that belies project legitimacy. This same approach will be critical as the project is implemented and used to rationalize the appropriate modifications of

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

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

project activities within the framework of the project objective. The adaptive collaborative management approach, if properly adhered to, will help strengthen the relevance and resilience of the project and sustainability of the project results in the face of unforeseen events and unintended consequences arising from policy interventions.

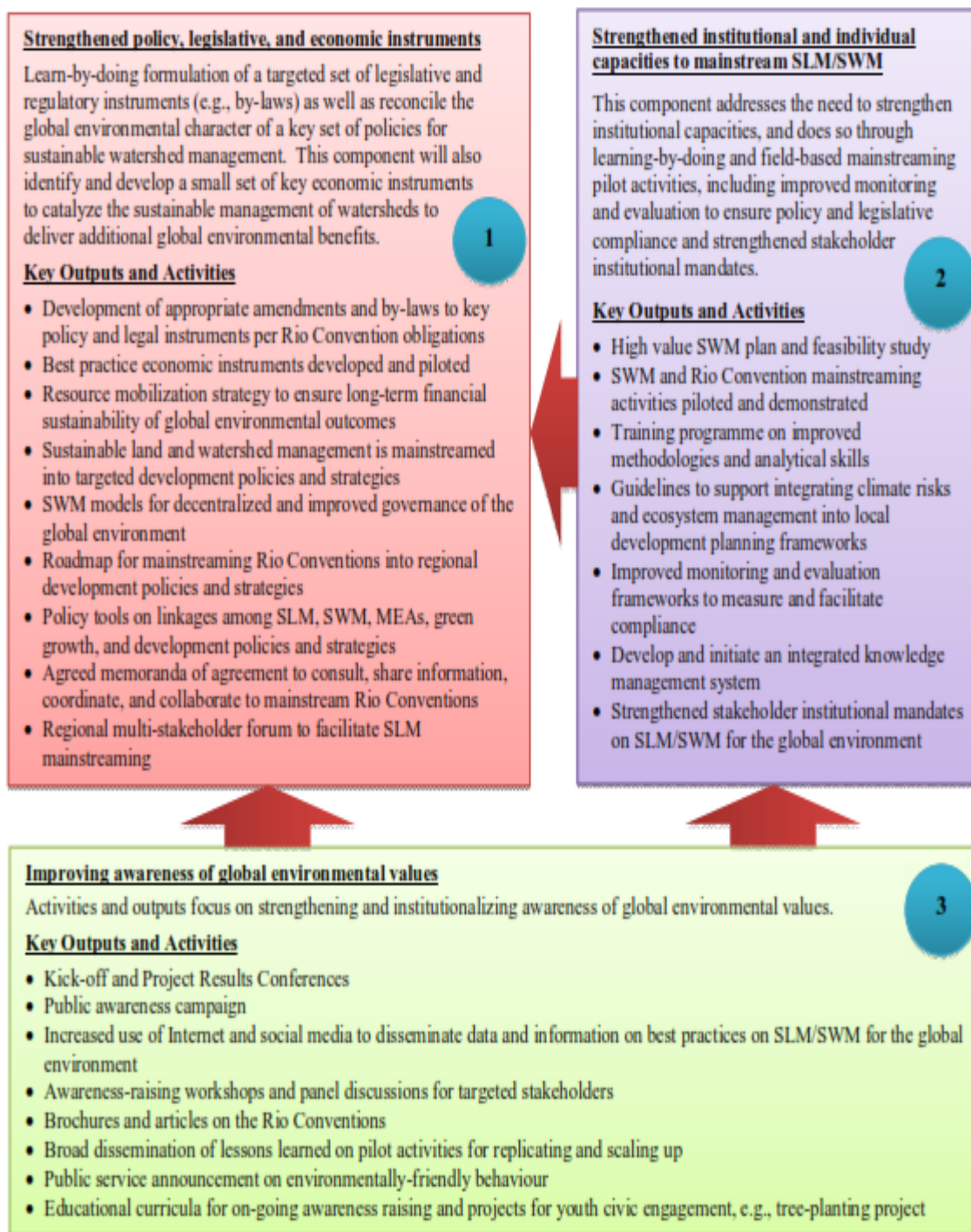


Figure 1. Project Design

Results Framework/Log frame:

- Strengthened policy, legislative, and economic instruments for improved implementation of the Rio Convention and SLM/SWM
- Strengthened institutional and individual capacities to mainstream SLM/SWM
- Improving awareness of global environmental values

**ii. Progress Towards Results**

Progress Towards Outcomes Analysis:

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

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

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self- reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
<b>Objective:</b> To strengthen targeted legal and regulatory frameworks as well as economic incentives to meet global environmental outcomes through sustainable watershed management.								
	1. Strengthened policy, legislative, and economic instruments for improved implementation of the Rio Convention and SLM/SWM	Requirements of the Rio Conventions are not adequately incorporated in sectoral development planning	Mainstreaming of the Rio Conventions is in process at the national, provincial, local and site level through socialization and coordination meeting.	Rio Convention obligations are being better implemented through improved policies, capacities, and awareness	Rio Convention obligations are being better implemented through improved policies, capacities, and awareness			
	2. Institutional and technical capacities are strengthened for enhanced to mainstream SLM/SWM and Rio Conventions within national development frameworks	There is little inter-ministerial coordination on the implementation of natural resource and environmental policies	Coordination and socialization among implementing partner and stakeholders has been conducted and committed to the review of the national policies through inter-	There is an increase in coordination between government groups and other stakeholders and SLM/SWM is strengthened through improved	There is an increase in coordination between government groups and other stakeholders and SLM/SWM is strengthened through improved			

<sup>3</sup> Populate with data from the Logframe and scorecards

<sup>4</sup> Populate with data from the Project Document

<sup>5</sup> If available

<sup>6</sup> Colour code this column only

<sup>7</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self-reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
			ministerial coordination.	mandates, capacities, and models	mandates, capacities, and models			
	3. Awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives	Indonesia has adopted a number of key policies and programmes to govern key aspects of environmental and natural resource management, but the interpretation, implementation, and enforcement of policy, legislation, and regulation remains weak	Two (2) Forum Group Discussions in thematic issue under cross cutting Rio Conventions were held to capture an overview of the community awareness, including gender issues. Technical Guidance plan (BIMTEK) for needs on the linkages between Rio Conventions was developed. The aim of the discussion was to increase the awareness regarding national regulation on Rio Conventions (UNCCCD, UNCBD,	There is an increase in the appreciation of the Rio Conventions among the general public .....	There is an increase in the appreciation of the Rio Conventions among the general public			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self-reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
			UNFCCC) and their ratification.					
<b>Outcome 1:</b> Strengthened policy, legislative, and economic instruments				.....				
Output 1.1 Targeted policies, legal and regulatory instruments are amended (strengthened)	1.1 Assessment of the current policy and legal framework	Indonesia has adopted a number of key policies and programmes to govern key aspects of environmental and natural resource management, but the interpretation, implementation, and enforcement of policy, legislation, and regulation remains weak	End of project targets level achieved.	Current policy and legal framework are assessed 1.The three (3) in-depth thematic analyses (CBD, CCD, and FCCC) of Indonesia's environmental governance are drafted by month 6 2 The analytical report that synthesizes all three Rio Conventions is drafted and endorsed by month 8	Current policy and legal framework are assessed 1.The three (3) in-depth thematic analyses (CBD, CCD, and FCCC) of Indonesia's environmental governance are drafted by month 6 2 The analytical report that synthesizes all three Rio Conventions is drafted and endorsed by month 8		HS	The project target for Assessment of the current policy and legal framework has been achieved.



Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self-reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
				3 Expert working groups draft policy recommendations by month 8	3 Expert working groups draft policy recommendations by month 8			
	1.2 Assessment of information and knowledge needs of social actors and other stakeholders that can play a role in catalyzing Rio Convention implementation	Institutional structures are in need of clearly defined mandates and operational plans	Assessment report has been drafted and endorsed by stakeholders through coordination and socialization meeting, but not yet approved by Project Board.	Assessment report is drafted and peer reviewed by month 5, endorsed by stakeholders at a validation workshop by month 7, and finalized and subsequently approved by Project Board finalized by month 8 .....	Assessment report is drafted and peer reviewed by month 5, endorsed by stakeholders at a validation workshop by month 7, and finalized and subsequently approved by Project Board finalized by month 8			
	1.3 Formulated and approved operational guidelines, and any other policy, legislative, or regulatory instrument amended	Indonesia's legislation suffers from numerous issues including overlapping and contradictory provisions, and laws that contain sectoral or corporate interests that	Legislative and regulatory instrument, operational guideline drafted, validated by stakeholders and finalized but not yet approved by Project Board.	1. Appropriate guidelines are formulated 2. Operational guidelines drafted by month 15	3. Appropriate guidelines are formulated and approved or regulatory instrument amended 1 Legislative and regulatory instruments are drafted by month 24			

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		contradict government policy			4. Operational guidelines drafted by month 15, peer reviewed by independent experts by month 17, finalized by month 19, and validated by month 21 through stakeholder workshop 5. Policy recommendations to legitimize these guidelines, as appropriate, are prepared, submitted, approved by the Project Board by month 24			
Output 1.2: Best practice economic instruments developed	1.2.1 Feasibility study on financial and economic instruments	The government agencies responsible for the Rio Conventions have	Feasibility study on financial and economic instruments has been undertaken and drafted at the provincial and local	Feasibility study on financial and economic instruments are undertaken 1 Expert working group is	Feasibility study on financial and economic instruments are undertaken 1 Expert working group is		HS	Feasibility study on financial and economic instruments has been undertaken and drafted at the provincial and

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self- reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
		limited budgetary funds	levels in identifying challenges and barriers/ gaps to Rio Conventions implementation. The feasibility study on financial and economic instruments to advance the CCCD/SLM/SWM has been drafted and endorsed by stakeholders through socialization meetings but not yet finalized and approved by Project Board.	made up of at least 20 rotating members and will be established by month 7 2 Convene expert working group to review recommendations of institutional reforms. Expert working group presents a consensus agreement on prioritized recommendations by month 12. 3 Undertake an analysis of the economic instruments at the national and provincial levels to identify challenges and barriers to Rio Convention implementation from an Indonesian context, drafted by	made up of at least 20 rotating members and will be established by month 7 2 Convene expert working group to review recommendations of institutional reforms. Expert working group presents a consensus agreement on prioritized recommendations by month 12. 3 Undertake an analysis of the economic instruments at the national and provincial levels to identify challenges and barriers to Rio Convention implementation from an Indonesian context, drafted by			local levels in identifying challenges and barriers/ gaps to Rio Conventions implementation. The feasibility study on financial and economic instruments to advance the CCCD/SLM/SWM has been drafted and endorsed by stakeholders through socialization meetings but not yet finalized and approved by Project Board.  No progress for Resource mobilization strategy. Work planned on Q2 2019.

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				<p>month 7, peer reviewed by month 9, and completed by month 11</p> <p>4 Convene a working group of relevant experts and conduct stakeholder meetings to discuss findings of the analysis of economic instruments.</p>	<p>month 7, peer reviewed by month 9, and completed by month 11</p> <p>4 Convene a working group of relevant experts and conduct stakeholder meetings to discuss findings of the analysis of economic instruments.</p> <p>5 The drafting of a feasibility study on financial and economic instruments to advance the CCCD/SLM/SWM by month 13, with the first draft available by month 15. It is endorsed by stakeholders at a validation workshop by month 16, finalized and approved by Project Board by month 18</p>			

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	1.2.2. Resource mobilization strategy	There is a lack of financial resources available for environmental monitoring, processing and exchange, and an inefficient use of limited resources	No progress yet. Work planned to be undertaken during upcoming reporting period.	Resource mobilization strategy is drafted .....	Resource mobilization strategy is drafted and approved 1 Resource Mobilization strategy is drafted by experts by month 21 2 Expert working group reviews and guides the revision and finalization of the resource mobilization strategy by month 25, after which it is presented to a donors' round-table by month 27 3 Resource mobilization strategy approved by Project Board and proposed to Rio Convention focal points by month 28			
Output 1.3 SLM mainstreamed into development	1.3.1 Analytical framework	Indonesia is undertaking numerous	Analytical Project Framework Rio Convention has	Analytical framework is developed	Analytical framework is developed		HS	End of project target level is achieved for Analytical Framework

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policies/strategies		efforts to increase SLM, but it is not currently mainstreamed into national and sectoral policies	been drafted, reviewed, established, and agreed by Project Board. End of project target level is achieved.	1 Analytical framework is drafted by month 5 and peer reviewed by month 7 2 The in-depth thematic reviews of Indonesia's existing national development strategies (strategic plan of relevant Ministries/Agencies) and Rio Convention action plans are completed by month 12 .....	1 Analytical framework is drafted by month 5 and peer reviewed by month 7 2 The in-depth thematic reviews of Indonesia's existing national development strategies (strategic plan of relevant Ministries/Agencies) and Rio Convention action plans are completed by month 12 3 Expert Working Groups (WG) are established and agreed Project Board by month 5; WG will review and discuss the findings of the analyses of systemic and institutional			

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					capacities as well as the institutional assessments by month 6			
	1.3.2 SWM model	Indonesia is undertaking numerous efforts to increase SLM, but it is not currently mainstreamed into national and sectoral policies	The studies still progressing and conducted by Individual Consultant (IC) for SWM/MDM model. The SWM/MDM model will be formulated, finalized, and developed by September 2018.	.....	<p>SWM model(s) are conceptualized and developed</p> <p>1. SWM models for mainstreaming Rio Conventions are formulated through learning-by-doing workshops by month 20. Models are independently peer reviewed and finalized by month 24</p> <p>2. Undertake a targeted study of best policy tools for linkages among SLM, SWM, Rio Convention National Action Plans, and development</p>			

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					policies/strategies, drafted by month 20			
	1.3.3 Roadmap	Indonesia is undertaking numerous efforts to increase SLM, but it is not currently mainstreamed into national and sectoral policies	Project staff on board on January 2018 after the first Project Board Meeting which approved the Multi Years Annual Work Plan, therefore the process of establishing roadmap will be finalized prior next Project Board meeting (approximately end of September 2018) in line with the initial studies conducted by ICs.	.....	Roadmap is to be drafted by month 16, independently peer reviewed by month 18, and finalized by month 20. The roadmap is approved by the Project Board by month 24			
Output 1.4 Strengthen institutional mechanisms for improved coordination and collaboration	1.4.1 New or improved consultative and decision-making institutional mechanism	There is limited institutional coordination and collaboration that would foster the sharing of	Institutional mechanism (Standard Operational Procedure) for consultative and decision-making process are	Institutional mechanism for consultative and decision making process are improved and approved	Institutional mechanism for consultative and decision making process are improved and approved			



Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
		comparative advantages and know-how	improved and approved by Project Board on 14 March 2018.	<p>1. Review existing institutional framework on coordination mechanism for implementation of Rio Convention</p> <p>2. Needs report drafted by month 6, endorsed by stakeholders at a validation workshop by month 8, and finalized and subsequently approved by Project Board by month 10</p> <p>3. Learning-by-doing workshops formulate a new or improved best practical consultative and decision-making institutional mechanism by month 12</p>	<p>1. Review existing institutional framework on coordination mechanism for implementation of Rio Convention</p> <p>4 New or improved consultative and decision-making institutional mechanism is approved by Project Board by month 15</p>			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
	1.4.2 Draft of Liaison protocols among partner agencies	There is limited institutional coordination and collaboration that would foster the sharing of comparative advantages and know-how	No progress yet. Work planned to be undertaken soon.	Liaison protocols among partner agencies are drafted and approved 1 Liaison protocols among partner agencies drafted are drafted by month 10, validated in a stakeholder workshop by month 12, approved by the Project Board by month 13	Liaison protocols among partner agencies are drafted and approved 1 Liaison protocols among partner agencies drafted are drafted by month 10, validated in a stakeholder workshop by month 12, approved by the Project Board by month 13			
	1.4.3 Strengthened fora on SLM	There is limited institutional coordination and collaboration that would foster the sharing of comparative advantages and know-how	The existing 2 (two) watershed forums at the provincial level (Lampung and East Java) have been involved in the coordination and dissemination of CCCD projects and need to be synchronized into national meetings for SLM.	Strengthen fora on SLM and mainstreaming SLM into regional and national policy programmes by month 9. These fora should meet at least twice a year on priority issues.	Strengthen fora on SLM and mainstreaming SLM into regional and national policy programmes by month 9. These fora should meet at least twice a year on priority issues.		S	Learning-by-doing workshops formulate new or improved be practical consultative and decision making institutional mechanism through National Level Watershed Forum Meeting.

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Outcome 2: Strengthened institutional and individual capacities to mainstream SLM/SWM				.....				
Output 2.1: Priority SWM selected from 15 national priorities watersheds and feasibility study conducted	2.1.1 Selected SWM pilot sites through broad stakeholder consultations	Indonesia has undertaken several initiatives to increase SWM, but these efforts have not been mainstreamed	Final selection of 2 priority watersheds i.e. Watershed Way Sekampung and Watershed Brantas has been selected to carry out project activities and approved by Project Board by January 2018.	Stakeholder consultations result in the final selection of maximum three priority watersheds in which to carry out project activities by month 6, approved by project board in month 7	Stakeholder consultations result in the final selection of maximum three priority watersheds in which to carry out project activities by month 6, approved by project board in month 7		HS	SWM pilot sites through broad stakeholder consultations has been selected
	2.1.2 Feasibility study and activities to be piloted	Indonesia has undertaken several initiatives to increase SWM, but these efforts have not been mainstreamed	Feasibility study has been conducted to select 2 priority watersheds (Watershed Way Sekampung and Watershed Brantas) prioritized on Sub Watershed Way Bulok and Sub Watershed Lesti.	Feasibility study and activities to be piloted is completed by month 12. This will include review of existing watershed management plan at project site(s). This activity should be initiated by	Feasibility study and activities to be piloted is completed by month 12. This will include review of existing watershed management plan at project site(s). This activity should be initiated by			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self- reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
			The watershed map with scale of 1:50,000 has been developed.	developing watershed-map with scale of 1:50,000. This study also contains procedures for accessing best practice guidance and methodologies, and the collaborative approach to planning and Rio Convention	developing watershed-map with scale of 1:50,000. This study also contains procedures for accessing best practice guidance and methodologies, and the collaborative approach to planning and Rio Convention			
Output 2.2: Pilot activities to mainstream Rio Conventions into SWM at selected sites	2.2.1 Report with recommended revisions to institutional arrangements	There is overlap between institutions and limited coordination between stakeholders	Institutional arrangement revisions has been recommended within a report but not yet convened by workshop. The activities encouraged the achievement of end of project targets	.....	Institutional arrangement revisions is recommended within a report 1. Convene workshops by month 16 2. Report with recommended revisions to institutional arrangements completed by month 18			

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	2.2.2 Selected exercises piloted at project sites	There is overlap between institutions and limited coordination between stakeholders	Coordination, socialization and Forum Group Discussion (FGD) has been conducted in time series specially to accommodate women's participation. Attendance meeting list for each meeting available to figure out the gender participation. Exercise piloted at project sites work planned to be undertaken soon.		Selected exercises are piloted at project sites 1 Selected exercises piloted at maximum three watersheds and completed by month 40. 2 Women's participation is accommodated			
	2.2.3 Lessons learned report prepared on CCCD/SLM/SWM activities	There is overlap between institutions and limited coordination between stakeholders	No progress yet. Work planned to be undertaken soon.	.....	Lessons learned report prepared on CCCD/SLM/SWM activities completed by month 43 and presented to stakeholder workshops by month 44			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
Output 2.3: Training programme on improved methodologies and analytical skills	2.3.1 Training needs assessment report and comprehensive training plan	The full set of necessary skills may not be available in Indonesia; Individuals responsible for developing development plans possess weak technical capacities and skills	Training needs assessment report and comprehensive training plan has been reported and finalized but not yet approved by Project Board.	Needs report drafted by month 7, endorsed by stakeholders at a validation workshop by month 9, finalized and subsequently approved by Project Board by month 10.	Needs report drafted by month 7, endorsed by stakeholders at a validation workshop by month 9, finalized and subsequently approved by Project Board by month 10			
	2.3.2 Training modules drafted, reviewed, and finalized	Weak institutional coordination and collaboration to foster the sharing of comparative advantages and know-how	Comprehensive training programmed has been drafted and endorsed by expert working group but not yet approved by Project Board.	Training modules drafted, reviewed and finalized 1. Comprehensive training programme drafted by month 16, endorsed by the expert working groups by month 17, and approved by the Project Board by month 19 3. Draft guidelines prepared by month 12, revised through learning-by-doing	Training modules drafted, reviewed and finalized 1. Comprehensive training programme drafted by month 16, endorsed by the expert working groups by month 17, and approved by the Project Board by month 19 2. Training programme is revised and strengthened on			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self-reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
				workshop by month 15, independently peer reviewed by month 17, and finalized and approved by Project Board month 19	lessons learned by month 45 3. Draft guidelines prepared by month 12, revised through learning-by-doing workshop by month 15, independently peer reviewed by month 17, and finalized and approved by Project Board month 19			
	2.3.3 Training implementation	There are trainings directed to specific technical skills, but they do not include mainstreaming of Rio Convention and SLM/SWM	Technical Assistance Needs (Bimtek) planning has been identified in 2 project sites but not yet implemented. Work planned to be undertaken soon.	Training programme implemented in accordance to the training plan commenced at month 12.....	Training programme implemented in accordance to the training plan commenced at month 12			
Output 2.4: Improved monitoring and evaluation frameworks to	2.4.1 Analysis of monitoring and evaluation needs	Environmental monitoring in Indonesia is currently characterized as	Individual Contract (ICs) will finish conducting the studies by July 2018.	Analysis of monitoring and evaluation needs drafted, independently peer-	Analysis of monitoring and evaluation needs drafted, independently peer-			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self- reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
measure and facilitate compliance		unsatisfactory and insufficient to meet the requirements of the three Rio Conventions		reviewed, and completed by month 14.....	reviewed, and completed by month 14			
	2.4.2 M&E frameworks finalized	Indonesia's environmental monitoring and evaluation system is inadequate	The expert working group sessions to finalize M&E frameworks - no progress yet. Work planned to be undertaken soon.	Monitoring and Evaluation Frameworks finalized and approved. Gender balance is indicated by approximately 50% participation of women. 1 Draft monitoring and evaluation frameworks developed by month 16 2 Expert working group sessions to finalize M&E frameworks by month 18 .....	Monitoring and Evaluation Frameworks finalized and approved. Gender balance is indicated by approximately 50% participation of women. 3 Appropriate set of best practicable monitoring and evaluation frameworks finalized by month 21, validated by stakeholders by month 22, and approved by Project Board by month 24			



Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
	2.4.3 Training conducted for improved capacities of M&E of Rio Convention	n/a	No progress yet. Work planned to be undertaken soon including the modules.	At least 40 government staff members that are directly implicated in the planning and decision-making process to monitor and enforce environmental legislation have participated in M&E workshops between months 18 and 32.....	At least 80 government staff members that are directly implicated in the planning and decision-making process to monitor and enforce environmental legislation have participated in M&E workshops between months 18 and 32			
Output 2.5: Strengthened SLM/SWM Institutional mandates	2.5.1 Recommended revisions to institutional mandates	Mandates often overlap	No progress yet. Work planned to be undertaken soon.	Report with recommended revisions to institutional mandates drafted by month 20, and validated by stakeholders by month 22.....	Report with recommended revisions to institutional mandates and approved by the Project Board by month 24 1 Improved stakeholder's participation through strengthened watershed fora at			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self-reported)	1 <sup>st</sup> Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
					regional and national level 2 Convene workshops on three Rio Conventions and on sustainable watershed management by month 28			
	2.5.2 Recommendations to job descriptions, terms of references, and procedures of regional government authorities	There is confusion over mandates after the termination of the REDD+ agency and the National Council on Climate Change and the creation of the MoEF	No progress yet. Work planned to be undertaken soon.	.....	Recommendations to job descriptions, terms of references, and procedures of relevant government authorities are completed by month 28, revised and validated by stakeholders by month 30, and approved by the Project Board by month 32			
	2.5.3 Financial sustainability strategies	Financial sustainability strategy is not available	No progress yet. Work planned to be undertaken soon.	.....	Financial sustainability strategies are drafted by month 38, independently peer reviewed by month			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self- reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
					40, revised and validated by month 42, and approved by the Project Board by month 44			
Outcome 3 Improving awareness of global environmental values				.....				
Output 3.1: Stakeholder dialogues on the value of Rio Convention	3.1.1 Survey on awareness	The population in rural areas do not have an adequate understanding of global environmental issues	Surveys on awareness of targeted stakeholders have been carried out and 'rising awareness' activities have been prepared.	..... Surveys on awareness to targeted stakeholders carried out by month 4	Surveys on awareness to targeted stakeholders carried out and by month 42 1 Baseline awareness report prepared by month 7 2 Project-end awareness report prepared by month 45			
	3.1.2 Communication strategy and plan	Despite the fact that many stakeholders are aware of the	The communication strategy has been developed.	Communication strategy and plan developed by month 10.....	Communication strategy and plan developed by month 10			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self- reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
		global environmental issues, they do not use the available information for decision-making or the development of strategic documents						
	3.1.3 Awareness of the value of the environment as well as the Rio Conventions is increased	At present, there is insufficient understanding of the value that the Rio Conventions can contribute to national socio-economic development by facilitating environmentally sound and sustainable development	Awareness of the value has been increased through website and relevant social media presence created, and number of website pages relevant to Rio Convention increased (EoP no. 1 and 3 achieved). The First article has been published on national newspaper on 5th and 6th July 2018.	... 1. Website and relevant social media presence created by month 6 and regularly updated 2. At least five (5) media journalist visit project sites to promote SLM and SWM practices through media reportage by month 25..... .	Awareness of the value of the environment as well as the Rio Conventions is increased 1 2 At least five (5) media journalist visit project sites to promote SLM and SWM practices through media reportage by month 37 and 44. 3 Number of visits to the webpages relevant			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
					<p>to the Rio Convention is increased by at least 10% over the baseline (prior to month 4 of project initiation)</p> <p>4 By month 44, reporting in the popular literature on SLM and SWM as well as monitoring of impact results in the context of the Rio Convention mainstreaming shows a 10% increase over forecasted trends using baseline data and past trends</p> <p>5 Lessons learned report prepared on targeted Rio Convention mainstreaming activities completed by month 38, presented to</p>			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self- reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
					stakeholder workshops by month 40, and widely distributed by month 44			
Output 3.2: Brochures, bulletins, and articles on the Rio Conventions	3.2.2. Brochures, bulletins, and articles on SLM/SWM and the Rio Conventions that highlight the importance of the Rio Conventions and help individuals understand how their daily lives are impacted by the global environment	1 There is a limited awareness of linkages between poverty, the environment and social unrest 2 There is insufficient understanding of the value that the Rio Conventions can contribute to national socio-economic development by facilitating environmentally sound and sustainable development	In commemoration of World Day on Combating Desertification 17 June 2018, CCCD Project set the banner in public place in terms of “Land has true value” jargon of WDCD 2018. The involvement of the parties in the prevention of land degradation began to increase. This is evidenced by the campaign of awareness of the value of land.	At least 12 articles on the relevancy of the new and innovative approaches for SLM and SWM will be written and published in popular literature with high circulation, and printed as brochures for distribution at special event. First article is to be published by month 6 At least 24 articles and/or bulletins on the relevancy of the Rio Conventions to Indonesia’s national socio-economic development will be written and published in popular	1 At least 12 articles on the relevancy of the new and innovative approaches for SLM and SWM will be written and published in popular literature with high circulation, and printed as brochures for distribution at special event. First article is to be published by month 6 2 At least 24 articles and/or bulletins on the relevancy of the Rio Conventions to Indonesia’s national socio-economic development will be			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self- reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
				literature with high circulation and printed as brochures for distribution for special event. First article is to be published by month 6 .....	written and published in popular literature with high circulation and printed as brochures for distribution for special event. First article is to be published by month 6			
Output 3.3: Public service announcement on environmentally friendly behavior	3.3 Public Service Announcement (PSA) airings on television and radio that promote environmental information management as well as mainstreaming of Rio Conventions into socio-economic development	The general public in Indonesia remains generally unaware or unconcerned about the contribution of the Rio Conventions to meeting local and national socio-economic priorities	No progress yet. Work planned to be undertaken soon,.	One PSA completed for radio and television by month 14, with the first airing by month 16; .....	and at least 5 airings of the PSA on television and at least 20 airings of the PSA on radio both by month 44			
Output 3.4: Improved educational content	3.4.1 Education module for institutions on Rio	In general, students do not have a comprehensive	Work planned to be undertaken soon.	4.1 Public education module on Rio Convention mainstreaming	and approved by the Project Board by month 26			

Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in PIR (self- reported) <sup>1st</sup>	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
and youth engagement	Conventions mainstreaming	view of environmental issues		completed by month 25 .....				
	3.4.2 Environmental awareness module for secondary schools	In general, students do not have a comprehensive view of environmental issues	Work planned to be undertaken soon.	Education module prepared for secondary schools completed by month 25 in both Indonesian and English languages .....	; and at least 10 secondary schools have implemented education module by month 28 and at 20 secondary schools			
	3.4.3 Tree planting in the selected watershed	In general, students do not have a comprehensive view of environmental issues	Work planned to be undertaken soon.	Sites for tree planting are selected by month 25 .....	and planting begun by month 28			
	3.4.4 High school and youth field visit and study tour	In general, students do not have a comprehensive view of environmental issues	End of project target No. 4.4 - plans for field visits and study tours has been completed.	Plans for field visits and study tours completed by month 15; and at least two (2) field visits and two (2) study tours are completed by month 20	at least six (6) by month 44			
	3.4.5 Lessons learned report developed	In general, students do not have a	Work planned to be undertaken soon.	.....	Lessons learned report and guidelines for future			



Project Strategy	Indicator <sup>3</sup>	Baseline Level <sup>4</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>5</sup>	End-of project Target	Midterm Level & Assessment <sup>6</sup>	Achievement Rating <sup>7</sup>	Justification for Rating
		comprehensive view of environmental issues			replication and scaling up prepared by month 42			

### 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 cofinancing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

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

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

#### Stakeholder Engagement:

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

#### Reporting:

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

#### Communications:

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

#### **iv. Sustainability**

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

#### Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public

and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

## **Conclusions & Recommendations**

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

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

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

## **Ratings**

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

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<sup>8</sup> Alternatively, MTR conclusions may be integrated into the body of the report.

**Table. MTR Ratings & Achievement Summary Table for Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanism for Sustainable Watershed/ Land Management**

<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome Achievement Rating: (rate 6 pt. scale) 1	
	Outcome Achievement Rating: (rate 6 pt. scale) 2	
	Outcome Achievement Rating: (rate 6 pt. scale) 3	
	Etc.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## 6. TIMEFRAME

The total duration of the MTR will be approximately 40 days starting (25 February 2019), and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
(22 February 2019)	Application closes
(25 February-1 March 2019)	Select MTR Team
(4-5 March 2019)	Prep the MTR Team (handover of Project Documents)
6-11 March 2019 recommended: 2-4)	Document review and preparing MTR Inception Report
(12-22 March 2019)	

10 days	Finalization and Validation of MTR Inception Report- latest start of MTR mission
(18-23-31 March 2019) 14 days (r: 7-15)	MTR mission: stakeholder meetings, interviews, field visits
(1-2 April 2019)	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
4-11 April 2019 5 days (r: 5-10)	Preparing draft report
(12-16 April 2019) 3 days (r: 1-2)	Incorporating audit trail from feedback on draft report/Finalization of MTR report
(17-24 April 2019)	Preparation & Issue of Management Response
(26 April 2019)	(optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
(10 May 2019)	Expected date of full MTR completion

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

## 7. MIDTERM REVIEW DELIVERABLES

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

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

## 8. MTR ARRANGEMENTS

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

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

## 9. TEAM COMPOSITION

A team of 2 (two) independent consultants will conduct the MTR - one team leader (International Consultant) and one team expert (National Consultant), usually from the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

<p>The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:</p> <p><b>Position</b></p>	<p><b>General Qualifications and Experience</b></p>
<p>Key Professional Staff</p>	

International Team Leader	<p><b><u>Academic Qualifications:</u></b></p> <p>Master's degree or higher in the fields related to Environment, Natural resources, Human Ecology, Geographic, or other closely related field from an accredited college or university. (20 points)</p> <p><b><u>Experience:</u></b></p> <ul style="list-style-type: none"> <li>• Recent experience with watershed management and/or evaluation Methodologies (15 points);</li> <li>• Experience and able to identify and analyze watershed problems (10 points);</li> <li>• Experience in managing geographic research (human geography, regional development and watershed management) and can communicate it to stakeholders (10 points).</li> <li>• Experience in encouraging and realizing community development actions that empower each other between parties in participatory social, economic and political aspects (10 points);</li> <li>• Experience in developing and strengthening partnership with various private, government, domestic and foreign agencies based on the principle of mutual benefit (10 points).</li> <li>• Demonstrated understanding of issues related to gender and watershed management</li> </ul>
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<p>The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas:</p> <p><b>Position</b></p>	<p><b>General Qualifications and Experience</b></p>
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	<p>and/or community-based Land resource management; experience in gender sensitive evaluation and analysis (15 points).</p> <ul style="list-style-type: none"> <li>• Experience working with GEF or GEF evaluations, UNDP evaluations or other UN agencies and/or international organizations and/or major donor agencies is an advantage (10 points);</li> <li>• Excellent communication skills;</li> <li>• Demonstrable analytical skills;</li> </ul> <p><b><u>Language:</u></b></p> <ul style="list-style-type: none"> <li>• Excellent written and oral English skills a necessary requirement</li> </ul>
National Team Expert	<p><b><u>Academic Qualifications:</u></b></p> <p>Master's degree in the fields related to Environment, Natural resources, Human Ecology, Land Resource Management or other closely related field from an accredited college or university.(20 points)</p> <p><b><u>Experience:</u></b></p> <ul style="list-style-type: none"> <li>• Minimum 5 years of relevant experience (15 points)</li> <li>• Recent experience with result-based management / evaluation methodologies (15 points)</li> <li>• Experience in undertaking evaluations for UNDP or for GEF (10 points)</li> <li>• Experience in managing watersheds through the identification and measurement of problems due to misuse of land resources in a watershed,.(10 points)</li> <li>• Experience in identifying and measuring the influence of watershed management technology application in overcoming problems due to misuse of land resources. (10 points)</li> <li>• Experience working in preparing watershed management planning.(10 points)</li> <li>• Experience in encouraging and realizing community development actions that empower each other between parties in participatory social, economic and political aspects (10 points);</li> <li>•</li> </ul> <p><b><u>Language:</u></b></p> <p>Excellent written and oral English skills a necessary requirement</p>

## 10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon approval of the final MTR Inception Report  
30% upon submission of the draft MTR report 60%  
upon finalization of the MTR report

## 11. APPLICATION PROCESS<sup>9</sup>

### Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the template<sup>10</sup> provided by UNDP;
- b) **CV** and a **Personal History Form** (P11 form<sup>11</sup>);
- 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 by indicating the following reference “Consultant for Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes Midterm Review” by email at the following address ONLY: (bids.id@undp.org) by **(23:59 PM GMT +7 on 22 February 2019)**. 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

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<sup>9</sup> Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP:

<https://info.undp.org/global/popp/Pages/default.aspx>

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

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

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 monitoring reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement Oversight mission reports
10. All monitoring reports prepared by the project
11. Financial and Administration guidelines used by Project Team

The following documents will also be available:

12. Project operational guidelines, manuals and systems
13. UNDP country/countries programme document(s)
14. Minutes of the Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
15. Project site location maps

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

- i. Basic Report Information (*for opening page or title page*)
  - Title of UNDP supported GEF financed project
  - UNDP PIMS# and GEF project ID#
  - MTR time frame and date of MTR report
  - Region and countries included in the project
  - GEF Operational Focal Area/Strategic Program
  - Executing Agency/Implementing Partner and other project partners
  - MTR team members
  - Acknowledgements
- ii. Table of Contents
- iii. Acronyms and Abbreviations
1. Executive Summary (*3-5 pages*)
  - Project Information Table
  - Project Description (brief)
  - Project Progress Summary (between 200-500 words)
  - MTR Ratings & Achievement Summary Table
  - Concise summary of conclusions
  - Recommendation Summary Table
2. Introduction (*2-3 pages*)
  - Purpose of the MTR and objectives

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<sup>12</sup> The Report length should not exceed 40 pages in total (not including annexes).

- 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 (etc.)

## ToR ANNEX C: Midterm Review Evaluative Matrix Template

<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
(include evaluative (i.e. relationships (i.e. project documents, (i.e. document question(s)) established, level of national policies or analysis, data analysis, coherence between strategies, websites, interviews with project project design and project staff, project staff, interviews with implementation partners, data collected stakeholders, etc.) approach, specific throughout the MTR activities conducted, mission, etc.)	quality of risk mitigation strategies, etc.)		
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
<b>Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</b>			
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			

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

### Evaluators/Consultants:

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

### MTR Consultant Agreement Form

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

Name of Consultant: \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at \_\_\_\_\_ (Place) on \_\_\_\_\_ (Date)

Signature: \_\_\_\_\_

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<sup>13</sup> [www.undp.org/unegcodeofconduct](http://www.undp.org/unegcodeofconduct)

## ToR ANNEX E: MTR Ratings

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

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

<b>Ratings for Sustainability:</b> (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)*

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