

**United Nations Development Programme
Global Environment Facility**

Indonesia

GEF Medium-size Project

**“Capacity Development for Implementing Rio Conventions through Enhancing
Incentive Mechanism for Sustainable Watershed/ Land Management”
(PIMS 5224)**

MID TERM REVIEW REPORT

Mid Term Review Team:

Mr. Giacomo Morelli – Evaluation Team Leader

Mr. Muhammad Anggri Setiawan – National Expert

Date: 30/10/2019

i. Basic Report Information

Title of the UNDP supported GEF financed project

Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanism for Sustainable Watershed/ Land Management

Project ID#S

UNDP Project ID (PIMS #): 00090780

GEF Project ID (PMIS #): 5224

Project start date

August 2016

Project end date

August 2020

MTR time frame

July/October 2019

Date of MTR report

31/10/2019

Country

Indonesia

GEF Operational Focal Area/Strategic Program

Green Low Emission Climate-Resilient Development Strategies

Executing Agency/Implementing Partner

Ministry of Environment and Forestry

Executing Partner/Implementing Partner: Directorate of Planning, Evaluation, and Control of Watershed, Ministry of Environment and Forestry (MoEF); Directorate of Environmental Affairs and Directorate of Forestry and Water Resources, Ministry of National Development Planning/BAPPENAS; United Nations Development Programme (UNDP).

MTR team members

Mr. Giacomo Morelli – Evaluation Team Leader

Mr. Muhammad Anggri Setiawan – National Expert

Acknowledgments

The MTR Team acknowledges the kind participation in the review exercise of all stakeholders met during the mission in Indonesia. A special thanks to UNDP and the project management staff for their efforts to arrange the mission agenda in the country.

ii. Table of contents

| | |
|---|----|
| i. Basic Report Information | i |
| ii. Table of contents | ii |
| iii. Acronyms and Abbreviations | iv |
| 1. Executive summary | 1 |
| 2. Introduction | 6 |
| Purpose of the MTR and objectives | 6 |
| Scope & Methodology | 6 |
| Approach | 6 |
| Principles of design and execution of the MTR | 7 |
| Data collection methods | 7 |
| MTR Phases | 7 |
| Structure of the MTR report | 9 |
| 3. Project Description and Background Context | 10 |
| Development Context | 10 |
| Problems that the project sought to address | 11 |
| Project Description and Strategy | 12 |
| Project Implementation Arrangements | 12 |
| Project timing and milestones | 13 |
| Main stakeholders: summary list | 13 |
| 4. Findings | 15 |
| 4.1. Project strategy | 15 |
| Project Design | 15 |
| Results Framework/Logframe Analysis | 16 |
| 4.2. Progress Towards Result | 19 |
| Progress towards outcomes analysis | 19 |
| Analyse the GEF Tracking Tool at the Baseline with the one completed right before the MTR | 33 |
| Remaining barriers to achieving the project objective | 33 |
| 4.3. Project Implémentation & Adaptive Management | 34 |
| Management Arrangements | 34 |
| Work Planning | 35 |
| Finance and Co-finance | 35 |
| Project-level Monitoring and Evaluation Systems | 36 |
| Stakeholder Engagement | 36 |
| Reporting | 37 |
| Communications | 37 |

| | |
|---|---------------|
| 4.4. Sustainability..... | 38 |
| Financial risks to sustainability..... | 38 |
| Socio-economic risks to sustainability..... | 39 |
| Institutional framework and governance risks to sustainability..... | 39 |
| Environmental risks to sustainability..... | 39 |
| 5. Conclusions & Recommendations | 40 |
| 5.1. Conclusions..... | 40 |
| 5.2. Recommendations..... | 42 |
| Annex 1 – MTR Terms of Reference..... | I |
| Annex 2 - MTR Evaluative Matrix..... | XLIV |
| Annex 3 – List of Documents Reviewed and Consulted | XLVIII |
| Annex 4 – MTR Mission Itinerary and Agenda..... | XLIX |
| Annex 5 – List of Persons Met during the In-country Mission..... | LIV |
| Annex 6 – Ratings for Progress Towards Results | LX |
| Annex 7 – UNEG Code of Conduct Signed by the Evaluation Team Leader..... | LXI |
| Annex 8 – UNEG Code of Conduct Signed by the National Expert..... | LXII |
| Annex 9 – MTR Audit Trail..... | LXIII |
| Annex 10 – MTR Management Response..... | LXIV |
| Annex 11: Evaluation Clearance form..... | LXXI |

iii. Acronyms and Abbreviations

| | |
|----------|---|
| BAPPENAS | National Development Planning Agency |
| FGD | Focus Group Discussion |
| GEF | Global Environment Facility |
| MoE | Monitoring and Evaluation |
| MoEF | Ministry of Environment and Forestry |
| MTR | Mid Term Review |
| NGO | Non-Governmental Organization |
| NIM | National Implementation Modalities |
| NPD | National Project Director |
| NPM | National Project Manager |
| PMU | Project Management Unit |
| PIR | Project Implementation Review |
| PSA | Public Service Announcement |
| QMR | Quarterly Monitoring Report |
| SDG | Sustainable Development Goal |
| SLM | Sustainable Land Management |
| SWM | Sustainable Watershed Management |
| UNCBD | United Nations Convention on Biological Diversity |
| UNCCD | United Nations Convention to Combat Desertification |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UNDP | United Nations Development Programme |
| UNPDF | United Nations Partnership for Development Framework |
| WDCD | World Day on Combating Desertification |

1. Executive summary

Project Information Table

| | | | |
|---|--|---|-------------------|
| Project Title | Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanisms for Sustainable Watershed/Land Management | | |
| UNDP Project ID (PIMS #): | 5224 | PIF Approval Date: | June 12, 2014 |
| GEF Project ID (PMIS #): | 5848 | CEO Endorsement Date: | October 28, 2015 |
| ATLAS Business Unit, Award # Proj. ID: | BU: IDN10 Award: 00090780 Project: 00096387 | Project Document (ProDoc) Signature Date (date project began): | August 31, 2016 |
| Country(ies): | Indonesia | Date project manager hired: | January 16, 2019 |
| Region: | RBAP | Inception Workshop date: | February 17, 2017 |
| Focal Area: | Multiple focal area | Midterm Review completion date: | October 2019 |
| GEF Focal Area Strategic Objective: | CD 2, 4, 5 LD 3 | Planned planed closing date: | August 31, 2020 |
| Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]: | GEF TF | If revised, proposed op. closing date: | N/A- |
| Executing Agency/ Implementing Partner: | Ministry of Environment and Forestry | | |
| Other execution partners: | - | | |
| Project Financing | <i>at CEO endorsement (US\$)</i> | <i>at Midterm Review (US\$)*</i> | |
| [1] GEF financing: | 1,880,000 | 1,104,745 | |
| [2] UNDP contribution (cash): | 50,000 | 30,000 | |
| [2] UNDP contribution (in kind): | 50,000 | 18,000 | |
| [4] Government: | 5,500,000 | 2,689,556 | |
| [5] Other partners: | - | | |
| [6] Total co-financing [2+3+4+5]: | 5,600,000 | 2,737,556 | |
| PROJECT TOTAL COSTS [1+6] | 7,480,000 | 6,579,857 | |

Brief Project Description

The key rationale of the project is to address the issue of weak enforcement of Indonesia's legislative and regulatory frameworks. The project also aims at addressing the weakness of the country's existing financial and economic instruments, which proved to be insufficient deterrents to unsustainable natural resource use.

Sustainable watershed management is used as a tool for mainstreaming global environmental values while strengthening the policy and legislative instruments to reinforce an enabling environment for the implementation of the three Rio Conventions.

The long-term goal of the project is "to strengthen a set of important capacities for Indonesia to make better Sustainable Land Management (SLM) / Sustainable Watershed Management (SWM) decisions to meet and sustain global environmental obligations".

The objective of the project is "to strengthen targeted legal and regulatory frameworks as well as economic incentives to meet global environmental outcomes through sustainable watershed management".

The design of the project includes three outcomes: (1) Strengthened policy, legislative, and economic instruments; (2) Strengthened institutional and individual capacities to mainstream SLM/SWM; and (3) Improving awareness of global environmental values.

Project Progress Summary

Assessing the project's achievement towards its higher-level aims is challenging, in no small part due to the design of the project's Results Framework: the three indicators at the Objective level are not 'SMART' and cannot capture project achievements, particularly not in a comparative way. Furthermore, the formulation of the three Objective's indicators is almost identical to the formulation of the three project outcomes, which in turn do not have indicators at all. Therefore, the project achievements may be captured only at output level.

Due to the lack of discernible differences between Output indicators and those within the same component, but higher up the Results Framework, it can be stated that the project has made substantial progress against the achievement of Outcome 1 "Strengthened policy, legislative, and economic instruments" and Outcome 2 "Strengthened institutional and individual capacities to mainstream SLM/SWM".

Most outputs under Outcome 1 have been substantially achieved. A resource mobilization strategy and coordination protocols between three MoEF directorates, i.e. the project partners are the two key outputs that have not yet been drafted.

Outputs under Outcome 2 present critical elements. However, their formal and substantial achievement is likely to happen by the end of the project. The critical elements refer to the revision of the mandates of relevant institutions in charge of implementing the Rio Conventions and to the implementation of trainings for public officials on M&E of the integrated SWM approach that represents a novelty for the Indonesian Government and its staff. Time constraints may lead to poor and not well informed revision of mandates as well as to poor learning retention of public officials.

The outputs related to Outcome 3 "Improving awareness of global environmental values" are instead unlikely, on the whole, to be achieved within the project timeframe. In addition, the achievement of all outputs under Outcome 3 is not fully assessable because the target levels of three indicators are missing and an indicator is not measurable.

MTR Ratings & Achievement Summary Table

| Measure | MTR Rating | Achievement Description |
|---------------------------------|--|--|
| Project Strategy | N/A | The three indicators at the Objective level are not SMART and cannot be utilized to measure achievements. In addition, the project design renders certain sections of the Results Framework rather redundant, i.e. the formulation of the three indicators is almost identical to the formulation of the three project outcomes, which in turn do not have indicators. Consequently, the project achievements are only captured at output level. It is self-evident that the project lays the groundwork for a more effective implementation of the Rio Conventions: The indicators at the output level capture and describe this groundwork. The absence of target levels for some identified output indicators represents a concern in terms of the project management accountability. |
| Progress Towards Results | Objective: Moderately Satisfactory | The progress towards the objective is not measurable by its indicators because they are not SMART. The MTR Rating results by pondering the rating assigned at outcome level according to their relative importance: policy support and capacity development (Outcomes 1 and 2) are the main project priorities, whereas public awareness (Outcome 3) is a tool to have them upheld. |
| | Outcome 1: Satisfactory | Note: Due to the lack of indicators at Outcome level, the MTR assesses the progress towards the achievement of Outcome 1 considering the progress towards the achievement of the outputs under this outcome. Most outputs under Outcome 1 have been substantially achieved except from two key outputs that are still to be achieved: a resource mobilization strategy and coordination protocols. |

| | | |
|---|--|---|
| | Outcome 2: Moderately Satisfactory | Note: Due to the lack of indicators at Outcome level, the MTR assesses the progress towards the achievement of Outcome 2 considering the progress towards the achievement of the outputs under this outcome. Outputs under Outcome 2 present critical elements but their formal and substantial achievement is likely to happen by the end of project. The critical elements refer to the revision of the mandates of relevant institutions in charge of implementing the Rio Conventions and to the implementation of trainings for public officials on M&E of the integrated SWM approach, a novelty for the Indonesian Government and its staff. Time constraints may lead to poor and not well informed revision of mandates as well as poor learning retention of public officials. |
| | Outcome 3: Moderately Unsatisfactory | Note: Due to the lack of indicators at Outcome level, the MTR assesses the progress towards the achievement of Outcome 3 considering the progress towards the achievement of the outputs under this outcome. The outputs related to Outcome 3 "Improving awareness of global environmental values" are unlikely, on the whole, to be achieved within the project timeframe. The achievement of all outputs under Outcome 3 is not fully assessable because the target levels of three indicators are missing and an indicator is not measurable. |
| Project Implementation & Adaptive Management | Satisfactory | The initial delay of project implementation has been almost fully recovered, with the exception of activities related to Outcome 3. The PMU did not make any substantial changes to the Results Framework bar one that was, approved by the Project Board, to implement the pilot activities through a grant-scheme. The choice represents a unique example of adaptive management, put in place during the project implementation because the PMU has been adhering to the Results Framework to carry out project activities. Management arrangements and the M&E system in place proved to be appropriate for the implementation of activities. Reporting requirements were met and project internal communications assure a continuous flow of information between project stakeholders at institutional and at field level, where project staff built respectful and trustful relationships with project communities. Finally, it is noted that the project was implemented closely with public institutions. |
| Sustainability | Moderately likely | The risks for the overall sustainability of the project exist within the Indonesian government's capacity and will to continue the work initiated by the project, which as has been stated, is laying the foundations for the implementation of the Rio Conventions. The financial risks lie intrinsically in the capacity of the Government of Indonesia to utilize the tools formulated by the project in the near future. |

Summary of conclusions

Stakeholders met during the MTR mission confirmed that the lack of a policy framework and coordination amongst public authorities hinder an effective promotion of the three Rio Conventions at country level.

The project suffered a delay of more than one year following the merge of two existing ministries (Environment and Forestry) into one to become the MoEF, which is the project's Executing Agency. The merge affected the operational capacity of the newly established ministry, which ultimately contributed to the delay.

The three indicators at the Objective level are not 'SMART' and cannot be used to measure project achievements, particularly not in a comparative way. Furthermore, the project design renders certain sections of the Results Framework rather redundant, i.e. the formulation of the three indicators is almost identical to the formulation of the three project outcomes, which in turn do not have indicators. Therefore, project achievements are only captured at output level. The indicators at the output level capture and describe the groundwork that the project lays for the implementation of the Rio

Conventions. The MTR notes that the absence of target levels for some identified output indicators represents a concern in terms of the project management accountability.

The MTR questions the value of Outcome 3 in achieving the project objective. Indeed, neither the project objective nor the long-term goal, given their formulation, relates to public awareness about environmental concerns: policy support and capacity development are the main project priorities, whereas public awareness is a tool to have them upheld.

Project output 2.2.2 “Pilot activities to mainstream Rio Conventions into SWM at selected sites” may provide empirical evidence for scaling up the project approach at the national level. This evidence, along with the sets of documents produced through the outputs under outcome 1 and with the 2 watershed management plans formulated within the project, may be used by the Indonesian government to scale the project approach to other watersheds in the country. This empirical evidence is the most tangible outcome of the project, though it is not mentioned in either the Project Document or the Results Framework.

The capacity of local communities to implement the grants successfully, the capacity of local authorities to support the communities to do so, and the capacity of local authorities to monitor and document the grants’ implementation represent the main barriers to achieving the key outcome of the project. In this regard, the MTR notes that the capacity of local authorities to monitor and document an integrated approach, as promoted by the project, has never been tested in the past.

The project mainly involves institutional stakeholders who belong to public institutions at the national, provincial and district levels, along with communities that are involved in the piloting activities. NGOs and private sector representatives are not involved in the implementation of any of the activities. The MTR cannot express any normative judgements in this regard. It is, however, self-evident that the overall ability of the watershed management plans to be replicated elsewhere will have to be drastically adapted if they are to suit situations where the presence of private companies is predominant. Finally, the MTR acknowledges that NGOs were not considered during the project implementation, though they are indeed significant agents of change in the Indonesian context.

Management and internal communication arrangements are straightforward. The PMU members are able to make informed decisions. Reporting lines between the project staff are clear.

The micro-grant mechanism is very much appreciated by all project stakeholders that were met during the MTR mission in Indonesia. This choice enables smooth implementation of the pilot activities and represents a unique example of adaptive management put in place during the project implementation because the PMU had been adhering to the Results Framework to carry out project activities and no major changes were needed.

The current monitoring conducted by project staff and the PMU is adequate. However, there is still the necessity to populate the baseline values of the GEF Tracking Tool, which read as “to be determined”.

Communication between project staff and local authorities in Pesawaran District does not present any critical issue, whereas a high degree of bureaucracy makes communication difficult in Malang District.

The risks for the overall sustainability of the project exist within the Indonesian government’s capacity and will to continue the work initiated by the project, which as has been stated, is laying the foundations for the implementation of the Rio Conventions. The financial risks lie intrinsically in the capacity of the Government of Indonesia to utilize the tools formulated by the project in the near future.

Recommendations table:

| # | Recommendation | Entities responsible |
|----------|--|----------------------|
| A | Outcome 1: Strengthened policy, legislative, and economic instruments | |
| A.1 | --- | --- |
| B | Outcome 2: Strengthened institutional and individual capacities to mainstream SLM/SWM | |
| B.1 | Organize relevant trainings on M&E for local authorities at district level to effectively monitor the implementation of the grants by the working groups and document the empirical evidences, which may be used for scaling up the project approach by the Government of Indonesia. | PMU |
| B.2 | Organize relevant intensive trainings for community working groups to support the implementation of the grants. | PMU |
| B.3 | Conduct two workshops per watershed with representatives from all working groups to share knowledge and skills accrued through grants' implementation and develop best practice to feed into scale up efforts. The workshops should include the participation of all concerned local stakeholders and officers from the three Directorates of the MoEF in Jakarta. | PMU |
| B.4 | Negotiate with local authorities at the district level for additional budget allocations to support follow up and monitoring of the grants' implementation, and of the watershed management plans. This budget allocation may be done in September-December 2020, i.e. when the districts officially revise their budgets. | PMU |
| B.5 | Include as a target "26 pilot grants implemented and documented" in the Results Framework as a replacement for the wording of indicator 2.2.2 which currently reads "Selected exercises piloted at project sites" in order to enhance project accountability. | UNDP, MoEF and PMU |
| B.6 | Negotiate a more effective and less bureaucratic mechanism of communication with the district authorities in Malang District, East Java Province | PMU |
| B.7 | Organize exchange visits between working groups within the same village to promote an integrated approach with them, i.e. synergising learning and reinforcing project messaging. | PMU |
| C | Outcome 3: Improving awareness of global environmental values | |
| C.1 | Do not implement activities related to Output 3.3 "Public service announcements on environmentally friendly behaviour", as there are no means to evaluate the awareness raising effects of the PSAs on large audiences such as those of television and radio. | UNDP, MoEF and PMU |
| C.2 | Implement the activities related to Output 3.4 "Improved educational content and youth engagement" with the support of an additional staff, i.e. a specialist in Youth Engagement to be hired, in order for the current staff to be able to work on the remaining project outputs and to allow an effective accompaniment of a substantive achievement of project outputs. | PMU |
| C.3 | Speed up, through the hiring of a Youth Engagement specialist, the activities for the formulation of the "education module for institutions on Rio Conventions" (indicator 3.4.1) and for "environmental awareness module for secondary schools" and apply both modules in at least one secondary school in each project district, Lampung and Malang. | PMU |
| C.4 | Define realistic, in terms of budget and time, target values for the indicators 3.4.3 "Tree planting in the selected watershed" and 3.4.4 "High school and youth field visit and study tour" in order to enhance project accountability. | UNDP/MoEF/PMU |
| D | Project Objective | |
| D.1 | Request at least a six-month no-cost extension to recover the initial delay in overall project implementation | UNDP, MoEF and PMU |
| D.2 | Accompany the no-cost extension with an overall budget revision that considers the financial requirements of the remaining recommendations. | UNDP, MoEF and PMU |

2. Introduction

Purpose of the MTR and objectives

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

The MTR team assesses the following four categories of project progress:

1. Project Strategy

- Project design
- Results Framework/Logframe

2. Progress towards results

- Progress Towards Outcomes Analysis
- Comparison and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review
- Remaining barriers to achieving the project objective in the remainder of the project

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. Sustainability

- Financial risks to sustainability:
- Socio-economic risks to sustainability:
- Institutional Framework and Governance risks to sustainability:
- Environmental risks to sustainability:

The MTR Team applied a collaborative and participatory approach, ensuring close engagement with the Implementing Partner, the Project Team and UNDP.

The MTR Terms of Reference are available in Annex 1.

Scope & Methodology

Approach

A theory-based and utilization-focused approach was used for the MTR.

A theory-based evaluation focuses on analysing a project's underlying logic and causal linkages. Indeed, projects are built on assumptions on how and why they are supposed to achieve the agreed results through the selected strategy; this set of assumptions constitutes the 'program theory' or 'theory of change'. The MTR was based on the theory of change analysing the strategy underpinning the project, including objectives and assumptions, and assessing its robustness and realism.

A utilization-focused approach is based on the principle that evaluations and reviews should be judged on their usefulness to their intended users; therefore, they should be planned and conducted in ways that enhance the likely utilization of both the findings and of the process itself to inform decisions. Indeed, the MTR provides a set of actionable recommendations.

Principles of design and execution of the MTR

Purposeful sampling¹ was utilised to identify stakeholders for interviews and focus group discussions (FGDs). The MTR design was formulated in consultation with the Project Management Unit (PMU) drawing on, in particular, the National Project Manager's (NPM) in-depth project knowledge.

The sampling and the consequent work plan necessarily took into account the availability of stakeholders to participate in the MTR process.

The MTR was characterized by a high degree of stakeholder participation and was triangulated with secondary data obtained as part of the broader MTR process.

Data collection methods

The MTR exercise has utilized the following primary and secondary data collection methods:

- Desk based-review of project documents and reports;
- Interviews;
- Focus Group Discussions (FGDs); and
- Field visits.

Different methodological approaches to data analysis were applied to identify key findings from the collected data as well as to draw conclusions and make recommendations. These approaches included:

- Contribution analysis: To assess causal questions and infer causality in project evaluations;
- Trend analysis: To understand - both within the project's lifespan and possibly beyond - how activities and outputs contribute to common objectives over time; and
- Comparative analysis: To compare the perceptions and opinions of stakeholders and stakeholder groups towards the different achievements of the project.

The MTR Evaluative Matrix is included in Annex 2.

MTR Phases

The MTR exercise took place over four months between July and October 2019. It was conducted in three different phases:

Phase One: Inception Phase (home-based)

From 31st July to August 15th – During the inception phase the MTR Team reviewed the project documents and reports made available by the PMU. At the end of this phase, the MTR Team submitted an MTR Inception Report to UNDP.

Annex 3 includes the list of documents reviewed and consulted.

Phase Two: MTR Mission in Indonesia

From 27th August to 6th September – The mission schedule was organized by the PMU, namely by the National Project Manager (MoEF). The detailed mission itinerary and agenda is included in Annex 4.

Whilst in country, the MTR team met stakeholders from the following organizations, institutions and communities:

In Jakarta:

- UNDP
- Ministry of National Development Planning

¹ "The logic and power of purposeful sampling lies in selecting information-rich cases for in-depth study. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the inquiry, thus the term purposeful sampling. Studying information-rich cases yields insights and in-depth understanding rather than empirical generalizations." Patton MQ. *Qualitative research and evaluation methods*. 3rd Sage Publications; Thousand Oaks, CA: 2002.

- Ministry of Environmental and Forestry:
 - Directorate of Watershed Management and Evaluation
 - Directorate of Adaptation on Climate Change
 - Directorate of Biodiversity Conservation

In Lampung Province:

- Management Office of Watershed and Protected Forest Way Sekampung Seputih (BPDASHL WSS)
- Conservation Office of Natural Resource Bengkulu and Lampung (BKSDA Bengkulu Lampung)
- Forest Management Unit (KPH Lampung)
- Office of Agriculture, Pesawaran District (Dinas Pertanian Kabupaten Pesawaran)
- Office of Tourism, Pesawaran District (Dinas Pariwisata, Kabupaten Pesawaran)
- Office of Environment, Pesawaran District (Dinas Lingkungan Hidup, Kabupaten Pesawaran)
- Bureau of Village Development, Secretary Office of Pesawaran District (SETDA, Kabupaten Pesawaran)
- Bureau of Regional Planning and Development of Pesawaran District (BAPPEDA, Kabupaten Pesawaran)
- Representatives of local communities:
 - Chiefs of Agroforestry Working Groups operating in the village Bayas Jaya
 - Chief of the Tourism Working Group operating in the village Bayas Jaya
 - Chief of the Environment Working Group operating in the village Bayas Jaya
 - Chief of the village Bayas Jaya

In Malang Province:

- Management Office of Watershed and Protected Forest Brantas Sampean (BPDASHL Brantas Sampean)
- Conservation Office of Natural Resource in East Java Province (BKSDA Jawa Timur)
- Office of National Park Bromo Tengger Semeru (BBTN Bromo Tengger Semeru)
- Office of Public Service for Water Resource in Malang District (PU SDA, Malang)
- Office of Tourism Malang (Dinas Pariwisata, Malang)
- Office of Environment Malang (Dinas Lingkungan Hidup, Malang)
- Bureau of Regional Planning and Development of Malang District (BAPPEDA Malang)
- Secretary of Malang District (Setda Malang)
- Office of Forestry in Malang (Dinas Kehutanan Malang)
- University of Brawijaya
- Office of Cooperative and Small-middle Business in Malang (Dinas Koperasi dan UKM Malang)
- National Forest Company (Perhutani)
- Representatives of local communities:
 - Chiefs of Agroforestry Working Groups operating in the village Bringin
 - Chief of the Tourism Working Group operating in the village Bringin
 - Chief of the Environment Working Group operating in the village Bringin
 - Chiefs of Bambang and Bringin villages

As the MTR Team were unable to meet those responsible for formulating the Project Document, the evaluative questions around the identification/design phase of the project were unable to be fully answered.

Annex 5 includes the list of persons met during the in-country mission.

Phase Three: Reporting Phase (home-based)

From 7th September to 31st October – The MTR Team submitted a draft MTR report to UNDP on 2nd October. Following the receipt of an annotated draft from UNDP (23rd October), the MTR Team finalised the report for submission on 30th October.

[Structure of the MTR report](#)

The MTR report consists of three core sections:

- *Project Description and Background Context*
The section briefly describes the project and the context in which it was designed and is being implemented in.
- *Findings*
This section provides answers to the four categories of project progress, i.e. Project Strategy, Progress towards results, Project Implementation and Adaptive Management, and Sustainability.
- *Conclusion & Recommendations*
The section includes an evidence-based conclusion and offers key recommendations that are specific, achievable and relevant.

3. Project Description and Background Context

Development Context

There are a number of problems hindering the operations of government ministries to address environmental issues. These include insufficient funding, a limited flow of information, weak coordination, and weak technical staff capacities. The latter includes insufficient human resources for enforcement and monitoring, limited technology, and inadequate training and awareness-raising on environmental issues. High-level decision makers' limited awareness about the value of environmental resources has resulted in the environment being undervalued and not incorporated into planning decisions. An additional barrier is the inability of the MoEF to effectively carry out its mandate to coordinate the planning and implementation of environmental compliance and enforcement among sectoral agencies. The merger that resulted in the creation of the Ministry of Environment and Forestry has reduced its capacity to coordinate, as sectoral ministries do not have the mandate to manage coordination functions amongst line ministries.

Environmental and human sustainability are mutually dependent and beneficial. As such, deforestation and biodiversity loss impacts the livelihoods of farmers, as well as vulnerable groups like women and children. Women are particularly vulnerable to the impact of deforestation and biodiversity loss, as it affects both their roles as farmers and community members. Women face specifically gendered disadvantages due to their typical roles in farming which are often unpaid and expose them to high levels of harmful chemicals. In addition, the decrease in groundwater, deforestation and pollution from run-off in nearby lakes and rivers limits the resources available for community members, particularly women, to provide adequate support for their families and children. Since household chores and care-giving activities requiring natural resources are traditionally carried out by women, the burden of responsibility to find alternatives on behalf of the household falls to women. This makes the human impacts of scarcity highly feminized at the local level. It is important to note, however, that women are not only vulnerable to climate change, but they are also critical agents of change in relation to both mitigation and adaptation.

Three key challenges underpin Indonesia's efforts to rehabilitate its degraded forest and land: Firstly, the forestry sector presents a microcosm that magnifies Indonesia's significant but not insurmountable challenges in realizing gender equality overall. Secondly, natural resource management - especially the management of forest and land - is a deeply technical process that is influenced by still-evolving capacities and knowledge. Thirdly, institutional responsibility for this process has until recently been determined through ad hoc arrangements, which have generated a high level of uncertainty. Subsequently, there is full recognition that significant investment needs to be made to strengthen gender equity not only in the implementation of relevant initiatives, but in the decision-making bodies guiding the work, and in the relevant institutions mandated to support implementation.

Indonesia is still suffering from bottlenecks that hamper its implementation of the Rio Conventions, i.e. the United Nations Convention on Biological Diversity (UNCBD), the United Nations Framework Convention on Climate Change (UNFCCC) and the United Nations Convention to Combat Desertification (UNCCD). One major hurdle to overcome is the weakness of the current legislative and regulatory frameworks. The current set of instruments (e.g., laws, by-laws, codes) are sub-optimal not only because they lack enforcement power, but also regulations around the utilization of natural capital.

Although numerous policies and programmes exist, they are often not mainstreamed into the national, provincial and local development planning processes. Additionally, there are often insufficient systemic and institutional capacities for planning and managing initiatives, and in many cases, no monitoring and evaluation mechanisms exist. The collective result is that programmes are ultimately poorly managed, and policies remain unenforced.

To compound this situation, coordination between relevant agencies is very low level. Communication and coordination between the national and regional levels of government is inadequate and since the government is highly decentralized, there is often overlap and/or conflicting policies and priorities. Given the differences in poverty across Indonesia, regional needs are often at odds with national demands. Indonesia's geography is such that the distribution of forest, wildlife and resources extends beyond protected area borders and across different provinces' borders; whilst key stakeholders across these borders resist collaboration and coordination, the effective implementation of their programmes and interventions in support of the Rio Conventions cannot be realised and this remains a major systemic challenge.

Exacerbating this inadequate coordination is the dissonance between geographic boundaries and administrative boundaries. In fact, one of the main challenges in managing watersheds at the field level is the incompatibility of watershed boundaries with administrative boundaries. This incompatibility results in difficulty in structuring accountability and securing participation of stakeholders who live in different administrative boundaries. Additionally, the disconnect leads to difficulty in development planning, implementation, and monitoring within administrative boundaries.

Related coordination issues include the resistance of a number of government officials to work with and include NGO representatives in decision-making. As a result, planners and decision-makers do not seize opportunities to access and use better data and information, leading to weaker decisions regarding the global environment.

Another barrier that limits the effective implementation of the Rio Conventions is the lack of leadership by government officials and their subsequent ownership of initiatives. To complicate matters further, the merger of the Ministry of Environment with the Ministry of Forestry in mid-2015 brought with it confusion and uncertainty regarding several important aspects of the new Ministry of Environment and Forestry, not simply around staffing and roles, but importantly around leadership, ownership and accountability.

Financial and technical resource limitations invariably mean that the complexity of the human and ecological nexus in Indonesia is not reflected fully in responses. Planning frameworks and associated decision-making bodies are thus generally devoid of economic incentives to address the Rio Conventions, and existing subsidies, taxes, and other fiscal measures distort the true value of the environment and natural ecosystem.

Indonesia's high-level decision makers' lack of awareness about the value of biodiversity is problematic in and of itself, but also drives the aforementioned lack of resourcing and investment. Due to this lack of awareness, biodiversity issues have not been made a priority, have not been considered as resources that are economically important, and have not been mainstreamed into economic sectors. A widespread lack of awareness and understanding among the public about numerous environmental issues, such as the rationale behind protecting areas, also inhibits implementation of the conventions.

Finally, weak and inconsistent private sector engagement in sustainable management practices, and poverty, combined with the international demand for Indonesia's natural resources, that leads to illegal activity represents another major challenge

Problems that the project sought to address

The key rationale of the project is addressing the issue of weak enforcement of Indonesia's legislative and regulatory frameworks by filling critical gaps in the country's capacities. Another challenge that the project aims to address is the weakness of the country's existing financial and economic instruments, e.g., subsidies, taxes, fees, and fines that do not currently act as sufficient deterrents to unsustainable natural resource use.

The innovativeness of the project comes about by using sustainable watershed management as the basis for mainstreaming global environmental values. Beginning with the exercise of mainstreaming best practices and other innovative approaches that is being piloted, the project takes a vertical integration approach to strengthening the technical capacities needed to implement and sustain best practices. The project would also strengthen the appropriate policy and legislative instruments to reinforce a supportive enabling environment.

Project Description and Strategy

The long-term goal of the project is “to strengthen a set of important capacities for Indonesia to make better SLM/SWM decisions to meet and sustain global environmental obligations”.

The objective of the project is “to strengthen targeted legal and regulatory frameworks as well as economic incentives to meet global environmental outcomes through sustainable watershed management”.

The design of the project includes 3 outcomes and 13 related outputs.

Outcome 1: Strengthened policy, legislative, and economic instruments.

Output 1.1: Targeted policies, legal and regulatory instruments are amended (strengthened).

Output 1.2: Best practice economic instruments developed.

Output 1.3: SLM mainstreamed into development policies/strategies.

Output 1.4: Strengthen institutional mechanisms for improved coordination and collaboration.

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.

Output 2.2: Pilot activities to mainstream Rio Conventions into SWM at selected sites.

Output 2.3: Training programme on improved methodologies and analytical skills.

Output 2.4: Improved monitoring and evaluation frameworks to measure and facilitate compliance.

Output 2.5: Strengthened SLM/SWM institutional mandates.

Outcome 3: Improving awareness of global environmental values

Output 3.1: Stakeholder dialogues on the value of Rio Conventions

Output 3.2: Brochures, bulletins, and articles on the Rio Conventions

Output 3.3: Public service announcements on environmentally friendly behaviour

Output 3.4: Improved educational content and youth engagement

Project Implementation Arrangements

This project is being implemented within the context of the United Nations Partnership for Development Framework (UNPDF) for 2011-2015 and the UNDP Strategic Plan for 2014-2017.

The project is implemented according to UNDP's support to the National Implementation Modality (NIM) by the Ministry of Environment and Forestry (Focal Point for the UNCBD, UNCCD, UNFCCC and GEF). UNDP Country Office (as the GEF Implementing Agency) has a specific project assurance and oversight role with overall accountability and responsibility for the delivery of results to the GEF.

The implementing partner is the Ministry of Environment and Forestry (MoEF), which is responsible and accountable for managing the project, including monitoring and assessing project delivery and the effective use of project resources. The Directorate of Planning, Evaluation and Control of Watershed of the MoEF, the Directorate of Environmental Affairs and Directorate of Forestry and Water Resources of BAPPENAS, and UNDP under Country Office Support Services (COSS) mechanism act as the responsible parties.

The Project Board should provide oversight to project implementation, including the tracking and assessment of the use of project financing, both in-kind and external. This includes ensuring the contribution of the required co-financing to project activities and alignment with the Second National Development Plan of 2015-2019. Regular operational oversight is ensured by UNDP through its country office in Jakarta. Strategic oversight is provided by the UNDP/GEF Regional Technical Advisor responsible for the project who ensures that the project practices due diligence with regard to UNDP's Environmental and Social Screening Procedure.

The Project Board is the highest decision-making body in project management and implementation. Its responsibilities include providing overall direction and review of the project implementation, reviewing and approving the Annual Work Plan, and ensuring that the project functions appropriately.

A Project Management Unit (PMU) comprises a National Project Manager (NPM) and is located in the MoEF. Four expert working groups provide technical oversight on all project activities as well as technical analyses. Individual consultants are recruited to draft various project analyses as well as to provide technical facilitation of the learning-by-doing expert workshops.

UNDP Indonesia, in consultation with the UNDP/GEF Regional Coordinator and members of the Project Board, has the authority to suspend disbursement if project performance benchmarks are not met as per delivery rates, and qualitative assessments of achievements of outputs.

UNDP, as the GEF implementing agency, holds overall accountability and responsibility for the delivery of results to the GEF. Working closely with the MoEF, the UNDP Country Office has the project assurance role and (i) provides financial and audit services to the project including budget release and budget revision; (ii) oversees financial expenditures against project budgets; (iii) ensures that all activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures; (iv) ensures that the reporting to GEF is undertaken in line with the GEF requirements and procedures; (v) ensure project objectives achievement and timeliness; (vi) facilitate project learning, exchange and outreach within the GEF family; (vii) contracts the project mid-term and final evaluations; and (viii) triggers additional reviews and/or evaluations as necessary and in consultation with the project counterparts.

[Project timing and milestones](#)

The MTR exercise took place at the end of the third year of project implementation, where one year of implementation remains before close out. No specific milestones are described either in the Project Document or in the Results Framework.

[Main stakeholders: summary list](#)

Ministry of Environment and Forestry (MoEF)

The MoEF is responsible for biodiversity conservation, protected area and wildlife management, forest management and REDD+, and climate change mitigation and adaptation. In addition, the MoEF is responsible for coordinating all activities related to environmental issues, watershed management, land degradation, compliance monitoring and supervision, and environmental criminal case investigation. The MoEF is also responsible for protecting, rehabilitating, and conserving soil and water. Finally, the focal points for the three Rio Conventions sit in three Directorates which belong to the MoEF: the Directorate of Watershed Management and Evaluation, the Directorate of Adaptation on Climate

Change, and the Directorate of Biodiversity Conservation. The Directors of the three Directorates constitute the Project Board.

The National Development Planning Agency (BAPPENAS).

The National Development Planning Agency, otherwise known as BAPPENAS, is responsible for national economic and development planning, as well as the development of strategies and policies in determining financial allocations for the various sectors of the national economy, including mainstreaming and coordinating the environmental programmes (i.e watershed management/land degradation, biodiversity conservation, and climate change) and budgeting them into the national development planning system. BAPPENAS is also in charge of coordinating the implementation of the National Action Plan to Reduce Greenhouse Gas Emissions as well as the Sub-National Action Plan to Reduce Greenhouse Gas Emissions. BAPPENAS helps develop the National Adaptation Plan, in coordination with line ministries, and the Intended Nationally Determined Contribution as part of Indonesia's commitment to help reduce greenhouse gas emissions. BAPPENAS is a project partner and collaborates strictly with the PMU. The Director of the institution sits on the Project Board.

Provincial and local authorities

The authorities of Lampung and East Java Provinces, and those of Pesawaran District in Lampung and Malang in East Java participate in the project by supporting project staff in implementing activities in the two project watershed management plans.

Communities

The communities of the villages, Bayas Jaya in Pasawaran District (Lampung Province) and Bringin and Bambang in Malang District (East Java) are the target populations of the pilot activities foreseen in the project design.

4. Findings

4.1. Project strategy

Project Design

The project is designed to address country priorities in order to improve the implementation at national level of the three Rio Conventions, i.e. the UNFCCC, UNCCD and UNCBD.

The main assumptions underlying the project design are that a weak policy environment, poor coordination amongst stakeholders and low-level awareness amongst all stakeholders around environmental issues are at the core of Indonesia's challenge in implementing the Rio Conventions.

All stakeholders met during the MTR mission confirmed the lack of a conducive policy framework and coordination amongst relevant national, provincial and district authorities as main obstacles for quality implementation of the conventions and, more broadly, for the promotion of sustainable natural resource management.

As mentioned earlier in the report (refer to Scope and Methodology chapter), the MTR Team could not engage with the individuals originally involved in the identification of the project and in the formulation of the Project Document and Results Framework. As such, the MTR exercise was unable to provide insights around how the perspectives of those who would have at the time been affected by the project's decisions, those who could have affected its outcomes, and those who could have contributed information or other resources to the process when the project was initially being designed.

The MTR Team confirmed with all stakeholders met that they did not indeed participate in the identification phase of the project.

Subsequently, the MTR exercise was also unable to assess whether or not lessons from other projects were indeed incorporated into the project design.

The project's design includes features related to:

- Policy support (Outcomes 1 and 2)
- Capacity building (Outcomes 1 and 2);
- Support to implementation (Outcomes 1 and 2); and
- Awareness raising (Outcome 3)

These features are typical of technical cooperation support projects that in the long term aim to improve the quality of aid effectiveness by strengthening capacities at individual, institutional and policy levels and to raise awareness.

Outcomes 1 and 2 may clearly lead to the achievement of the project objective, while the contribution of Outcome 3 to such achievement is less significant. Indeed, the project objective and as well the long-term goal, as per their formulation, have very little to do with the public awareness about environmental concerns. However, the MTR acknowledges that a better awareness towards the environment may represent an element enhancing the implementation of the Rio Conventions. Ultimately, and as confirmed by project partners, policy support and capacity development are the main project priorities, whereas public awareness is a tool to have them upheld.

The intervention supports two focus areas for UNDP at the global level, i.e. sustainable development and climate change. The project covers the three main dimensions of UNDP's institutional engagement at global and regional levels: capacity development, water resource management and climate change.

The project adds to with the efforts put in place by Indonesia to advance the implementation of the three Rio Conventions. Relevant national strategies and policies related to the project are the following:

- Indonesian Biodiversity Strategy and Action Plan 2015 – 2020
- National Action Program (NAP) for Combating Desertification, Land Degradation, and Drought in Indonesia (2008 – 2017)
- National Action Plan to Reduce Greenhouse Gas Emissions (2010 - 2020) and the Provincial Action Plans to reduce Greenhouse Gas Emissions
- The National Forestry Plan 2011-2030
- Decree by Ministry of Environment and Forest No. 306/MENLHK/PDASHL/DAS.0/7/2018: Determination of national critical land status in Indonesia

Even though the gender dimension of natural resource management is explicitly highlighted in the Project Document, the process to address gender issues is not operationalized in the project design, i.e. in the Results Framework, which ultimately is the tool utilized for project management, monitoring and evaluation.

Results Framework/Logframe Analysis

It is important to note that the achievement of each of the three outcomes does not necessarily imply the achievement of the other outcomes. The project design does not explicitly express how each outcome and its related outputs and activities should or may feed into the others. From this perspective, the project design is loose and leaves a large amount of room to manoeuvre for those overseeing project implementation.

The design of activities and outputs is logical and likely to lead to the achievement of the related outcomes. Outputs relating to Outcomes 1 and 2 are integrated in such a way that the achievement of one output implies, at least partially, the achievement of other outputs within the same project component, or outcome. For example, it is intuitive that the amended regulatory instruments (Output 1.1) will inevitably affect the achievement of Output 1.4, i.e. strengthening institutional mechanisms for improved coordination and collaboration. On Outcome 2, it is evident that training (Output 2.3) and improved monitoring and evaluation frameworks (Output 2.4) will necessarily affect the way the pilot activities are implemented (Output 2.2).

The outputs relating to Outcome 3 do not demonstrate the same degree of sequential integration, i.e. they can be independently achieved without affecting the achievements of other outputs.

The degree of expected integration between outputs (under Outcomes 1 and 2) is not defined and leaves large room for manoeuvre to those in charge of project implementation.

The MTR acknowledges that the formulation of project objective, outcomes and outputs is very redundant. Briefly, the formulation of the objective and outcomes do not capture any changes, which are not already captured at output level.

The Results Framework reports indicators at an objective and output level.

The three project objective indicators have the following features:

- Each indicator can be clearly attributed to the three project outcomes. Indeed, the formulation of the objective's indicators is almost the same as the formulation of each outcome. From this perspective, the design of the Results Framework is redundant.
- They are not SMART:
 - The first two are Specific as they refer to specific changes: better implementation of Rio Conventions (Indicator 1), increase in coordination amongst stakeholders (Indicator 2), whereas Indicator 3 is Not Specific as it broadly relates to an increase of appreciation of the Rio Conventions.

- They are not Measurable as they simply refer to a generic increase and improvement without defining the criteria to judge these changes.
- Because of their non-measurability, they are not Attainable.
- They are Relevant as they refer to relevant changes attributable to the implementation of the project itself.
- They are not Time-bound as they are not measurable.

The project strategy can be summarized as follows:

Outputs under Outcome 1: generating knowledge and consequent regulatory frameworks;

Outputs under Outcome 2: generating site specific knowledge, engaging with local communities both at the institutional and village levels, and supporting the implementation of locally tailored solutions to environmental problems; and

Outputs under Outcome 3: generating environmental awareness by conveying messages in support of the aims of Outcomes 1 and 2.

Due to the redundancy of the outcome indicators, the indicators most significant for assessing the proper implementation of the project are those related to output level.

Indicators of outputs 1.1, 1.2, 1.3 and 1.4 are SMART. They are mainly qualitative. They relate to the formulation of a wide array of documents (assessments, guidelines, feasibility studies and frameworks).

Indicators of outputs 2.1, 2.2, 2.3, 2.4 and 2.5 are SMART. Indicators 2.1.1 and 2.2.2 are quantitative. Indicator 2.2.2 lacks the target value. All other indicators are qualitative and relate mainly to the formulation of a wide array of documents (feasibility studies, reports, assessments, training modules and strategies). Formally, Indicator 2.2.3 is not an indicator. Due to its importance for the scaling up of the project approach at national level, the MTR considers it as pertinent indicator.

Indicators of outputs 3.1, 3.2, 3.3 and 3.4 are both quantitative and qualitative indicators. The following indicators present some weaknesses:

- Indicator 3.1.3 “Awareness of the value of the environment as well as the Rio Conventions is increased” is not fully SMART being non-Measurable, and consequently non-Attainable, as it refers to a generic increase without defining the criteria to judge this change.
- Indicator
- Indicators 3.4.3 “Tree planting in the selected watershed” and 3.4.4 “High school and youth field visit and study tour” lack target values.
- Indicators 3.4.5 “Lesson learned report developed” is not an indicator.

Another issue with the Results Framework is that the indicators are broken down into project milestones that represent detailed and suggested steps for activity implementation towards the achievement of the final targets, but are not in fact indicators. These implementation steps aim to ensure both the participation and buy-in of stakeholders through workshops, and the approval of the Project Board, as the means through which to promote individual and institutional capacity development.

As mentioned, the formulation of the objective’s indicators is almost the same as the formulation of all outcomes, which themselves do not have distinguishable indicators. As a result, the achievements at output level are the unique means through which to monitor and evaluate the project’s performance.

This observation does however not represent a concern in terms of implementation of activities. It is self-evident that the project lays the groundwork for a more effective implementation of the Rio Conventions at the country level. From this perspective, the indicators at the output level do indeed

capture and describe this groundwork. The absence of target levels for the identified output indicators represents, instead, a concern in terms of the project management accountability.

Institutional stakeholders agreed that, for the overall project to be considered successful, that implementation of pilot activities – along with the documents produced under Outcome 1 and the two watershed management plans formulated within the project – should provide strong empirical evidence for the Indonesian Government to scale up the project approach in other watersheds at national level.

With this need for empirical evidence in mind, the documented monitoring of the implementation of the 26 grants awarded to community working groups (identified by the PMU as piloting exercises) is of paramount importance. Though not mentioned in the Project Document or Results Framework, this should logically be considered the key tangible outcome of the project. With the exception of the grants component, at the moment of the MTR exercise, no major progress was identified which may catalyse beneficial development effects in the future that should be included in the project Results Framework and monitored on an annual basis.

The formulation of goal, objective, outcomes and outputs does not mention gender or gender related issues. Furthermore, no indicator has a gender dimension with the exception of indicator 2.4.3 which refers to gender balance between the participants for trainings to improve the M&E capacities of Indonesia public officers.

4.2. Progress Towards Result

Progress towards outcomes analysis

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|--|---|--|---|-----------------|---|---|------------------------------|---|
| Objective: 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 | 1.Requirements of the Rio Conventions are not adequately incorporated in sectoral development planning | 1. Mainstreaming of the Rio Conventions is in process at the national, provincial, local and site level through awareness and coordination meeting. | Not defined | 1.Rio Conventions obligations are being better implemented through improved policies, capacities, and awareness. | 1. The project has formulated relevant legal and regulatory instruments that support the implementation of the Rio Conventions obligations. | Moderately Satisfactory (MS) | Due to the lack of discernible differences between Output indicators and those within the same component, but higher up the Results Framework (please refer to Project Design section), it can be stated that the project has made some progress against this indicator as each of the outputs under Outcome 1 happened or are very likely to be achieved by the end of the project. |
| | 2.Institutional and Technical capacities are strengthened and enhanced to mainstream SLM/SWM and Rio Conventions within national development frameworks | 2.There is little interministerial Coordination on the implementation of natural resource and environmental policies | 2. Coordination and socialization among implementing partner and stakeholders has been conducted and committed to the review of the national policies through inter-ministerial coordination. | Not defined | 2.There is an increase in coordination between government groups and other stakeholders and SLM/SWM is strengthened through improved mandates, capacities, and models | 2. There is anecdotal evidence, gathered through interviews during the MTR mission, to show that an integrated approach to mainstreaming SLM/SWM and the Rio Conventions within national development frameworks is being appreciated by stakeholders at national, provincial and district levels. | Moderately Satisfactory (MS) | Due to the lack of discernible differences between Output indicators and those within the same component, but higher up the Results Framework (please refer to Project Design section), it can be stated that the project has made some satisfactory progress against this indicator as most of the outputs under Outcome 2 happened or are very likely to be achieved. The rating is 'Moderately Satisfactory' due to concerns related to the availability of actual resources being allocated to mainstream the Rio Conventions within national development. |
| | 3.Awareness and Environmental education on the linkages between Rio Conventions and national sustainable development objectives | 3. 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 | 3. 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 for needs on the | Not defined | 3. There is an increase in the appreciation of the Rio Conventions among the general public | No evidence available | Unsatisfactory (U) | The likelihood of raising awareness on environmental issues and the Rio Conventions of the general public cannot not be assessed by the present MTR. This is mainly due to the fact that indicators at the output level are not well identified and cannot measure an increase in |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|---|---|---|--|-----------------|---|--|---------------------|---|
| | | enforcement of policy, legislation, and regulation remains weak | linkages between Rio Conventions was developed. The aim of the discussion was to increase the awareness regarding national regulation on Rio Conventions (UNCCCD, UNCBD, UNFCCC) and their ratification. | | | | | the appreciation of the Rio Conventions. |
| Outcome 1: strengthened policy, legislative, and economic instruments | Indicators are not defined at outcome level | | | | | | | |
| Output 1.1 Targeted policies, legal and regulatory instruments are amended (strengthened) | 1.1.1 Assessment of the current policy and legal framework | 1.1.1 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 | 1.1.1 Current policy and legal framework are assessed: 1.1.1.1 The three (3) in-depth thematic analyses (UNCBD, UNCCD, and UNFCCC) of Indonesia's environmental governance has been drafted including recommendation and draft analytical report that synthesized Rio Conventions done by expert working groups | Not defined | 1.1.1 Current policy and legal framework are assessed: 1.1.1.1 The three (3) in-depth thematic analyses (UNCBD, UNCCD, and UNFCCC) of Indonesia's environmental governance are drafted by month 6 1.1.1.2 The analytical report that synthesizes all Rio Conventions is drafted and endorsed by month 8 1.1.1.3 Expert working groups draft policy Recommendations | 1.1.1 Current policy and legal frameworks are assessed: 1.1.1.1 The three (3) in-depth thematic analyses (UNCBD, UNCCD, and UNFCCC) of Indonesia's environmental governance has been drafted (including recommendations) in a draft analytical report that synthesized the Rio Conventions. | Satisfactory (S) | This indicator has been substantially achieved. This achievement has resulted from a consultative process with relevant stakeholders. The approval of the Project Board is missing. |
| | 1.1.2 Assessment of information and knowledge needs of social actors and other stakeholders that can play a role in catalyzing Rio Conventions implementation | 1.1.2 Institutional structures are in need of clearly defined mandates and operational plans | 1.1.2 Assessment report has been drafted and endorsed by stakeholders through coordination and socialization meeting, but not yet approved by Project Board. | Not defined | 1.1.2 Assessment report is drafted and peer reviewed by month 5, endorsed by stakeholders at a validation workshop by month 7, and finalized and | 1.1.2 Assessment report has been drafted and endorsed by the stakeholders but not yet approved by the Project Board. | Satisfactory (S) | This indicator has been substantially achieved. This achievement has resulted from a consultative process with relevant stakeholders. The approval of the Project Board is missing. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|--|---|--|---|-----------------|--|---|---------------------|--|
| | | | | | subsequently approved by Project Board by month 8 | | | |
| | 1.1.3 Formulated and approved operational guidelines, and any other policy, legislative, or regulatory instrument amended | 1.1.3 Indonesia's legislation suffers from numerous issues including overlapping and contradictory provisions, and laws that contain sectoral or corporate interests that contradict government policy | 1.1.3 Legislative and regulatory instrument, operational guideline drafted, validated by stakeholders and finalized but not yet approved by Project Board. | Not defined | <p>1.1.3 Appropriate guidelines are formulated and approved or regulatory instrument amended</p> <p>1.1.3.1 Legislative and regulatory instruments are drafted by month 24</p> <p>1.1.3.2 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</p> <p>1.1.3.3 Policy recommendations to legitimize these guidelines, as appropriate, are prepared, submitted, approved by the Project Board by month 24</p> | 1.1.3 Legislative and regulatory instrument operational guidelines have been drafted, validated by stakeholders and finalized but not yet approved by the Project Board. | Satisfactory (S) | <p>This indicator has been substantially achieved.</p> <p>This achievement has resulted from a consultative process with relevant stakeholders.</p> <p>The approval of the Project Board is missing.</p> |
| Output 1.2: Best practice economic instruments developed | 1.2.1 Feasibility study on financial and economic instruments | 1.2.1 The government Agencies responsible for the Rio Conventions have limited budgetary funds | 1.2.1 Feasibility study on financial and economic instruments has been undertaken and drafted at the provincial and local levels in identifying challenges and barriers/ gaps to Rio Conventions implementation. Not yet finalized and approved by Project Board. | Not defined | <p>1.2.1 Feasibility study on financial and economic instruments are undertaken</p> <p>1.2.1.1 Expert working group is made up of at least 20 rotating members and will be established by month 7</p> <p>1.2.1.2 Convene expert working group to review recommendations of institutional reforms. Expert working group presents a consensus agreement on prioritized recommendations by month 12.</p> <p>1.2.1.3 Undertake an analysis of the economic instruments at the national and provincial</p> | 1.2.1 Feasibility study on financial and economic instruments has been undertaken and drafted at the provincial and local levels, identifying challenges and barriers to the implementation of the Rio Conventions. Finalization and approval by the Project Board remains outstanding. | Satisfactory (S) | <p>This indicator has been substantially achieved.</p> <p>This achievement has resulted from a consultative process with relevant stakeholders.</p> <p>The approval of the Project Board is missing.</p> |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|------------------|--------------------------------------|--|--|-----------------|---|----------------------------|--------------------------------|---|
| | | | | | <p>levels to identify challenges and barriers to Rio Conventions implementation from an Indonesian context, drafted by month 7, peer reviewed by month 9, and completed by month 11</p> <p>1.2.1.4 Convene a working group of relevant experts and conduct stakeholder meetings to discuss findings of the analysis of economic instruments.</p> <p>1.2.1.5 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> | | | |
| | 1.2.2 Resource mobilization strategy | 1.2.2 There is a lack of financial resources available for environmental monitoring, processing and exchange, and inefficient use of limited resources | 1.2.2 No progress yet. Work planned to be undertaken during upcoming reporting period. | Not defined | <p>1.2.2 Resource mobilization strategy is drafted and approved</p> <p>1.2.2.1 Resource Mobilization strategy is drafted by experts by month 21</p> <p>1.2.2.2 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</p> <p>1.2.2.3 Resource mobilization strategy approved by Project Board and proposed to Rio Conventions focal points by month 28</p> | 1.2.2 No progress yet. | Moderately Unsatisfactory (MS) | There are certain concerns regarding the actual availability of resources obtainable through the strategy implementation. There is a need to identify required funds to implement the three Rio Conventions, and to identify the percentage of the annual public budget that has been reserved for these programs and activities and implemented by relevant institutions/agencies. This is particularly important whenever a counter budget is required by foreign aid projects. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|---|----------------------------|--|--|-----------------|--|---|---------------------|---|
| Output 1.3: SLM mainstreamed into development policies/strategies | 1.3.1 Analytical framework | 1. 3 Indonesia is undertaking numerous efforts to increase SWM, but it is not currently mainstreamed into national and sectoral policies | 1.3.1 Analytical Project Framework Rio Convention has been drafted, reviewed, established, and agreed by Project Board. | Not defined | 1.3.1.1 Analytical framework is drafted by month 5 and peer reviewed by month 7 1.3.1.2 The in-depth thematic reviews of Indonesia's existing national development strategies (strategic plan of relevant Ministries / Agencies) and Rio Conventions action plans are completed by month 12 1.3.1.3 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 capacities as well as the institutional assessments by month 6 | 1.3.1 Analytical Project Framework Rio Convention has been agreed by the Project Board. | Satisfactory (S) | This indicator has been achieved. |
| | 1.3.2 SWM Model | | 1.3.2 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 2019. | Not defined | 1.3.2 SWM model(s) are conceptualized and developed 1.3.2.1. 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 1.3.2.2. Undertake a targeted study of best policy tools for linkages among SLM, SWM, Rio Convention National Action Plans, and development policies / strategies, drafted by month 20 | 1.3.2 The studies to conceptualize and develop the models are currently being conducted and have not yet finalized. | Satisfactory (S) | There is time to finalize the studies and formulate an SWM Model. In theory, it will be finalized by the end of September 2019. |
| | 1.3.3 Roadmap | | 1.3.3 Project staff on board on January 2018 after the first Project Board Meeting which approved the Multi Years Annual Work | Not defined | 1.3.3 Roadmap is to be drafted by month 16, independently peer-reviewed by month 18, and finalized by month 20. The roadmap is | 1.3.3 No progress yet. | Satisfactory (S) | The achievement of the indicator strictly depends on the achievement of indicator 1.3.2. The achievement is very likely to occur by the end of the project. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|--|--|--|---|-----------------|--|--|---------------------|---|
| | | | Plan, therefore the process of establishing roadmap will be finalized prior next Project Board meeting (approximately end of September 2019) in line with the initial studies conducted by ICs. | | approved by the Project Board by month 24 | | | |
| Output 1.4 Strengthened institutional mechanisms for improved coordination and collaboration | 1.4.1 New or improved consultative and decision making institutional mechanism | 1.4 There is limited institutional coordination and collaboration that would foster the sharing of comparative advantages and know how | 1.4.1 Institutional mechanism (Standard Operational Procedure) for consultative and decision-making process are improved and approved by Project Board on 14 March 2018. | Not defined | 1.4.1 Institutional mechanism for consultative and decision making process are improved and approved 1.4.1.1 Review existing institutional framework on coordination mechanism for implementation of Rio Conventions 1.4.1.2 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 1.4.1.3 Learning-by-doing workshops formulate a new or improved best practical consultative and decision making institutional mechanism by month 12 1.4.1.4 New or improved consultative and decision making institutional mechanism is approved by Project Board by month 15 | 1.4.1 An improved institutional mechanism for consultation and decision-making has been approved by the Project Board. | Satisfactory (S) | This indicator has been achieved. |
| | 1.4.2 Draft of Liaison protocols among partner agencies | | 1.4.2 No progress yet. | Not defined | 1.4.2 Liaison protocols among partner agencies are drafted and approved 1.4.2.1 Liaison protocols among partner agencies are drafted by month 10, validated in a stakeholder workshop by month 12, | 14.2 No progress yet. | Satisfactory (S) | There is time to draft and approve liaison protocols among the three directorates of the MoEF that are working together in the project. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|--|--|--|---|-----------------|---|---|--------------------------|--|
| | | | | | approved by the Project Board by month 13 | | | |
| | 1.4.3 Strengthened fora on SLM | | 1.4.3 The existing 2 (two) watershed fora 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. | Not defined | 1.4.3 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. | 1.4.3 The existing 2 (two) watershed fora at the provincial level (Lampung and East Java) have been involved in the coordination and dissemination of the project projects. | Satisfactory (S) | The achievement of this indicator is key for the replicability of the SWM. The fora should meet at regular intervals and institutionalised into the structure of the two Province Governments. |
| Outcome 2: Strengthened institutional and individual capacities to mainstream SLM/SWM | Indicators are not defined at outcome level | | | | | | | |
| 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 | 2.1 Indonesia has undertaken several initiatives to increase SWM, but these efforts have not been mainstreamed | 2.1.1 Final selection of 2 priority watersheds i.e. Watershed Way Sekampung (Lampung Province) and Watershed Brantas (East Java Province) done to carry out project activities and approved by Project Board. | Not defined | 2.1.1 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 | 2.1.1 Final selection of 2 priority watersheds i.e. Watershed Way Sekampung (Lampung Province) and Watershed Brantas (East Java Province) has been completed and approved by the Project Board. | Highly Satisfactory (HS) | This indicator has been achieved. |
| | 2.1.2 Feasibility study and activities to be piloted | | 2.1.2. Feasibility studies and baseline condition of Way Khilau Watershed and Sumberbulu Watershed developed. Initial Study conducted by 19 Individual Consultants with 10 experts to review existing watershed management plan at project sites. This study also contains procedures for accessing best | Not defined | 2.1.2 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 developing watershed-map with scale of 1:50,000. This study also contains procedures for accessing best practice guidance and methodologies, and the collaborative | 2.1.2. Feasibility studies and a baseline condition of Way Khilau Watershed and Sumberbulu Watershed have been developed. | Highly Satisfactory (HS) | This indicator has been achieved. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|---|--|---|---|-----------------|---|--|------------------------------|---|
| | | | practice guidance and methodologies, and the collaborative Approach to planning and Rio Convention mainstreaming. | | approach to planning and Rio Conventions mainstreaming. | | | |
| Output 2.2: Pilot activities to mainstream Rio Conventions into SWM at selected sites | 2.2.1 Report with recommended revisions to institutional arrangements | 2.2.1 There is overlap between institutions and limited coordination between stakeholders | 2.2.1 Institutional arrangement revisions has been recommended within a report but not yet convened by workshop. | Not defined | 2.2.1 Institutional arrangement revisions are recommended within a report 2.2.1.1 Convene workshops by month 16 2.2.1.2 Report with recommended revisions to institutional arrangements completed by month 18 | 2.2.1 Institutional arrangement revisions has been recommended within a report but not yet convened by workshop. | Unsatisfactory (U) | This indicator has been substantially achieved. This achievement has resulted from a consultative process with relevant stakeholders. The report should be discussed through a consultative process with relevant stakeholders. |
| | 2.2.2 Selected exercises piloted at project sites | Not defined | 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. | Not defined | 2.2.2 Selected exercises are piloted at project sites 2.2.2.1 Selected exercises piloted at maximum three watersheds and completed by month 40. 2.2.2.2 Women's participation is accommodated | 2.2.2 and 2.2.2.1 26 grants have been awarded to community working groups to implement pilot activities in two watersheds, 19 in Lampung Province and 7 in East Java Province 2.2.2.2 6 women's working groups have been established in Lampung Province and 2 in East Java | Moderately Satisfactory (MS) | The activities will be piloted by the end of the project. Concerns are mainly relate to the quality of the implementation, which is strictly dependant on the capacities of the working groups who received grants at the community level, and of the local authorities in both districts (Malnag in East Java Province, and Pasawaran in Lampung Province) |
| | 2.2.3 Lessons learned report prepared on CCCD/SLM/SWM activities | Not defined | 2.2.3 No progress yet | Not defined | 2.2.3 Lessons learned report prepared on CCCD/SLM/SWM activities completed by month 43 and presented to stakeholder workshops by month 44 | 2.2.3 No progress yet. | Satisfactory (S) | This indicator can be achieved by monitoring and documenting the progress of the implementation of the grants. As per previous indicators, concerns relate to the capacities of local authorities to monitor the pilot activities (implementation of the grants). |
| Output 2.3: Training programme on improved | 2.3.1 Training needs assessment report and comprehensive training plan | 2.3.1 The full set of necessary skills may not be available in Indonesia; Individuals | Training needs assessment report and comprehensive training plan has been reported | Not defined | 2.3.1 Needs report drafted by month 7, endorsed by stakeholders at a validation workshop by month 9, | 2.3.1 Training needs assessment report and comprehensive training plan have been finalized | Satisfactory (S) | This indicator has been substantially achieved. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|---|---|--|--|-----------------|---|--|---------------------|--|
| methodologies and analytical skills | | responsible for developing development plans possess weak technical capacities and skills | and finalized but not yet approved by Project Board. | | finalized and subsequently approved by Project Board by month 10 | but not yet approved by the Project Board. | | The achievement has resulted from a consultative process with relevant stakeholders. Having the approval of the Project Board would improve the rating. |
| | 2.3.2 Training modules drafted, reviewed, and finalized | 2.3.2 Weak institutional coordination and collaboration to foster the sharing of comparative advantages and knowhow | 2.3.2 Comprehensive training programmed has been drafted and endorsed by expert working group but not yet approved by Project Board. | Not defined | 2.3.2 Training modules drafted, reviewed and finalized 2.3.2.1 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 2.3.2.2 Training programme is revised and strengthened on lessons learned by month 45 2.3.2.3 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 | 2.3.2. Comprehensive training programme has been drafted and endorsed by an expert working group but has not yet been approved by the Project Board. | Satisfactory (S) | This indicator has been substantially achieved. The achievement has resulted from a consultative process with relevant stakeholders. The approval of the Project Board is missing. |
| | 2.3.3 Training implementation | 2.3.3 There are trainings directed to specific technical skills, but they do not include mainstreaming of Rio Convention and SLM/SWM | 2.3.3 No progress yet | Not defined | 2.3.3 Training programme implemented in accordance to the training plan commenced at month 12 | 2.3.3 No progress yet. | Satisfactory (S) | There is time to implement the trainings by the end of the project. The lack of progress to date is not a concern in terms of project performance. |
| Output 2.4: Improved monitoring and evaluation frameworks to | 2.4.1 Analysis of monitoring and evaluation needs | 2.4.1 Environmental monitoring in Indonesia is currently characterized as unsatisfactory and | 2.4.1 Analysis of monitoring and evaluation needs completed | Not defined | 2.4.1 Analysis of monitoring and evaluation needs drafted, independently peer-reviewed, and completed by month 14 | 2.4.1 Analysis of monitoring and evaluation needs has been completed. | Satisfactory (S) | This indicator has been achieved. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|--|--|--|--|-----------------|--|---|--------------------------------|---|
| measure and facilitate compliance | | insufficient to meet the requirements of the three Rio Conventions | | | | | | |
| | 2.4.2 M&E frameworks Finalized | 2.4.2 Indonesia's environmental M&E system is inadequate | Watershed monitoring and evaluation guidelines developed | Not defined | <p>2.4.2 M&E Frameworks finalized and approved. Gender balance is indicated by approximately 50% participation of women.</p> <p>2.4.2.1 Draft M&E frameworks developed by month 16</p> <p>2.4.2.2 Expert working group sessions to finalize M&E frameworks by month 18</p> <p>2.4.2.3 Appropriate set of best practicable M&E frameworks finalized by month 21, validated by stakeholders by month 22, and approved by Project Board by month 24</p> | 2.4.2 Watershed monitoring and evaluation guidelines have been developed. | Satisfactory (S) | This indicator has been achieved. |
| | 2.4.3 Training conducted for improved capacities of M&E of Rio conventions | Not defined | No progress yet. Work planned to be undertaken soon including the modules. | Not defined | 2.4.3 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 | 2.4.3 No progress yet. | Moderately Unsatisfactory (MU) | There is limited time remaining to implement the training sections on M&E. The indicator is key for the effective mainstreaming of the Rio Conventions. The limited time at disposal to implement the training sections on M&E may ultimately result in poor learning retention as the integrated approach promoted by the project to mainstream the Rio Conventions through SWM represents a novelty for most of the government staff members. |
| Output 2.5: Strengthened SLM/SWM institutional mandates | 2.5.1 Recommended revisions to institutional mandates | 2.5.1 Mandates often overlap | No progress yet. | Not defined | 2.5.1 Report with recommended revisions to institutional mandates drafted by month 20, and validated by stakeholders | 2.5.1 No progress yet. | Moderately Unsatisfactory (MU) | There is only limited time to formulate the report with recommended revisions of institutional mandates, which |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|---|---|--|---|-----------------|---|--|---------------------|---|
| | | | | | by month 22, and approved by the Project Board by month 24 2.5.1.1 Improved stakeholder's participation through strengthened watershed fora at regional and national level 2.5.1.2 Convene workshops on three Rio Conventions and on sustainable watershed management by month 28 | | | may result in a poor and under-informed formulation |
| | 2.5.2 Recommendations to job descriptions, terms of references, and procedures of regional Government authorities | 2.5.2 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 | 2.5.2 No progress yet. | Not defined | 2.5.2 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 | 2.5.2 No progress yet. | Unsatisfactory | There is only limited time to formulate the report with recommendations to job descriptions, terms of references, and procedures of relevant government authorities that may result in a poor formulation of the report itself. |
| | 2.5.3 Financial sustainability strategies | 2.5.3 Financial sustainability strategies are not available | 2.5.3 No progress yet. | Not defined | 2.5.3 Financial sustainability strategies are drafted by month 38, independently peer reviewed by month 40, revised and validated by month 42, and approved by the Project Board by month 44 | 2.5.3 No progress yet. | Unsatisfactory | There is only limited time to formulate the report about financial sustainability strategy which may result in a poor formulation of the report itself. |
| Outcome 3: Improving awareness of global environmental values | Indicators are not defined at outcome level | | | | | | | |
| Output 3.1: Stakeholder dialogues on the value of Rio Conventions | 3.1.1 Survey on Awareness | 3.1.1 The population in rural areas does not have an adequate understanding of global environmental issues | 3.1.1 Surveys on awareness of targeted stakeholders have been carried out and 'rising awareness' activities have been prepared. | Not defined | 3.1.1 Surveys on awareness to targeted stakeholders carried out by month 4 and by month 42 3.1.1.1 Baseline awareness report prepared by month 7 3.1.1.2 Project-end awareness report prepared by month 45 | 3.1.1 Surveys on the awareness of targeted stakeholders have been carried out and awareness raising activities prepared. | Satisfactory (S) | This indicator has been achieved. |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|------------------|---|---|--|-----------------|--|---|-------------------------|--|
| | 3.1.2 Communication strategy and plan | 3.1.2 Despite the fact that many stakeholders are aware of the global environmental issues, they do not use the available information for decision-making or the development of strategic documents | 3.1.2 The communication strategy has been developed. | Not defined | 3.1.2 Communication strategy and plan developed by month 10 | 3.1.2 Communication strategy developed | Satisfactory (S) | This indicator has been achieved. |
| | 3.1.3 Awareness of the value of the environment as well as the Rio Conventions is increased | 3.1.3 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 | 3.1.3 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. The First article has been published on national newspaper on 5th and 6th July 2018. | Not defined | <p>3.1.3 Awareness of the value of the environment as well as the Rio Conventions is increased</p> <p>3.1.3.1 Website and relevant social media presence created by month 6 and regularly updated</p> <p>3.1.3.2 At least five (5) media journalists visit project sites to promote SLM and SWM practices through media reportage by month 25, 37 and 44.</p> <p>3.1.3.3 Number of visits to the webpages relevant to the Rio Convention is increased by at least 10% over the baseline (prior to month 4 of project initiation)</p> <p>3.1.3.4 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 Conventions mainstreaming shows a 10% increase over forecasted trends using baseline data and past trends</p> <p>3.1.3.5 Lessons learned report prepared on targeted Rio Conventions mainstreaming activities completed by month</p> | <p>3.1.3 There is no evidence that awareness has increased</p> <p>3.1.3.1 The website has been created, as has a Facebook page.</p> | Rating is not possible. | <p>The indicator is not measurable as it refers to a generic increase without defining the criteria to judge this change.</p> <p>There is no evidence to suggest that awareness of the value of the environment has increased. As of August 2019, the project webpage was only visited 108 times. The project Facebook page has only 16 likes. It is assumable that the website and the Facebook page are not of much interest to the general public, but only for few professionals from the governmental, environmental and development sector.</p> <p>The project did not devise any strategy to monitor the achievement of this indicator.</p> |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|---|---|---|--|-----------------|--|---|---------------------|---|
| | | | | | 38, presented to stakeholder workshops by month 40, and widely distributed by month 44 | | | |
| Output 3.2: Brochures, bulletins, and articles on the Rio Conventions | 3.2.1 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 | 3.2.1. There is a limited awareness of the linkages between poverty, the environment and social unrest 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 | 3.2.1 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. | Not defined | 3.2.1 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. 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 literature with high circulation and printed as brochures for distribution for special event. First article is to be published by month 6 | 3.2.1 To commemorate World Day on Combating Desertification, 17 June 2018, the CCCD project placed a banner with the slogan "Land has true value" in a public place. A project stand was as well present at the Malang Expo 2019 | Unsatisfactory (U) | The achievement of this indicator is well beyond the control of the project management staff. The articles may be completed and published just after the completion of the pilot activities. Furthermore, it is not granted at all that publishers of popular literature will accept to publish them. On the other hand, the production and distribution of brochures and bulletins and the exposition of project banners are fully under project control of the project management staff, but they represent a project visibility tool rather than awareness raising instruments. |
| Output 3.3: Public service announcement on environmentally friendly behaviour | 3.3.1 Public Service Announcement (PSA) airings on television and radio that promote environmental management as well as mainstreaming of Rio Conventions into socio-economic development | 3.3.1 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 | 3.3.1 No progress yet. | Not defined | 3.3.1 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 | 3.3.1 No progress yet. | Unsatisfactory (U) | It is questionable whether PSAs will have a real effect on the audience. The project did not devise any strategy to monitor these effects. |
| Output 3.4: Improved educational content and youth engagement | 3.4.1 Education module for institutions on Rio Conventions | 3.4 In general, students do not have a comprehensive view of environmental issues | 3.4.1 No progress yet | Not defined | 3.4.1 Public education module on Rio Convention mainstreaming completed by month 25 and approved by the Project Board by month 26 | 3.4.1 No progress yet. | Unsatisfactory (U) | There is still time to formulate an Education module for institutions on the Rio Conventions. However, this will not contribute to the achievement of Outcome 3 by the end of the project implementation as most probably there will be no time |

| Project strategy | Indicator | Baseline level | Level in 2nd PIR (self-reported) | Mid-term target | End-of-project target | Midterm Level & Assessment | Achievement rating* | Justification for rating |
|------------------|--|----------------|---|-----------------|---|--|------------------------|---|
| | | | | | | | | for actual adoption by schools during the project implementation period. |
| | 3.4.2 Environmental awareness module for secondary schools | | 3.4.2 No progress yet | Not defined | 3.4.2 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 by month 44 | 3.4.2 No progress yet. | Unsatisfactory (U) | There is still time to formulate environmental awareness module for secondary schools. Most probably they will not be implemented by the end of project implementation. |
| | 3.4.3 Tree planting in the selected watershed | | 3.4.3 No progress yet | Not defined | 3.4.3 Sites for tree planting are selected by month 25 and planting begun by month 28 | 3.4.3 No progress yet. | Rating is not possible | The lack of target levels renders the rating exercise not possible. |
| | 3.4.4 High school and youth field visit and study tour | | 3.4.4 Plans for field visits and study tours has been completed | Not defined | 3.4.4 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 and at least six (6) by month 44 | 3.4.4 Plans for field visits and study tours has been completed. | Rating is not possible | There is enough time to complete two field visits and two study tours. However, the number of participants to the field visits and study tours is not specified. The lack of this information makes the rating exercise not possible. |
| | 3.4.5 Lessons learned report developed | | 3.4.5 No progress yet | Not defined | 3.4.5 Lessons learned report and guidelines for future replication and scaling up prepared by month 42 | 3.4.5 No progress yet. | Rating is not possible | It is not an indicator. |

*The 6-point scale to rate the project's progress towards results is included in Annex 6

Analyse the GEF Tracking Tool at the Baseline with the one completed right before the MTR

The GEF Tracking Tool at the Baseline, i.e. included as annex in the Project Document, and the one completed for the MTR do not differ. This occurrence is not surprising because project activities have been mainly focusing on activities that were not implemented at field level. The watershed management plans were signed by the relevant authorities of the Malang and Pesawaran Districts during the MTR mission in Indonesia. The grants for piloting activities were also awarded during the mission.

The GEF Tracking Tool does not yet report the baseline values, which were reported as “to be determined” in the Project Document.

Remaining barriers to achieving the project objective

As mentioned, the key tangible outcome of the project is to have, by the end of the implementation period, the information to scale up the project approach in other areas of Indonesia (refer to Results Framework/Logframe Analysis). Taking this into consideration, the MTR exercise identified three main barriers to achieving the project objective:

Capacity of local communities to implement the grants successfully:

All community members that were met in Bayas Jaya village (Pesawaran District, Lampung Province) reported concerns about their ability to implement the grants received by their working groups successfully. They highlighted the fact that throughout their lives they had never received training of any kind, with the exception of formal education at school. Conversely, community members in Bringin and Bambang villages (Malang District, East Java Province) demonstrated a higher degree of confidence in their capacity to implement the grants, although they still expressed the need of accompaniment to further improve their capacities while engaging in the real practice of managing the micro grants.

Capacity of local authorities to support the local communities:

In Bayas Jaya, the community members encountered during the MTR mission recalled that the last project implemented by local authorities dated back to 2003; a tree seedling distribution for reforestation purposes. Furthermore, the village only has contact with officers from the Forest Unit at district level as they are in charge of the conservation of the protected forest area. It is realistic to assume that the local authorities' ability to provide effective support to these local communities is very low. Again, community members in Malang District reported to the MTR Team that their relationship with district authorities was better developed.

Capacity of local authorities to monitor and document the grants' implementation:

The integrated approach to watershed management, introduced by the project, represents a novelty. Local authorities in the two provinces and districts reported to the MTR Team that their usual work with communities is limited to their sector. Their interventions are usually limited to distributions of inputs, e.g. tree seedlings for reforestation, animals (small ruminants, rabbits poultry), and veterinary drugs. The capacity of these local authorities to monitor and document an integrated approach - as is promoted by the project - has never been tested in the past.

Another important consideration around the monitoring and documenting approach the project takes for watershed management and the implementation of the grants is that the 26 working groups in the three villages have little to do with SLM and/or broadly to natural resources management. They are mainly to be regarded as support to economic activities. The grants on food processing and eco-painting of traditional clothes may have some positive impacts on the environment such the reduction of wood utilization for energy purposes (food processing) and/ or less contamination of water (eco-painting), but they can only be considered very broadly as SLM practices.

Therefore, it is important to check whether the assumption that the activities intended to support local economic development, without an intrinsic relationship to SLM, can lead to positive effects in terms

of natural resource conservation. In this regard, it is important to mention that the project implementation did not fully adhere to the Project Document and Results Framework, which focus on SLM and SWM. As mentioned, the PMU instead opted for the implementation of a wide array of piloting activities.

Finally, it is important to highlight that the achievements of outputs related to Outcomes 1 and 2 do not constitute a concern. The likelihood to formally achieve each indicator is very high, with the exception of indicator 2.2.1. The achievement of outputs related to Outcome 3 is less relevant as the contribution of Outcome 3 to the achievement of the overall project objective is less significant.

4.3. Project Implémentation & Adaptive Management Management Arrangements

The management arrangements are clear and straightforward.

The PMU is formed by the NPM, UNDP, and the Director of the Directorate of Watershed Management and Evaluation. It works in collaboration with the Directorate of Adaptation on Climate Change, and the Directorate of Biodiversity Conservation), and BAPPENAS. The PMU is in charge of the decision-making process.

The decision-making process is informed by the NPM who circulates information amongst the PMU participants. The NPM acts as central hub for all communications relating to the decision-making process, so that the PMU can make informed decisions.

The reporting lines within the project staff are clear. Three consultants support the NPM in Jakarta - a Media and Reporting Consultant, a GIS Consultant and a Land Degradation Neutrality Consultant - who also coordinate the work in Districts of Pesawaran and Malang. In the two districts, the work is coordinated by a project Regional Facilitator, who is supported by a Finance Assistant, an administrative Assistant and a Field Facilitator. The latter is in charge of communication with the villages.

The project suffered a sizeable delay at the beginning of its implementation period (refer to Work Planning section), however staff were able to speed up the roll out of activities and thereby set the project back on-track in a transparent manner, at least for the activities related to Outcome 1 and 2. In this regard, it is important to highlight that the 26 grants awarded to the working groups past through a transparent verification process which representatives from district authorities participated in.

The NPM, appointed by the MoEF, is very much the driving force behind the project and, along with staff, is creating important personal relationships at the district and village level. These relationships are forging mutual respect and trust amongst stakeholders at not only the province and district levels, but especially amongst the community's members who showed high expectations for the implementation of the 26 grants awarded.

The MTR exercise proved that the set-up of the consultative process was appropriate: decisions are taken during PMU meetings so that participants can express opinions and orient project activities to match their needs as institutional project beneficiaries. UNDP provided its expertise on project management, facilitation at internationally recognized standards, and on procurement processes and financial matters. The application of these standards strengthens project implementation as they guarantee transparency. The UNDP plays a central role to make the implementation smooth.

Finally, it is important to highlight the role that UNDP plays in the United Nations as a leading agency for coordinated progress towards the 2030 Agenda goals including the Sustainable Development Goals (SDGs) 13 and 15, which are the most relevant for the project.

Work Planning

The project suffered a delay of more than one year because of an internal re-organization of the Executing Agency, i.e. the MoEF. The newly elected Indonesian government, in power from 2015 to 2019, merged two ministries from the previous cabinet: Ministry of Environment and Ministry of Forest, into the MoEF. The merger affected the operational capacity of the newly established Ministry and it took two years to accommodate and operationalise the new administrative system.

The strategy chosen by the PMU to deal with the initial delay and set the project back on-track proved to be effective. The focus was on the implementation of activities of the components related to Outcomes 1 and 2, whilst activities related to Outcome 3 were partially disregarded. The MTR exercise acknowledges that the choice was effective and pertinent: as mentioned, the contribution of Outcome 3 to the achievement of project objective is less significant (refer to Project Design section). It is assumable that the delay however has implications in the development of capacities of communities and local authorities: less time to accompany them, less strong capacities developed.

The approach to project implementation focuses on three aspects:

- Working on knowledge generation at an institutional level to produce regulatory frameworks which ultimately will develop national capacities within the MoEF in Jakarta;
- Working on site-specific knowledge generation at a community level; and
- Engaging with public stakeholders at the district level to prepare for the implementation of watershed management plans and pilot activities.

So far, the approach has been results-based. Due to the nature of the outputs, the process - i.e. the formulation of assessments, guidelines, feasibility studies, frameworks, training modules and strategies – meant that contracted consultants were typically utilised to formulate the different documents where coordination took place amongst all relevant stakeholders to validate the consultants' work. On the other hand, however, the approach also envisaged the creation of respect and trusted relationships at the local level to get the ground ready for the implementation of the watershed management plans and the pilot activities.

The PMU adhered to the structure of the Results Framework in order to carry out the project activities, with the exception of the pilot activities, which differ in type from those included in the Results Framework and Project Document (refer to the Remaining barriers to achieving the project objective section). The micro-grant mechanism that resulted was found to be very much appreciated by all stakeholders encountered during the MTR mission; this choice was critical for the smooth implementation of the pilot activities. Indeed, neither the Project Document nor the Results Framework specified modalities for the implementation of the pilot activities.

Finance and Co-finance

The project's disbursement rates up to the second quarter of 2019 have been as follows:

| Year | Outcome 1 | Outcome 2 | Outcome 3 | Project Management | Total |
|--------------|-----------|-----------|-----------|--------------------|-----------|
| 2016 | - | - | - | 3,034 | 3,034 |
| 2017 | 69,457 | 42,171 | 41,915 | 23,334 | 176,877 |
| 2018 | 96,702 | 277,730 | 112,148 | 54,028 | 540,608 |
| 2019 (Q1-Q2) | 27,489 | 100,139 | 17,536 | 11,006 | 156,170 |
| Actual | 193,649 | 420,039 | 171,598 | 91,402 | 876,689 |
| Budget | 570,000 | 535,000 | 605,000 | 170,000 | 1,880,000 |
| Balance | 376,351 | 114,961 | 433,402 | 78,598 | 1,003,311 |

The project still has to disburse 53% of its funds. This slow burn-rate can be attributed to the delay occurred at the beginning of the implementation. Disbursement in 2016 and 2017 was in fact extremely low.

A budget revision was approved in November 2018. The revision saw changes between budget lines within the project components, i.e. outcomes and project management. The changes are neutral in terms of the overall project performance.

Due to the nature of the project, the control of financial expenditure is quite straightforward: expenses are mainly related to the contracting of consultants and no major procurement actions are foreseen. The project has not registered any disbursement problems thus far, or any delays related to the timely flow of funds, and decisions about the course of implementation was never postponed because of financial issues.

Note: Government disbursed co-financing USD 2,689,556, which equal to 48.90% of its expected total government contribution (USD 5,500,000). UNDP disbursed as cash contribution USD 30,000, which equal to 60% of its expected cash contribution (USD 50,000) by the end of the project.

| Sources of Co-financing | Name of Co-financer | Type of Co-financing | Amount Confirmed at CEO endorsement (US\$) | Actual Amount Contributed at stage of Midterm Review (US\$) | Actual % of Expected Amount |
|-------------------------|---------------------|----------------------|--|---|-----------------------------|
| UNDP | UNDP | Cash Contribution | 50,000 | 30,000 | 60% |
| UNDP | UNDP | In kind contribution | 50,000 | 18,000 | 36% |
| Government | Government | --- | 5,500,000 | 2,689,556 | 48.90% |
| TOTAL | | | 5,600,000 | 2,737,556 | 48.89% |

Project-level Monitoring and Evaluation Systems

At the time of the MTR, the project's focus had been the formulation of a wide array of documents (mainly Outcome 1), along with preparations for implementing the pilot activities (Outcome 2), plus some activities related to environmental awareness-raising (Outcome 3).

The results framework does not provide indicators at the objective or outcome levels (see Results Framework/Logframe Analysis section). As such, monitoring of the project's implementation progress is limited to output monitoring only, which requires low-level effort. Project staff receive the information necessary for understanding progress simply by implementing the activities and coordinating the work with the relevant stakeholders. Monitoring and evaluating the activities is, consequently, an exercise that is easily managed by the PMU, results appropriate for the project, and does not requires any particular effort in the terms of financial resources.

Stakeholder Engagement

The project mainly involves institutional stakeholders who belong to national, provincial and district level public institutions, along with the communities involved in the piloting activities. No NGOs or Private Sector representatives were involved in activity implementation.

Furthermore, all relevant decisions and approvals are made at Jakarta level. The PMU is in charge of ordinary implementation and decision-making, while the Project Board, who members are belonging to MoEF and BAPPENAS, is the highest project authority in charge of relevant project approvals, i.e. approval of all documents and reports formulated within the project.

The engagement of the Indonesian government is evident. The project is implemented within its own institutions in Jakarta and through its provincial and district peripheral terminals.

The contribution of all public institutions to the project's performance was and is fundamental. They are involved through a consultative process in all of the main steps of project implementation.

The role of institutions in Jakarta was of paramount importance in order to achieve the outputs under Outcome 1, while the involvement of the provincial and district level has been limited so far to the grant-awarding process. It is anticipated that during the time remaining for project implementation, that public officials at the district level will become more involved as they increase their support to community working groups for grant implementation.

Reporting

So far, the project has been largely implemented in accordance with its original design. The PMU did not make any substantial changes to the Results Framework bar one that was, approved by the Project Board, to implement the pilot activities through a grant-scheme. This choice enables smooth implementation of the pilot activities and represents a unique example of adaptive management, put in place during the project implementation because the PMU has been adhering to the Results Framework to carry out project activities.

There have been two project implementation reviews (PIR) produced to date, one for 2018 and, the most recent one for 2019. The conclusion of 2019 PIR was conveyed during the MTR mission and rated as satisfactory.

Communications

In Jakarta, the National Project Manager (NPM) is the person responsible for coordination between the PMU stakeholders. The most important information - typically related to implementation progress - is circulated before PMU meetings so that participants are well-informed prior to any decision's being taken.

At the province and district level, project staff deployed in the districts (Pesawaran in Lampung Province and Malang in East Java Province) are in contact with the local authorities. Project staff in Pesawaran District did not report any issues with regards district authority communication to the MTR Team.

On the contrary, in Malang District, the communication is characterized by a high degree of bureaucracy and formality where project staff must send an official letter to the relevant office at the District simply for an officer to participate in a meeting. Furthermore, in Malang district, it is often difficult for project staff to have the same officers from the different district institutions involved routinely in the implementation of project activities, including attending meetings. Project staff in Malang District recalled that at least five officers from local counterparts had changed in their position as project focal points during the last year of project implementation.

Finally, communication with the local communities is assured by the presence of the two project Field Assistants who live in the communities in the districts of Pesawaran and Malang. All community members encountered during the MTR mission confirmed that they are able to contact project staff any time they needed to. In the three project villages, WhatsApp groups were set up which proved to be an inclusive and effective means of communication amongst the members of the working groups receiving the grants.

The project benefits from a dedicated Media and Reporting Officer who organises the official external project communication. A project website has been created: <https://www.cccd.id>

It is important to highlight that the project communication coincides largely with Outcome 3. Consequently, the overall effectiveness of the project communication strategy coincides with the effectiveness of the project in achieving the outputs related to Outcome 3.

The MTR Team could not fully assess the communication efforts put in place by the project as there is no data available at the project level, with the exception of two pieces of data:

- 108 visits were registered to the project website in the month of August 2019, and
- All stakeholders encountered at the village level confirmed that the overall awareness towards environmental conservation had grown since the start of the project. However, this effect is mainly to be attributed to the grants distribution process.

4.4. Sustainability

The MTR notes that the risks identified in the Project Document and in the Risk Log are still important and, as such, the necessity to monitor them is still there. However, the fact that the project is exclusively involving stakeholders belonging to public institutions reduces them considerably, in particular those related to ownership and coordination.

Financial risks to sustainability

As mentioned, the project lays the groundwork to pave the way for the implementation of the Rio Conventions at the country level (see Results Framework/Logframe Analysis section). The financial risks lie intrinsically in the capacity of the Government of Indonesia to utilize the tools formulated by the project in the near future. The feasibility study on financial and economic instruments drafted in the frame of the project represents the main tool to support the implementation of the Rio Conventions implementation. However, the document has not yet been approved by the Project Board. Its approval would constitute an element that bodes well for the future implementation of the Rio Conventions.

The representatives from the three Directorates of the MoEF involved in the project's implementation – the Directorate of Watershed Management and Evaluation, the Directorate of Adaptation on Climate Change, and the Directorate of Biodiversity Conservation - did not make any specific suggestions on how to build on the project's achievements. They did however state that there will be a dedicated budget for implementing the Water Shed Management Plan 2019/2023 at a national level, however the amount was not yet available at the time of the MTR mission in-country. The dedicated budget allocation is a guarantee that the project's achievement will be followed up in accordance with the main task and functions of each implementing partner.

In relative terms, the financial project contribution through the grants-scheme is as follows:

Bayas Jaya Village, Pesawaran District, Lampung Province

The value of the grants is 503,117,500 Indonesian Rupees; more than 23% of the annual village budget for 2019. In fact, in 2019 the village received 2,164,478,245 Indonesian Rupees from the central and district government.

Bambang Village, Malang District, East Java Province

The value of the grants is 49,591,800 Indonesian Rupees; about 3% of the annual village budget for 2019. In 2019, the village received 1,791,410,000 Indonesian Rupees from the central and district government.

Bringin Village, Malang District, East Java Province

The value of the grants is 118,196,000 Indonesian Rupees; about 8% of the annual village budget for 2019. In 2019 the village received 1,567,709,674 Indonesian Rupees from the central and district government.

Given the above, the likelihood that those receiving grants will get additional support from local authorities after the completion of project implementation is very low. The pilot activities supported by the project must generate an income for the working groups to be financially sustainable. At the time of the MTR exercise, the assessment of the grants' income generation capacity could not be assessed, as grant-related activities had not yet started.

Socio-economic risks to sustainability

With the exception of the community members at the three project villages in the districts of Pesawaran (Lampung Province) and Malang (East Java), the project only involves public authorities at the national, provincial and district levels. NGOs and Private Sector representatives were not involved in the implementation of any activities. Therefore, the socio-economic risks relate exclusively to the will of the Government and local authorities to push forward the implementation of the three Rio Conventions after the completion of the project.

Institutional framework and governance risks to sustainability

The institutional framework and governance risks to sustainability are very low. The Directors from the three Directorates of the MoEF and of BAPPENAS sit on the Board of Directors. In addition, the project is implemented in collaboration with local authorities at the provincial and district levels. All outputs that have already or will be achieved by the end of the project are tools for the Government of Indonesia to better implement the three Rio Conventions in the future. In addition, the local district governments have approved and signed the Watershed Management Plans 2019-2023.

As per the socio-economic risks to sustainability, the institutional framework and governance risks relate exclusively to the will of the Government and local authorities to push forward the implementation of the three Rio Conventions after the completion of the project.

Environmental risks to sustainability

The project does not entail large components to be implemented in the field; indeed, there are no project sites with the exclusion of those involved in the pilot activities. The environmental risks to sustainability should be considered as not significant.

5. Conclusions & Recommendations

5.1. Conclusions

The project design aims at addressing country priorities in order to improve the implementation of the three Rio Conventions, i.e. UNFCCC, UNCCD and UNCBD. Stakeholders met during the MTR mission indeed deemed the lack of a policy framework and coordination amongst public authorities as impediments for an effective promotion of sustainable natural resource management in view of the three Rio Conventions.

The project design includes key features to strengthen policy, legal and economic regulatory frameworks (Outcomes 1 and 2); to improve capacity at the individual and institutional levels (Outcomes 1 and 2); to support implementation (Outcome 1 and 2); and to raise awareness amongst stakeholders at multiple levels (Outcome 3).

Assessing the project's achievement towards its higher-level aims at the MTR stage is however somewhat challenging, in no small part due to the design of the project's Results Framework. There are however additional issues with programming and work plan execution that compound these challenges. These are summarised below, and picked up later in the recommendations section.

Firstly, the project suffered a delay of more than one year due to the merge of two existing ministries (Environment and Forestry) by the new Indonesian government (2015-2019) into one to become the MoEF, which is the project's Executing Agency. The merge affected the operational capacity of the new established ministry; it took two years to accommodate the new administrative system.

The three indicators at the Objective level are not 'SMART' (Specific, Measurable, Achievable, Relevant and Time-bound) and as such cannot be utilized to measure project achievements, particularly not in a comparative way. Furthermore, the project design renders certain sections of the results framework rather redundant, i.e. the formulation of the three indicators is almost identical to the formulation of the three project outcomes, which in turn do not have indicators. Consequently, the project achievements are only captured at output level: it is self-evident that the project lays the groundwork for a more effective implementation of the Rio Conventions. The indicators at the output level do indeed capture and describe this groundwork. The absence of target levels for some identified output indicators represents a concern in terms of the project management accountability.

Another issue that the MTR has questioned is the value of Outcome 3 in achieving the project objective. Indeed, neither the project objective nor the long-term goal, given their formulation, are especially linked to public awareness about environmental concerns. In other words, policy support and capacity development are the main project priorities, whereas public awareness is a tool to have them upheld.

Project output 2.2.2 "Pilot activities to mainstream Rio Conventions into SWM at selected sites" may provide empirical evidence for scaling up the project approach at the national level. This evidence should be used, along with the document sets produced through the outputs under outcome 1 and with the 2 watershed management plans formulated within the project, by the Indonesian government to scale the project approach to other watersheds in the country. This empirical evidence is the most tangible outcome of the project, though it is not mentioned in either the Project Document or the Results Framework.

The project design does not mainstream gender, in fact, there is no mentioning of gender issues. Indicator 2.4.3 refers to ensuring gender balance in trainings to improve the M&E capacities of Indonesian public officers. In this respect, it is important to highlight that the PMU has been consistently practicing gender-balance consideration in all project activities, including the allocation of the micro grants.

In terms of likelihood of achievement, outputs related to Outcome 1 are very likely to be achieved by the end of the project. The only element missing at the MTR stage is the formal approval of the Board of Director to a series of documents formulated with the support of the project.

Similarly, outputs related to Outcome 2 are also likely to be achieved. Most of the preparatory work has been completed and only programmatic activities remain outstanding - mainly trainings and the implementation of the grants with the community working groups.

The outputs related to Outcome 3 are however unlikely, on the whole, to be achieved. This reflects a clear choice to prioritise the implementation of activities under Outcomes 1 and 2 following the initial delay. The choice is deemed rational by the MTR exercise, as the two outcomes are at the core of the project's conceptualisation: generating knowledge to support capacity development, and the formulation of policy-frameworks to regulate activity. In addition, the achievement of all outputs under Outcome 3 is not fully assessable because the target levels of three are missing and an indicator is not measurable.

Following an initial delay in implementation, the project is back on track and most of the outputs under Outcomes 1 and 2 can be achieved by the end of project implementation. This is not the case of the outputs under Outcome 3. As a consequence, there is still a considerable amount of budget, more than 53%, to be disbursed. Indeed, the first year and a half of implementation was characterized by extremely low disbursement rates.

The capacity of local communities to implement the grants successfully, the capacity of local authorities to support the communities to do so, and the capacity of local authorities to monitor and document the grants' implementation represent the main barriers to achieving the key outcome of the project.

It is important to highlight that the capacity of local authorities to monitor and document an integrated approach, as promoted by the project, has never been tested in the past. In this regard, the MTR notes that local authorities are themselves not especially aware of the Rio Conventions and the necessity for Indonesia to implement them at the field level.

This project mainly involves institutional stakeholders who belong to public institutions at the national, provincial and district levels, along with communities that are involved in the piloting activities. NGOs and private sector representatives are not involved in the implementation of any of the activities. The MTR cannot express any normative judgements in this regard. It is, however, self-evident that the overall ability of the watershed management plans to be replicated elsewhere will have to be drastically adapted if they are to suit situations where the presence of private companies is predominant. Finally, the MTR acknowledges that NGOs were not considered during the project implementation, though they are indeed significant agents of change in the Indonesian context.

Management and internal communication arrangements are straightforward. The NPM acts as the central hub for all communications relating the decision-making processes, allowing the PMU to make informed decisions. Reporting lines between the project staff are clear. The NPM is supported by three consultants who are based in Jakarta and the two districts and the work is coordinated by a project Regional Facilitator, who is supported by a Finance Assistant, an Administrative Assistant and a Field Facilitator. The project staff demonstrated the ability to speed up the implementation of activities and to set the project back on-track, at least in regard to its core activities (Outcomes 1 and 2), in a transparent manner following the initial delay.

The micro-grant mechanism is very much appreciated by all project stakeholders that were met during the MTR mission in Indonesia. This choice enables smooth implementation of the pilot activities and it represents a unique example of adaptive management, put in place during the project implementation

because the PMU had been adhering to the Results Framework to carry out project activities and no major changes were needed.

Monitoring project implementation progress is limited to the tracking progress towards the achievement of outputs and therefore does not require any particular effort. Consequently, the current monitoring conducted by project staff and the PMU is deemed adequate although there is still the necessity to populate the baseline values of the GEF Tracking Tool, which still read as “to be determined”.

Project staff deployed in the districts are in contact with local authorities. Communication between project staff and local authorities in Pesawaran District does not present any critical issue and the flow of information and the engagement of public officers are smooth. In Malang District however, a high degree of bureaucracy makes communication difficult: project staff are requested to send an official letter to the relevant offices at the District, even to invite an officer to participate in a meeting

The risks for the overall sustainability of the project exist within the Indonesian government’s capacity and will to continue the work initiated by the project, which as has been stated, is laying the foundations for the implementation of the Rio Conventions.). The financial risks lie intrinsically in the capacity of the Government of Indonesia to utilize the tools formulated by the project in the near future.

5.2. Recommendations

The MTR exercise generated 13 recommendations, listed below in order of importance:

Recommendation n° 1

PMU: organize relevant trainings on M&E for local authorities at district level to effectively monitor the implementation of the grants by the working groups and document the empirical evidences, which may be used for scaling up the project approach by the Government of Indonesia. (Activities, Outcome 2)

Recommendation n° 2

PMU: organize relevant intensive trainings for community working groups to support the implementation of the grants. (Activities, Outcome 2)

Recommendation n° 3

PMU: conduct two workshops per watershed with representatives from all working groups to share knowledge and skills accrued through grants’ implementation and develop best practice to feed into scale up efforts. The workshops should include the participation of all concerned local stakeholders and officers from the three Directorates of the MoEF in Jakarta. (Activities, Outcome 2)

Recommendation n° 4

UNDP/MoEF/PMU: do not implement activities related to Output 3.3 “Public service announcements on environmentally friendly behaviour”, as there are no means to evaluate the awareness raising effects of the PSAs on large audiences such as those of television and radio. (Activities, Outcome 3)

Recommendation n° 5

PMU: implement the activities related to Output 3.4 “Improved educational content and youth engagement” with the support of an additional staff, i.e. a specialist in Youth Engagement to be hired, in order for the current staff to be able to work on the remaining project outputs and to allow an effective accompaniment of a substantive achievement of project outputs. (Activities, Outcome 3)

Recommendation n° 6

PMU: speed up, through the hiring of a Youth Engagement specialist, the activities for the formulation of the “education module for institutions on Rio Conventions” (indicator 3.4.1) and for “environmental awareness module for secondary schools” and apply both modules in at least one secondary school in each project district, Lampung and Malang. (Activities, Outcome 3)

Recommendation n° 7

PMU: negotiate with local authorities at the district level for additional budget allocations to support follow up and monitoring of the grants' implementation, and of the watershed management plans. This budget allocation may be done in September-December 2020, i.e. when the districts officially revise their budgets. (Activities, Outcome 2)

Recommendation n° 8

UNDP/MoEF/PMU: include as a target "26 pilot grants implemented and documented" in the Results Framework as a replacement for the wording of indicator 2.2.2 which currently reads "Selected exercises piloted at project sites" in order to enhance project accountability. (Outcome 2)

Recommendation n° 9

UNDP/MoEF/PMU: define realistic, in terms of budget and time, target values for the indicators 3.4.3 "Tree planting in the selected watershed" and 3.4.4 "High school and youth field visit and study tour" in order to enhance project accountability. (Activities, Outcome 3)

Recommendation n° 10

PMU: negotiate a more effective and less bureaucratic mechanism of communication with the district authorities in Malang District, East Java Province. (Activities, Outcome 2)

Recommendation n° 11

PMU: organize exchange visits between working groups within the same village to promote an integrated approach with them, i.e. synergising learning and reinforcing project messaging. (Activities, Outcome 2).

Recommendation n° 12

UNDP/MoEF/PMU: request at least a six-month no-cost extension to recover the initial delay in overall project implementation. (All Outcomes)

Recommendation n° 13

UNDP/MoEF/PMU: accompany the no-cost extension with an overall budget revision that considers the financial requirements of the all other recommendations. (All Outcomes)

Seven out of these thirteen recommendations refer to the implementation of activities under Outcome 2; this is because understanding scalability not only requires reliable information but also is a tangible outcome that institutional partners are expecting from the implementation of the project.

Annex 1 – MTR Terms of Reference

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 4 years. The project started on the August 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%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 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 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, 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

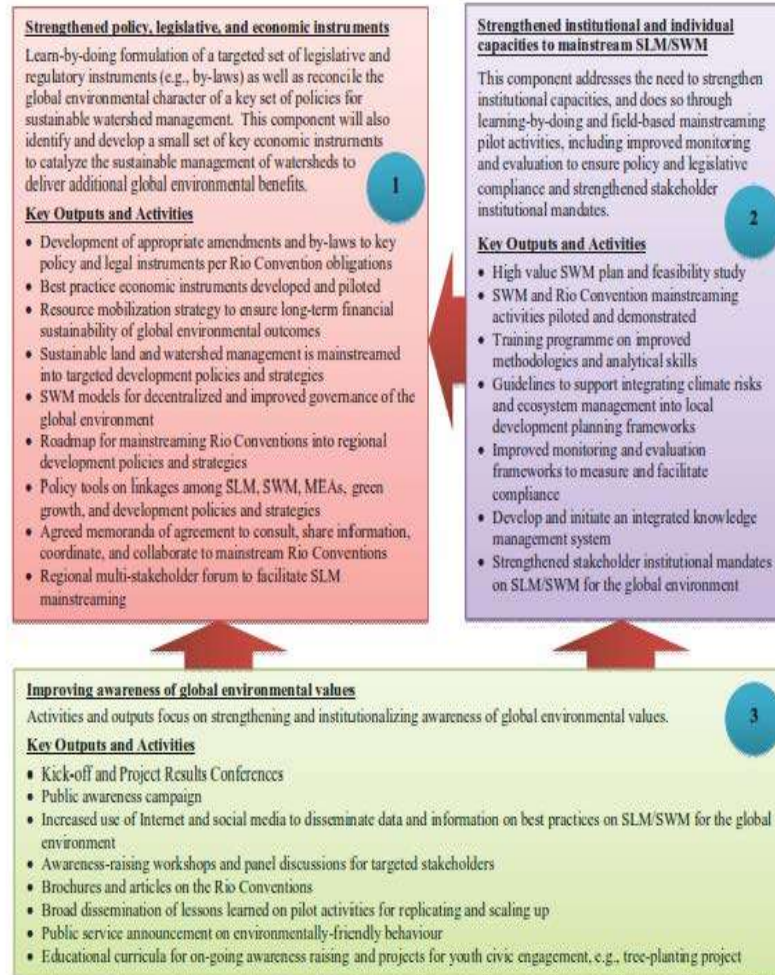
Project design:

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

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.

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 7. Project Design

MTR will assess:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

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

In analyzing the Logframe, the MTR will focus on:

- 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 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 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: 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 | | | |

³ Populate with data from the Logframe and scorecards

⁴ Populate with data from the Project Document

⁵ If available

⁶ Colour code this column only

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

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 (UNCED, UNCCD, 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | 1 st Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|--|--|---|--|--|--|---|---------------------------------|--------------------------|
| | | | UNFCCC) and their ratification. | | | | | |
| Outcome 1: 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 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | 1 st Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|--|---|--|---|--|--|---|---------------------------------|--------------------------|
| | | 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 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|------------------------|-----------------------------|--|--|--|---|---------------------------------|--------------------------|
| | | limited budgetary funds | <p>levels in identifying challenges and barriers/ gaps to Rio Conventions implementation. The feasibility study on financial and economic instruments to advance the CCD/SLM/SWM has been drafted and endorsed by stakeholders through socialization meetings but not yet finalized and approved by Project Board.</p> | <p>made up of at least 20 rotating members and will be established by month 7</p> <p>2 Convene expert working group to review recommendations of institutional reforms. Expert working group presents a consensus agreement on prioritized recommendations by month 12.</p> <p>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</p> | <p>made up of at least 20 rotating members and will be established by month 7</p> <p>2 Convene expert working group to review recommendations of institutional reforms. Expert working group presents a consensus agreement on prioritized recommendations by month 12.</p> <p>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</p> | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | 1 st Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|------------------------|-----------------------------|------------------------------|---|---|---|---------------------------------|--------------------------|
| | | | | <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 CCOD /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> | <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 CCOD /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> | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|--|---------------------------------------|---|--|--|---|---|---------------------------------|--------------------------|
| | 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 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|-----------------------|------------------------|---|--|--|---|---|---------------------------------|--------------------------|
| 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. | <p>1 Analytical framework is drafted by month 5 and peer reviewed by month 7</p> <p>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</p> | <p>1 Analytical framework is drafted by month 5 and peer reviewed by month 7</p> <p>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</p> <p>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</p> | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|------------------------|---|--|-----------------------------|---|---|---------------------------------|--------------------------|
| | | | | | 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> | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|--|--|---|---|--|--|---|---------------------------------|--------------------------|
| | | | | | 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 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 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 CCDD 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. | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|--|--|--|--|--|--|---|---------------------------------|--------------------------|
| 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 | | | |
| | 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 | | | |

| 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 |
|------------------|--|---|---|-----------------------------|---|---|---------------------------------|--------------------------|
| | 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | 1 st Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 Rto 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 study by July 2018. | Analysis of monitoring and evaluation needs drafted, independently peer- | Analysis of monitoring and evaluation needs drafted, independently peer- | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 indicate 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 indicate 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | 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 approved by the Project Board by month 24 1 Improved stakeholder's participation through strengthened watershed fora at regional and national level | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|---|--|--|-----------------------------|---|---|---------------------------------|--------------------------|
| | | | | | 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 40, revised and validated by month | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | 1 st Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|---|---------------------------------------|--|---|--|---|---|---------------------------------|--------------------------|
| | | | | | 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 global environmental | 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 ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|---|---|---|--|---|---|---------------------------------|--------------------------|
| | | 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. | Awareness of the value of the environment as well as the Rio Conventions is increased 1. Website and relevant social media presence created by month 6 and regularly updated 2. At least five (5) 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. 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 37 and 44. | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|------------------------|-----------------------------|------------------------------|-----------------------------|--|---|---------------------------------|--------------------------|
| | | | | | <p>3 Number of visits to the webpages relevant 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</p> | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|---|--|--|--|--|--|---|---------------------------------|--------------------------|
| | | | | | activities completed by month 38, presented to 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 | 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 socio-economic | 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 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|--|--|--|--|--|--|---|---------------------------------|--------------------------|
| | | sound and sustainable development | | development will be 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 | Indonesia's national socio-economic development will be 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 contribution 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 | At least 5 airings of the PSA on television and at least 20 airings of the PSA on radio both by month 44 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|---|--|---|-------------------------------------|-----------------------------|---|---|---------------------------------|--------------------------|
| Output 3.4: Improved educational content and youth engagement | 3.4.1 Education module for institutions on Rio Conventions mainstreaming | In general, students do not have a comprehensive view of environmental issues | Work planned to be undertaken soon. | | 4.1 Public education module on Rio Convention mainstreaming completed by month 25 and approved by the Project Board by month 26 | | | |
| | 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 | Work planned to be undertaken soon. | | Sites for tree planting are selected by month 25 and planting begun by month 28 | | | |

| Project Strategy | Indicator ³ | Baseline Level ⁴ | Level in PIR (self-reported) | Midterm Target ⁵ | End-of project Target | Midterm Level & Assessment ⁶ | Achievement Rating ⁷ | Justification for Rating |
|------------------|--|---|--|-----------------------------|--|---|---------------------------------|--------------------------|
| | | environmental issues | | | | | | |
| | 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 and at least six (6) by month 44 | | | |
| | 3.4.5 Lessons learned report developed | In general, students do not have a comprehensive view of environmental issues | Work planned to be undertaken soon. | | Lessons learned report and guidelines for future 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 |
|------------------|-----------------------------------|------------------------------------|

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.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.

⁸ 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

| Project Strategy | | |
|--|--|--|
| Progress Towards Results | N/A | |
| | 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

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

| TIMEFRAME | ACTIVITY |
|---------------------------------------|--|
| <i>8 April 2019</i> | Application closes |
| <i>9-22 April 2019</i> | Select MTR Team |
| <i>23-25 April 2019</i> | Prep the MTR Team (handover of Project Documents) |
| <i>26 April – 2 May 2019 (5 days)</i> | Document review and preparing MTR Inception Report |
| <i>3-6 May 2019 (2 days)</i> | Finalization and Validation of MTR Inception Report- latest start of MTR mission |

| | |
|--|---|
| 7-13 May 2019 (5 days without weekend) | MTR mission: stakeholder meetings, interviews, field visits |
| 14 May 2019 (1 day) | Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission |
| 15-23 May 2019 (7 days) | Preparing draft report |
| 24-28 May 2019 (3 days) | Incorporating audit trail from feedback on draft report/Finalization of MTR report |
| 29-31 May 2019 (2 days) | Preparation & Issue of Management Response |
| 3 June 2019 | (optional) Concluding Stakeholder Workshop (not mandatory for MTR team) |
| 4 June 2019 | Expected date of full MTR completion |

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

Travel;

All envisaged travel costs and per diem must be included in financial proposal.

(UNDP rate per diem for MTR mission location is maximum IDR 1,000,000. In general, UNDP should not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources.

In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and Individual Consultant, prior to travel and will be reimbursed.

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: (15 April 2019) | To develop the MTR Inception Report. MTR team submits to the Commissioning Unit and project management |
| 2 | Presentation | Initial Findings | End of MTR mission: (25 April 2019) | To develop the Initial Findings Report. MTR Team presents the initial |

| | | | | |
|---|---------------------------|--|--|--|
| | | | | findings 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: (3 May 2019) | To develop the draft final report. 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: (13 May 2019) | To develop the final report. 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). 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.

| | |
|----------------------------------|---|
| Position | General Qualifications and Experience The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas: |
| International Team Leader | <p><u>Academic Qualifications:</u></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><u>Experience:</u></p> <ul style="list-style-type: none"> • Recent experience with watershed management and/or evaluation Methodologies (10 points); • Experience and able to identify and analyze watershed problems (10 points); • Experience in managing geographic research (human geography, regional development and watershed management) and can communicate it to stakeholders (10 points). • Experience in developing and strengthening partnership with various private, government, domestic and foreign agencies based on the principle of mutual benefit (10 points). • Demonstrated understanding of issues related to gender and watershed management (10) • Well known on Rio Conventions mandate (10) • Experience in cross cutting issues especially Land Degradation Neutrality and Climate Change/ Biodiversity and/or community-based Land resource management; experience in gender sensitive evaluation and analysis (10 points). • 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); • Excellent communication skills; • Demonstrable analytical skills; <p><u>Languages:</u></p> <ul style="list-style-type: none"> • Excellent written and oral English skills a necessary requirement |

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 PROCESS⁹

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the template¹⁰ provided by UNDP;
- b) **CV or a Personal History Form** (P11 form¹¹);
- 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 13 March 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.

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>

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

Annex 2 - MTR Evaluative Matrix

| Evaluative questions | Indicators | Sources | Methodology |
|---|--|--|---|
| Project strategy: to what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results? | | | |
| <p><u>Project design</u></p> <ul style="list-style-type: none"> - Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document. - Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design? - Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)? - Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes? - Review the extent to which relevant gender issues were raised in the project design. | <ul style="list-style-type: none"> - Relationships established within project levels (long term goal, objective, outcomes and outputs) - Coherence project design vs implementation approach - Degree of involvement and inclusiveness of stakeholders in Project design - Perceptions of stakeholders as to whether Project responds to national priorities and existing capacities | <ul style="list-style-type: none"> - Project documents - National policies and strategies - Websites (if any) - Project staff - Project partners - Project beneficiaries (communities) | <ul style="list-style-type: none"> - Review of project documents - Review of national policies or strategies - Review of websites - Interviews with project staff - Interviews with project partners - Interviews with communities representatives - Focus group discussion with project community - Data analysis - Theory of change reconstruction |
| <p><u>Results Framework/Logframe:</u></p> <ul style="list-style-type: none"> - 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. <p>In analyzing the Logframe, the MTR will focus on:</p> <ul style="list-style-type: none"> - Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are, 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. | <ul style="list-style-type: none"> - Relationships established within the project levels (long term goal, objective, outcomes and outputs) - Quality of identified indicators - Evidence of adjustment of activities during the implementation due to newly available information on challenges or concerns | <ul style="list-style-type: none"> - Project documents - National policies and strategies - Project staff - Project partners - Project beneficiaries (communities) | <ul style="list-style-type: none"> - Review of project documents - Review of national policies or strategies - Interviews with project staff - Interviews with project partners - Interviews with communities representatives - Focus group discussion with project community - Data analysis - Theory of change reconstruction |

| Progress Towards Results: to what extent have the expected outcomes and objectives of the project been achieved thus far? | | | |
|--|---|---|--|
| <u>Progress Towards Outcomes Analysis:</u> - 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). 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. | - Results Framework indicators - Perceptions of stakeholders and evidences as to whether the project achieves its intended outcomes | - Project documents - Project staff - Project partners - Project beneficiaries (communities) | - Review of project documents - Interviews with project staff - Interviews with project partners - Interviews with communities representatives - Focus group discussion with project community - Data analysis - Theory of change reconstruction |
| 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? | | | |
| <u>Management Arrangements:</u> - 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. | - Evidence of clear roles and responsibilities for operational and management structure - Degree of fulfilment of goals according to Results Framework - Stakeholder satisfaction with project staff: accessibility, capabilities & skills, expertise applicable knowledge, efficiency and timeliness | - Project documents - Project staff - Project partners - Project beneficiaries (communities) | - Review of project documents - Interviews with project staff - Interviews with project partners |
| <u>Work Planning:</u> - 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. | - Evidence of the use of the Results Framework as management tool - Perceptions of stakeholders and evidences as to whether the project activities are on track - Extent of compliance with the expected work plan | - Project documents - Project staff - Project partners - Project beneficiaries (communities) | - Review of project documents - Interviews with project staff - Interviews with project partners - Interviews with communities representatives |
| <u>Finance and co-finance:</u> - 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 | - Perceptions as to cost-effectiveness of program - Level of execution of program budget - Evidence of use of finance resources to make management decisions/adaptive management - Level of execution of program budget - Evidence of use of finance resources to make management decisions/adaptive management | - Project documents - Project staff - Project partners - Project beneficiaries (communities) | - Review of project documents - Interviews with project staff - Interviews with project partners - Interviews with communities representatives |

| | | | |
|---|--|---|--|
| 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? | | | |
| <u>Project-level Monitoring and Evaluation Systems:</u> - 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? | - Evidence of use of M&E information to make management decisions/adaptive management, inform strategy and planning - Percentage of budget spent on M&E systems | - Project documents - Project staff - Project partners | - Review of project documents - Interviews with project staff - Interviews with project partners |
| <u>Stakeholder Engagement:</u> - 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? | - Extent to which the implementation of the Project has been inclusive of stakeholders and collaboration with partners - Stakeholder satisfaction with the level of their engagement in project decision making mechanism | - Project documents - Project staff - Project partners - Project beneficiaries (communities where pilot activities are/were implemented) | - Review of project documents - Interviews with project staff - Interviews with project partners - Interviews with communities representatives - Focus group discussion with project community |
| <u>Reporting:</u> - 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. | - Extent to which lessons learnt have been communicated to project stakeholders - Evidence of use of reporting information to make management decisions/adaptive management, inform strategy and inform planning - Percentage of budget spent on reporting systems | - Project documents - Project staff - Project partners | - Review of project documents - Interviews with project staff - Interviews with project partners |
| <u>Communications:</u> - 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. | - Project internal communication and feedback loops generating information useable in decision making - Project information, internal and external, is effectively managed and disseminated. | - Project documents - National policies and strategies - Project staff - Project partners - Project beneficiaries (communities where pilot activities are/were implemented) | - Review of project documents - Interviews with project staff - Interviews with project partners - Interviews with communities representatives - Focus group discussion with project community |

| Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results? | | | |
|---|--|---|--|
| <ul style="list-style-type: none"> - 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: <ul style="list-style-type: none"> o 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)? o 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? o 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. o Environmental risks to sustainability: Are there any environmental risks that may jeopardize sustenance of project outcomes? | <ul style="list-style-type: none"> - Availability of funding for sustaining project's outcomes by the end of the project - Stakeholders' perceptions about social and political risks, which may harm project implementation and outcomes - Stakeholders' perception about the Institutional Framework and Governance risks to sustainability - Evidence of relevant environmental risks | <ul style="list-style-type: none"> - Project documents - National policies and strategies - Project staff - Project partners - Project beneficiaries (communities where pilot activities are/were implemented) | <ul style="list-style-type: none"> - Review of project documents - Interviews with project staff - Interviews with project partners - Interviews with communities representatives - Focus group discussion with project community |

Annex 3 – List of Documents Reviewed and Consulted

- Budget Revision
- CCCD Micro Grant Manual (*Manual Pemberian Hibah Kecil CCCD - 2019*)
- Decree by Environment and Forest Ministry No. 306/MENLHK/PDASHL/DAS.0/7/2018 : Determination of national critical land status in Indonesia (*Keputusan Menteri Lingkungan Hidup dan Kehutanan No. SK. 306/MENLHK/PDASHL/DAS.0/7/2018 tentang Penetapan Lahan Kritis*)
- Documents of the community working group profiles in Malang and Pesawaran (*Dokumen profil kelompok di Malang dan Pesawaran*)
- Draft of Watershed Monitoring and Evaluation Manual for CCCD project (*Manual Monitoring dan evaluasi pengelolaan DAS di lokasi proyek CCCD tahun 2019-2020*)
- Final report : Review to the Decree by Forest Ministry No. 60 Year 2013 - Procedure for drafting and establishment of watershed management in Indonesia (*Laporan akhir Review terhadap Permenhut P.60 tentang Tata Cara Penyusunan dan penetapan rencana pengelolaan DAS*)
- GEF Land Degradation Tracking Tool
- Indonesian Biodiversity Strategy and Action Plan 2015 – 2020
- Management Plan of Way Khilau Micro Watershed Model in Lampung 2019-2023(*Rencana Pengelolaan DAS Mikro– Lampung 2019-2023*)
- Management Plan of Sumberbulu Micro Watershed Model in Malang 2019-2023 (*Rencana Pengelolaan Model DAS Mikro– Malang 2019-2023*)
- Minutes of the inception meeting – February 2017
- Project Document
- Project Implementation Reviews (PIRs):
 - 2018
 - 2019
- Project Score Card
- Project Risk log
- Quarterly Monitoring Reports (QMRs):
 - 2017 (Q1, Q2, Q3, Q4)
 - 2018 (Q1, Q2, Q3, Q4)
- Standard Operating Procedure of CCCD Project

Annex 4 – MTR Mission Itinerary and Agenda

Day 1: Wednesday, August 28 2019

09:00 – 09:45 | Kick-off meeting with PMU.

Location: Office building of Ministry of Environment and Forestry

Participants:

- Mr. Muhammad Yayat Afianto Monitoring and Reporting Officer for Environment Unit, UNDP Indonesia
- Mr. Much. Saparis Soedarjanto, Director, Directory of Watershed Management and Evaluation
- Mrs. Erawati, Staff, Directorate of Watershed Management and Evaluation
- Mrs. Sutisna, Staff, Directorate of Watershed Management and Evaluation
- Mrs. Astutie W., Staff, Directorate of Adaptation on Climate Change
- Mrs. Eka Rahmawati, Staff, Directorate of Biodiversity Conservation
- Mrs. Inge Yangesa, Staf, Directorate of Biodiversity Conservation
- Mrs. Ida Parida, Staff, Directorate of Biodiversity Conservation
- Mrs. Ratna Kusuma Sari, National Project Manager, CCCD
- Mr. Haryo Baskoro, project staff, CCCD
- Mr. Suryaariwinoto, project staff, CCCD
- Mrs. Evid Fadliyah, project staff, CCCD
- Mr. Brian Kanardi, project staff, CCCD
- Mr. Putera Prathama, project consultant, CCCD

09:45 – 11:20 | Group discussion with stakeholders in national level

Location: Office building of Ministry of Environment and Forestry

Participants:

- Mr. Sutisna, staff, Directorate of Watershed Management and Evaluation
- Mrs. Dwi Astuti, staf, Directorate of Watershed Management and Evaluation
- Mrs. Astutie W., staff, Directorate of Adaptation on Climate Change
- Mrs. Eka Rahmawati, staff, Directorate of Biodiversity Conservation
- Mrs. Inge Yangesa, staff, Directorate of Biodiversity Conservation
- Mrs. Ida Parida, staff, Directorate of Biodiversity Conservation

12:15 – 12:50 | Interview with the GEF

Location: Office building of Ministry of Environment and Forestry

- Mrs. Laksmi Dhewanti, GEF-Focal Point, Ministry of Environment and Forestry

14.15 – 15.00 | Meeting with UNDP staff.

Location: UNDP office

Participants:

- Mr. John Kimani Kirari, Renewable Energy Specialist, UNDP Indonesia
- Dr. Agus Prabowo, Senior Advisor for Environment Unit, UNDP Indonesia
- Mr. Muhammad Yayat Afianto, Monitoring and Reporting Officer for Environment Unit, UNDP Indonesia

Day 2: Thursday, August 29 2019

Flight from Jakarta to Lampung Province

9:00 – 10:00 | meeting with the regional stakeholders:

- Mrs. Gita Puspita Abriani, Field Assistant, Conservation Office of Natural Resource Bengkulu and Lampung (BKSDA Bengkulu Lampung)
- Mrs. Dwi Maylinda, Head, Watershed Management Section, Forest Management Unit (KPH Lampung)

10:00 – 10:45, meeting with regional stakeholders:

- Mr. Idi Bantara, Head, Management Office of Watershed and Protected Forest Way Sekampung Seputih (BPDASHL WSS)
- Mr. Dudy Syamsudin, staff, Management Office of Watershed and Protected Forest Way Sekampung Seputih (BPDASHL WSS)
- Mr Eko Hadi Kuncoro, Project Regional Facilitator, CCCD

13:30 – 14:30 | Attendance at the Project Grants Awarding ceremony

14:40 – 16:00 | Meeting with the local authorities of Pesawaran District

- Mr. Dedy Noviansyah Effendi, Section Head of Veterinary, Office of Agriculture in Pesawaran District
- Mrs. Roslinawati, Staff, Office of Agriculture in Pesawaran District
- Mrs. Eka Juniyati, staff for animal Health, Office of Agriculture in Pesawaran District
- Mr. Muhammad Yusuf, Head, Forest Management Unit in Pesawaran District
- Mr. Yudiana, Section Head of Tourism Destination and Industry, Office of Tourism in Pesawaran District
- Mr. Fisky V, Secretary, Bureau of Regional Planning and Development in Pesawaran District

19.30 – 20.30 | Meeting with the National Project Manager

Day 3: Friday, August 30 2019

10:30 – 10:55 | welcoming village ceremony to the MTR Team in Bayas Jaya Village

11:00 – 12:20 | meeting with women community working groups

- Mrs. Sukmariah, Berkah Jaya Group (Food Processing)
- Mrs. Mutmainah, Berkah Jaya Group (Food Processing)
- Mrs. Rina Nur Yanti, Berkah Jaya Group (Food Processing)
- Mrs. Rohanah, Berkah Jaya Group (Food Processing)
- Mrs. Rosita, Berkah Jaya Group (Food Processing)
- Mrs. Santiah, Berkah Jaya Group (Food Processing)
- Mrs. Huzaipah, Berkah Jaya Group (Food Processing)
- Mrs. Reni Lestari, Berkah Jaya Group (Food Processing)
- Mrs. Mulyati, Sinar Ayu Group (Food Processing)
- Mrs. Rummi, Bunga Matahari Group (Food Processing)
- Mrs. Sri Handayani, Melati Group (Food Processing)
- Mrs. Fatmawati, Bunga Anggrek Group (Food Processing)
- Mrs. Husnah, Pokdarling Group (Waste Management)
- Mrs. Sukmariah, Mawar Jaya Group (Food Processing)

14.00 – 15.15 | meeting with community working groups

- Mrs. Alfiah, KWTH Bunga Anggrek (Food Processing)
- Mrs. Lastri, KWTH Mawar Merah (Food Processing)
- Mr. Salman, KTH Maju Tani (Livestock and agroforestry)
- Mr. Al Wani, KTH Lestari Rakyat (Livestock and agroforestry)
- Mr. Hadi, KTH Hidayah Tani (Livestock and agroforestry)
- Mr. Damanhuri, KTH Anugrah Tani (Livestock and agroforestry)

- Mr. Asepullah, KTH Hidayah Tani (Livestock and agroforestry)
- Mr. Dedi, KTH Hidayah Tani (Livestock and agroforestry)
- Mr. Suja KTH Anugrah Tani (Livestock and agroforestry)

Day 4: Saturday, August 31 2019

10:55 – 12:00 | meeting with community groups

Location: Building of Forest Management Unit in Cirompang Hamlet, Bayas Jaya Village

Participants:

- Mr. Zainuri, KTH Mekar Jaya I (Livestock and agroforestry)
- Mr. Sanuri, KTH Cirompang Jaya (Livestock and agroforestry)
- Mr. Sutisna, KTH Indah Jaya (Livestock and agroforestry)
- Mrs. Rohayati, KWTH Melati Jaya (Food Processing)
- Mr. Musa, KTH Wana Jaya (Livestock and agroforestry)
- Mr. Saltum, KTH Lestari Jaya (Livestock and agroforestry)
- Mr. Novizul, Pokdarwis Andam Jaya (Ecotourism)
- Mr. Agus BD, Pokdarwis Andam Jaya (Ecotourism)
- Mr. Rahmat, KTH Kolar Jaya (Livestock and agroforestry)

12:00 – 12:20 | meeting with community groups

Location : Office Building of Forest Management Unit in Cirompang Hamlet, Bayas Jaya Village

Participants:

- Mr. Ansori, KTH Indah Makmur (Fishery)
- Mr. Syafei, Pokdarling Kusuma Sari (Waste management)

Day 5 : Sunday, September 1 2019

Flight from Lampung Province to Jakarta

Day 6: Monday, September 2 2019

Flight from Jakarta to Malang Province

13:30 – 14:00 | Courtesy visit with the Major of Malang District and regional authorities

14:10 – 16:00 | Meeting with regional authorities

Location: Office building of Malang District

Participants:

- Mr. Warih Kusumo, Section Head of water resource, Office of Public Work (PU SDA Malang)
- Mr. Aptu Andy, Staff of water resource section, Office of Public Work (PU SDA Malang)
- Mr. Gunardi, Coordinator of field instructors, Office of agriculture
- Mr. Aan Nehru, staff, Office of tourism and culture
- Mrs. Susi Hayuningtyas, staff, Office of Fishery
- Mrs. Nina Puspita, staff, National Park of Bromo Tengger Semeru (TNBTS)
- Mr. Imam Sulistianto, staff, Office of watershed and protected forest management (BPDASHL Brantas Sampean)
- Mr. Mukti Zakaria, staff, Office of Forestry
- Mr. Purwato, Head, Wajak Sub-district
- Mr. Sugiarto, Head, Bambang Village
- Mr. Bambang W., staff, Office of Veterinary
- Mr. Sugeng Widodo, staff, Office of veterinary
- Mrs. Sulis K. , Staff, Office of regional planning and development, Bappeda Malang

17:00– 18:30 | Meeting with project staff

Location: Whiz Prime Hotel Malang

Participants:

- Mr. Ari Kusbiantoro, Regional Facilitator
- Mrs. Januar Intantriana, Finance assistance
- Mr. Ajik Siswantoro, Assistant

21:00 – 22:30 | Meeting with the National Project Manager

Day 7: Tuesday, September 3 2019

10:00 – 11:12 | welcoming village ceremony to the MTR Team in Bringin Village

11:17 – 12:30 | meeting with community working groups

Location: Office building of Bringin Village

Participants:

- Mr. Gallant Primananda, Tourism Group
- Mr. Purnomo, Tourism Group
- Mr. Ridu Wasono, Youth Group
- Mr. Suparman, Youth Group
- Mrs. Septy Hartati, Home Farming Group
- Mrs. Marliyah, Home Farming Group
- Mrs. Indah P, Batik Group
- Mrs. Tri Astuti Arini, Batik Group

12:40 – 12:55 | meeting with local authorities

Location: Office building of Bringin Village

Participants:

- Mr. Teguh Patriyati, Head of Bringin Village
- Mr. Siswadi, Village senator

13:00 – 16:00 | Field visit to rabbit livestock area, Sumber Wiwid waterfall, home-farming, and batik home industry

14:50 – 15:15 | meeting with women home farming group (KWT Sri Rejeki)

Location: Gazebo of KWT Sri Rejeki

Participants:

- Mrs. Vivid Citra Santiwati
- Mrs. Suharwati
- Mrs. Kunthi Wilis
- Mrs. Sugiati
- Mrs. Sumarni
- Mrs. Suparmi
- Mrs. Tusamah

15:40 – 16:00 | Interview with the Deputy Director of Watershed Management and Evaluation

21:15 – 23:30 | Interview with the National Project Manager

Day 8: Wednesday, September 4 2019

09:00 – 09:20 | Attending the signing of the micro watershed management plan and watershed forum in Malang District

Location: Office building of Malang District

10:00 – 10:45 | Attending the opening ceremony of Malang expo 2019 and awarding ceremony of CCCD grant by the mayor of Malang District.

10:45 – 11:00 | Visiting the Project stand in Malang Expo 2019

13:00 – 13:30 | interview with the head of office of watershed and protected forest management (BPDASHL Brantas Sampean): Mr. Kunto Hirsilo

13:30 – 14:30 | Welcoming village ceremony to project team in Bambang Village

14:30 – 15:10 | meeting with the community groups

Location : office building of Bambang Village

Participants :

Mr. Muhamad Aji P, Tourism Group
Mr. Agus MF., Tourism Group
Mr. Yasmiadi, Forest Community Group
Mr. Ardani, Forest Community Group
Mr. Erinanto, Farming Group
Mr. Doji Mulyono, Farming Group

15:10 – 15:35 | meeting with the local authorities and project staff

Location: office building of Bambang Village

Participants:

- Mr. Sugiarto, Head, Bambang Village
- Mr. Suparno, Field assistant, CCCD Project

Day 9: Thursday, September 5 2019

Flight from Malang to Jakarta

14:00 – 16:00 | Wrap-up meeting with PMU.

Location: Office building of ministry of environment and forestry

Participants:

- Mr. Muhammad Yayat Afianto Monitoring and Reporting Officer for Environment Unit, UNDP Indonesia
- Mr. Sutisna, Staff, Directorate of Watershed Management and Evaluation
- Mrs. Dwi Astuti S, Staff, Directorate of Watershed Management and Evaluation
- Mrs. Ernawati, Staff, Directorate of Watershed Management and Evaluation
- Mrs. Irma Irawati, Staff, Directorate of Watershed Management and Evaluation
- Mrs. Ratna Kusuma Sari, National Project Manager, CCCD
- Mr. Haryo Baskoro, project staff, CCCD
- Mr. Brian Kanardi, project staff, CCCD
- Mrs. Evid Fadliyah, project staff, CCCD
- Mr. Surya Ariwinoto Daulay, project staff, CCCD

Day 10: Friday, September 6 2019

Departure of MTR Team from Jakarta

Annex 5 – List of Persons Met during the In-country Mission

Persons met in Jakarta:

Mr. Muhammad Yayat Afianto

Monitoring and Reporting Officer for Environment Unit, UNDP Indonesia
muhammad.afianto@undp.org

Mr. John Kimani Kirari

Renewable Energy Specialist, UNDP Indonesia
john.kirari@undp.org

Dr. Agus Prabowo

Senior Management Advisor for Environment Unit
aagus.prabowo@undp.org

Mr. Much Saparis Soedarjanto

Director of Directorate of Watershed Management and Evaluation, MoEF
saparis68@yahoo.com

Mrs. Sutisna

Staff of Directorate of Watershed Management and Evaluation, MoEF
sutisna.brt@gmail.com

Mrs. Astuti W.

Staff of Directorate of Climate Change Adaptation, MoEF
santi2505@gmail.com

Mrs. Inge Yangesa

Staff of Directorate of Biodiversity Conservation, MoEF
Ingeyangesa@yahoo.com

Mrs. Ida Parida

Staff of Directorate of Biodiversity Conservation, MoEF
ifaredea@gmail.com

Mrs. Erawati

Staff of Directorate of Watershed Management and Evaluation, MoEF
erawati.hadisos@gmail.com

Mrs. Eka Rahmawati

Staff of Directorate of Biodiversity Conservation, MoEF
rahmawatieka345@gmail.com

Mrs. Ratna Kusuma Sari

National Project Manager
rksari@gmail.com

Mr. Haryo Baskoro

Project Consultant
Haryobaskoroo@gmail.com

Mr. Putera Parthama

Former General Director of Watershed and Protected Forest Management, MoEF
p_parthama@yahoo.com

Mr. Brian Kanardi

Project Consultant
rksari@gmail.com

Persons met in Lampung Province

Mrs. Gita Puspita Abriani

Field Assistant, Conservation Office of Natural Resource Bengkulu and Lampung
gita.abriyani@gmail.com

Mrs. Dwi Maylinda

Head of Watershed Management Section, Forest Management Unit
dwi.maylinda77@gmail.com

Mr. Idi Bantara,

Head, Management Office of Watershed and Protected Forest Way Sekampung Seputih
idi_persemaian@yahoo.co.id

Mr. Dudy Syamsudin, Officer

Management Office of Watershed and Protected Forest Way Sekampung Seputih
dudy_syamsudin@yahoo.co.id

Mr. Eko Hadi Kuncoro

Project Regional Facilitator
eko_hadikuncoro@yahoo.com

Mr. Dedy Noviansyah Effendi

Section Head of Veterinary, Office of Agriculture in Pesawaran District
dedynoviansyah@yahoo.co.id

Mrs. Roslinawati

Staff, office of Agriculture in Pesawaran District
hjroslinawati52@gmail.com

Mrs. Eka Juniyati

Staff for animal Health, Office of Agriculture in Pesawaran District
ekajuniyati.spt@gmail.com

Mr. Muhammad Yusuf

Head, Forest Management Unit in Pesawaran District
yusufkph854@gmail.com

Mrs. Yudiana

Head, Forest Management Unit in Pesawaran District
yudhianart11@gmail.com

Mr. Fisky V.

Secretary, Bureau of Regional Planning and Development in Pesawaran District
fisky_virdaus@yahoo.com

Mrs. Sukmariah

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Mutmainah

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Rina Nur Yanti

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Rohanah

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Rosita

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Santiah

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Huzaipah

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Reni Lestari

Berkah Jaya Group (Working Group in Bayas Jaya Village - Food Processing)

Mrs. Mulyati

Sinar Ayu Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mrs. Rummi

Bunga Matahari Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mrs. Sri Handayani

Melati Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mrs. Fatmawati

Bunga Anggrek Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mrs. Husnah

Kusuma Sari Group (Working Group in Bayas Jaya Village - Waste management and reforestation)

Mrs. Sukmariah

Mawar Jaya Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mrs. Alfiah,

Bunga Anggrek Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mrs. Lastrri

Mawar Merah Group (Working Group in Bayas Jaya Village - Food Processing and medicinal herbs)

Mr. Salman

Maju Tani Group (Working Group in Bayas Jaya Village - Agro-forestry)

Mr. Al Wani

Lestari Rakyat Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Hadi

Hidayah Tani Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Damanhuri

Anugrah Tani Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Asepullah

Hidayah Tani Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Dedi

Hidayah Tani Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Suja

Anugrah Tani Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Zainuri

Mekar Jaya I Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Sanuri

Cirompang Jaya Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Sutisna

Indah Jaya Group (Working Group in Bayas Jaya Village - Agroforestry)

Mrs. Rohayati

Melati Jaya Group (Working Group in Bayas Jaya Village- Food Processing and medicinal herbs)

Mr. Musa

Wana Jaya Group (Working Group in Bayas Jaya Village- Agroforestry)

Mr. Saltum

Lestari Jaya Group (Working Group in Bayas Jaya Village - Agroforestry)

Mr. Novizul

Andam Jaya Group (Working Group in Bayas Jaya Village - Ecotourism)

Mr. Agus BD

Andam Jaya Group (Working Group in Bayas Jaya Village - Ecotourism)

Mr. Rahmat

Kolar Jaya Group (Working Group in Bayas Jaya Village - Agrosilvopasture)

Mr. Ansori

Indah Makmur Group (Working Group in Bayas Jaya Village - Fishery)

Mr. Syafei

Kusuma Sari Group (Working Group in Bayas Jaya Village - Waste Management)

Persons met in East Java Province

Mr. Warih Kusumo

Section Head of water resource, Office of Public Work

Mr. Aptu Andy

Staff of water resource section, Office of Public Work

Mr. Gunardi

Coordinator of field instructors, Office of agriculture

Mr. Aan Nehru

Staff, Office of tourism and culture

Mrs. Susi Hayuningtyas

Staff, Office of Fishery

susihayuningtyas@gmail.com

Mrs. Nina Puspita

Staff, National Park of Bromo Tengger Semeru

Mr. Imam Sulistianto

Staff, Office of watershed and protected forest management

imamsulitianto@gmail.com

Mr. Mukti Zakaria

Staff, Office of Forestry

muzacyber@gmail.com

Mr. Purwato

Head, Wajak Sub-district

Mr. Sugiarto

Head, Bambang Village

Mr. Bambang W

Staff, Office of Veterinary

Mr. Sugeng Widodo

Staff, Office of Veterinary

Mrs. Sulis K.

Staff, Office of regional planning and development,

Mr. Ari Kusbiantoro

Project Regional Facilitator

ariyogya@yahoo.com

Mrs. Januar Intantriana

Project Finance Assistant

januarintan@gmail.com

Mr. Ajik Siswantoro,

Project Assistant

ajik.siswantoro@yahoo.com

Mr. Gallant Primananda

Bringin Indah Group (Working Group in Bringin Village - Ecotourism)

Mr. Purnomo

Bringin Indah Group (Working Group in Bringin Village - Ecotourism)

Mr. Ridu Wasono

Bina Remaja Youth Group (Working Group in Bringin Village - Environment Management)

Mr. Suparman

Bina Remaja Youth Group (Working Group in Bringin Village - Environment Management)

Mrs. Septy Hartati

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Marliyah,

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Indah P

Batik Tulis Bringin Group (Working Group in Bringin Village - Eco-Painting/Batik)

Mrs. Tri Astuti Arini

Batik Tulis Bringin Group (Working Group in Bringin Village - Eco-Painting/Batik)

Mr. Teguh Patriyati

Head of Bringin Village

Mr. Siswadi

Bringin Village Senator

Mrs. Vivid Citra Santiwati

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Suharwati

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Kunthi Willis

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Sugianti

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Sumarni

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Suparmi

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mrs. Tusamah

Sri Rejeki Group (Working Group in Bringin Village - Home Farming and Food Processing)

Mr. Muhamad Aji P

Alam Asri Group (Working Group in Bambang Village - Ecotourism)

Mr. Agus MF.

Alam Asri Group (Working Group in Bambang Village - Ecotourism)

Mr. Yasmiadi

Wana Tani Group (Working Group in Bambang Village - Agro-forestry)

Mr. Ardani

Wana Tani Group (Working Group in Bambang Village - Agro-forestry)

Mr. Erinanto

Asih Wono Group (Working Group in Bambang Village - Agro-forestry)

Mr. Doji Mulyono

Asih Wono Group (Working Group in Bambang Village - Agro-forestry)

Mr. Sugiarto

Head, Bambang Village

Mr. Suparno

Project Field Assistant

Mr. Kunto Hirsilo

Head, Office of Watershed and Protected Forest Management Brantas Sampean (BPDASHL Brantas Sampean)

kontohirsilo@gmail.com

Annex 6 – Ratings for Progress Towards Results

The MTR team used the following 6-point scale **to rate the project’s progress towards the objective and each project outcome**:

| | |
|---|--|
| 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”. |
| Satisfactory (S) | The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings. |
| Moderately Satisfactory (MS) | The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings. |
| Moderately Unsatisfactory (MU) | The objective/outcome is expected to achieve its end-of-project targets with major shortcomings. |
| Unsatisfactory (U) | The objective/outcome is expected not to achieve most of its end-of-project targets. |
| 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. |

Annex 7 – UNEG Code of Conduct Signed by the Evaluation Team Leader

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: Giacomo Morelli

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 Bern, Switzerland on September 30th, 2019

Signature: 

Annex 8 – UNEG Code of Conduct Signed by the National Expert

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: Muhammad Anqqri Setiawan

Name of Consultancy Organization (where relevant): Faculty of Geography, Universitas Gadjah Mada

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

Signed at Yogyakarta (Place) on 30th September 2019 (Date)

Signature: 

Annex 9 – MTR Audit Trail

This document is attached as a separate Annex to the Mid-term evaluation.

UNDP-GEF MTR Management Response

Management response to the Midterm Review of Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanisms for Sustainable Watershed/Land Management

Project Title: Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanisms for Sustainable Watershed/Land Management
UNDP Project ID (PIMS) #: 00096387
GEF Project ID (PMIS) #: 5224
Midterm Review Mission Completion Date: 5 September 2019
Date of Issue of Management Response:

Prepared by: *Project Management Unit*
Contributors: *The MTR team, MoEF, PMU,*
Cleared by: *The Commissioning Unit, UNDP-GEF RTA, Project Board*

Context, background and findings

1. This Mid-term Review (MTR) has been conducted as part of the Monitoring and Evaluation plan of the UNDP/GEF Project: “Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanisms for Sustainable Watershed/Land Management (CCCD).” The MTR mission to Indonesia was conducted from 27th August – 6th September 2019. Extensive consultations with the project partners were also conducted prior and following the mission to ensure a good understanding of the project’s results; leading to the submission of the MTR report on the date of this report.
2. The key rationale of the project is to address the issue of weak enforcement of Indonesia’s legislative and regulatory frameworks. The project also aims at addressing the weakness of the country’s existing financial and economic instruments, which proved to be insufficient deterrents to unsustainable natural resource use. Sustainable watershed management is used as a tool for mainstreaming global environmental values while strengthening the policy and legislative instruments to reinforce an enabling environment for the implementation of the three Rio Conventions. The long-term goal of the project is “to strengthen a set of important capacities for Indonesia to make better Sustainable Land Management (SLM) / Sustainable Watershed Management (SWM) decisions to meet and sustain global environmental obligations”. The objective of the project is “to strengthen targeted legal and regulatory frameworks as well as economic incentives to meet global environmental outcomes through sustainable watershed management”. The design of the project includes three outcomes: (1) Strengthened policy, legislative, and economic instruments; (2) Strengthened institutional and individual capacities to mainstream SLM/SWM; and (3) Improving awareness of global environmental values.

3. Based on the review, the consultant made 13 (thirteen) recommendations, i.e. **Recommendation n° 1** PMU: organize relevant trainings on M&E for local authorities at district level to effectively monitor the implementation of the grants by the working groups and document the empirical evidences, which may be used for scaling up the project approach by the Government of Indonesia. (Activities, Outcome 2); **Recommendation n° 2** PMU: organize relevant intensive trainings for community working groups to support the implementation of the grants. (Activities, Outcome 2); **Recommendation n° 3** PMU: conduct two workshops per watershed with representatives from all working groups to share knowledge and skills accrued through grants' implementation and develop best practice to feed into scale up efforts. The workshops should include the participation of all concerned local stakeholders and officers from the three Directorates of the MoEF in Jakarta. (Activities, Outcome 2); **Recommendation n° 4** UNDP/MoEF/PMU: do not implement activities related to Output 3.3 "Public service announcements on environmentally friendly behaviour", as there are no means to evaluate the awareness raising effects of the PSAs on large audiences such as those of television and radio. (Activities, Outcome 3); **Recommendation n° 5** PMU: implement the activities related to Output 3.4 "Improved educational content and youth engagement" with the support of an additional staff, i.e. a specialist in Youth Engagement to be hired, in order for the current staff to be able to work on the remaining project outputs and to allow an effective accompaniment of a substantive achievement of project outputs. (Activities, Outcome 3); **Recommendation n° 6** PMU: speed up, through the hiring of a Youth Engagement specialist, the activities for the formulation of the "education module for institutions on Rio Conventions" (indicator 3.4.1) and for "environmental awareness module for secondary schools" and apply both modules in at least one secondary school in each project district, Lampung and Malang. (Activities, Outcome 3); **Recommendation n° 7** PMU: negotiate with local authorities at the district level for additional budget allocations to support follow up and monitoring of the grants' implementation, and of the watershed management plans. This budget allocation may be done in September-December 2020, i.e. when the districts officially revise their budgets. (Activities, Outcome 2); **Recommendation n° 8** UNDP/MoEF/PMU: include as a target "26 pilot grants implemented and documented" in the Results Framework as a replacement for the wording of indicator 2.2.2 which currently reads "Selected exercises piloted at project sites" in order to enhance project accountability. (Outcome 2); **Recommendation n° 9** UNDP/MoEF/PMU: define realistic, in terms of budget and time, target values for the indicators 3.4.3 "Tree planting in the selected watershed" and 3.4.4 "High school and youth field visit and study tour" in order to enhance project accountability. (Activities, Outcome 3); **Recommendation n° 10** PMU: negotiate a more effective and less bureaucratic mechanism of communication with the district authorities in Malang District, East Java Province. (Activities, Outcome 2); **Recommendation n° 11** PMU: organize exchange visits between working groups within the same village to promote an integrated approach with them, i.e. synergising learning and reinforcing project messaging. (Activities, Outcome 2); **Recommendation n° 12** UNDP/MoEF/PMU: request at least a six-month no-cost extension to recover the initial delay in overall project implementation. (All Outcomes); **Recommendation n° 13** UNDP/MoEF/PMU: accompany the no-cost extension with an overall budget revision that considers the financial requirements of the all other recommendations. (All Outcomes)
4. Seven out of these thirteen recommendations refer to the implementation of activities under Outcome 2; this is because understanding scalability not only requires reliable information but also is a tangible outcome that institutional partners are expecting from the implementation of the project.

Recommendations and management response

| Midterm Review recommendation 1. UNDP-CO should adjust the project budget in order to reduce the IN-KIND contributions to more realistic levels. PMU: organize relevant trainings on M&E for local authorities at district level to effectively monitor the implementation of the grants by the working groups and document the empirical evidences, which may be used for scaling up the project approach by the Government of Indonesia. (Activities, Outcome 2) | | | | |
|--|------------|---|--|---------------------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking ¹ | |
| | | | Comments | Status ² |
| 1.1 UNDP CO make a clarification meeting with MoEF on the actual IN KIND contribution | Q3 2019 | UNDP Co and NPD | UNDP CO and NPD have met on the talking about this issue | Done |
| 1.2 PMU to organize relevant training M&E for local authorities for district level: Pesawaran and Malang | Q3 2019 | Directorate of Watershed Planning and Evaluation, Watershed Management Agency Way Seputih Way Sekampung, Watershed Management Agency Brantas Sampean, PMU, SCU Lampung and SCU Jawa Timur | Due to our intensive coordination, the results are written on Micro Watershed Management Plan 2019-2023 Lampung: https://bit.ly/2ZfKaKM Jawa Timur: https://bit.ly/2MfAw0v | On track |

| Midterm Review recommendation 2. PMU: organize relevant intensive trainings for community working groups to support the implementation of the grants. (Activities, Outcome 2) | | | | |
|---|--|--------------------------------------|--|-------------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 2.1 PMU to organize relevant intensive trainings for community working groups in Lampung and Malang to support the implementation of the grants. | Lampung and Malang on November 2019 - Market training (Q2 Lampung, Q1 Malang) 2020 - Training on livestock health (Q2 Lampung) - Comparative study on waste management - Village regulations on environment management - Training on tourism management | PMU SCU Lampung SCU Jawa Timur | Intensive trainings: - Administrative and reporting of Micro Grant, Compost Block and Gaharau Training, - Training on waste management/ecobrick production - Training on livestock health | On Progress |

¹ If the MTR is uploaded to the ERC, the status of implementation is tracked electronically in the Evaluation Resource Centre database (ERC).

² Status of Implementation: Completed, Partially Completed, Pending.

| | | | | |
|--|--|--|--|--|
| | | | <ul style="list-style-type: none"> - Training on Fishery - Training on patchwork - Training on tourism management | |
|--|--|--|--|--|

Midterm Review recommendation 3.

PMU: conduct two workshops per watershed with representatives from all working groups to share knowledge and skills accrued through grants' implementation and develop best practice to feed into scale up efforts. The workshops should include the participation of all concerned local stakeholders and officers from the three Directorates of the MoEF in Jakarta. (Activities, Outcome 2)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|---|---------------------------|--|--|-------------|
| | | | Comments | Status |
| 3.1 PMU to conduct two workshops per watershed with representatives from all working groups to share knowledge and skills accrued through grants' implementation and develop best practice to feed into scale up efforts. | September 2019 Q2 2020 | PMU SCU Watershed Management Agency Way Seputih Way Sekampung | Malang, 26 Sept 2019: - Workshop on 3 Conventions - Workshop with Watershed management Forum | On progress |

Midterm Review recommendation 4.

UNDP/MoEF/PMU: do not implement activities related to Output 3.3 "Public service announcements on environmentally friendly behaviour", as there are no means to evaluate the awareness raising effects of the PSAs on large audiences such as those of television and radio. (Activities, Outcome 3)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|---|-----------------|---------------------|--|-------------|
| | | | Comments | Status |
| 4.1 PSA already conduct on 2017, furthermore PMU will switch communication strategy to awareness raising such as social media, exhibition | 2019 Q1 2020 | PMU SCU | Conducted on: - World Day on Combating Desertification - Malang Expo Exhibition - National Conservation Day - Climate Festival Social Media: https://cccd.id/ https://web.facebook.com/cccdproject/?ref=br_rs https://www.instagram.com/cccdproject/ https://twitter.com/CccdProject https://www.youtube.com/channel/ | On progress |

| | | | | |
|--|---------|------------|---|------|
| | | | UCVKEIMwKyw3lrXPpNj3y mΔ | |
| 4.2 PMU and SCU to conduct the awareness survey to the local communities | Q1 2020 | PMU SCU | Local communities in 3 villages as the target of the awareness survey Communication strategy | Done |

Midterm Review recommendation 5.

PMU: implement the activities related to Output 3.4 "Improved educational content and youth engagement" with the support of an additional staff, i.e. a specialist in Youth Engagement to be hired, in order for the current staff to be able to work on the remaining project outputs and to allow an effective accompaniment of a substantive achievement of project outputs. (Activities, Outcome 3)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|--|------------|--------------------------------------|---|-------------|
| | | | Comments | Status |
| 5.1 PMU to conduct Local Content Learning in Secondary School in 3 Villages (1 in Lampung and 2 in Malang) | Q2 2020 | PMU SCU Lampung SCU Jawa Timur | To optimize the role of Community Engagement Consultant | On Progress |
| 5.2 SCU Lampung will hire Community Engagement Consultant | Q2 2020 | PMU SCU Lampung | | On Progress |

Midterm Review recommendation 6.

PMU: speed up, through the hiring of a Youth Engagement specialist, the activities for the formulation of the "education module for institutions on Rio Conventions" (indicator 3.4.1) and for "environmental awareness module for secondary schools" and apply both modules in at least one secondary school in each project district, Lampung and Malang. (Activities, Outcome 3)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|--|------------|--------------------------------------|----------|-------------|
| | | | Comments | Status |
| 6.1 SCU Lampung will hire Community Engagement Consultant | Q1 2020 | PMU SCU Lampung | | On progress |
| 6.2 Community engagement consultant to establish modules for Local Content Learning | Q1 2020 | PMU SCU Lampung SCU Jawa Timur | | On progress |
| 6.3 Community engagement consultant to deliver the Local Content to Secondary School | Q1 2020 | PMU SCU Lampung SCU Jawa Timur | | On progress |

Midterm Review recommendation 7.

PMU: negotiate with local authorities at the district level for additional budget allocations to support follow up and monitoring of the grants' implementation, and of the watershed management plans. This budget allocation may be done in September-December 2020, i.e. when the districts officially revise their budgets. (Activities, Outcome 2)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|--|------------|--------------------------------------|----------|-------------|
| | | | Comments | Status |
| 7.1 Negotiation meeting with Head of Pesawaran District and Head of Malang District to ensure the commitment and budget revision in Micro Watershed Management | Q2 2020 | PMU SCU Lampung SCU Jawa Timur | | On progress |

| | | | | |
|--|--|--|--|--|
| Plan 2019-2023 Way Khilau and Micro Watershed Sumberbulu 2019-2023 | | | | |
|--|--|--|--|--|

Midterm Review recommendation 8.
UNDP/MoEF/PMU: include as a target “26 pilot grants implemented and documented” in the Results Framework as a replacement for the wording of indicator 2.2.2 which currently reads “Selected exercises piloted at project sites” in order to enhance project accountability. (Outcome 2)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|---|------------|---------------------|---|-------------|
| | | | Comments | Status |
| 8.1 we will put this target into the Project Result Framework | Q1 2020 | PMU | Will be discussed on next Project Board Meeting | On Progress |

Midterm Review recommendation 9.
UNDP/MoEF/PMU: define realistic, in terms of budget and time, target values for the indicators 3.4.3 “Tree planting in the selected watershed” and 3.4.4 “High school and youth field visit and study tour” in order to enhance project accountability. (Activities, Outcome 3)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|--|------------|---|--|-------------|
| | | | Comments | Status |
| 9.1 indicator 3.4.3: Project support annual tree planting conducted by Watershed Management Agency Way Seputih Way Sekampung and Brantas Sampean | Q4 | PMU SCU Watershed Management Agency Way Seputih Way Sekampung Management Agency Brantas Sampean | Annual activity on Q4 months | On progress |
| 9.2 indicator 3.4.4: high school and youth field visit and study tour still on track based on annual work plan | Q1 2020 | PMU SCU Management Agency Way Seputih Way Sekampung Management Agency Brantas Sampean | To be conducted with “Local Content” learning activity | On progress |

Midterm Review recommendation 10.
PMU: negotiate a more effective and less bureaucratic mechanism of communication with the district authorities in Malang District, East Java Province. (Activities, Outcome 2)

Management response:

| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
|--|------------|-----------------------|----------|-------------|
| | | | Comments | Status |
| 9.1 SCU Jawa Timur to intensify communication with communication strategy approach | Q4 2019 | PMU SCU Jawa Timur | | On progress |
| 9.2 Coordination Meeting with Micro Sumberbulu Watershed Management Forum | Q1 2020 | PMU SCU Jawa Timur | | On progress |

| Midterm Review recommendation 11. PMU: organize exchange visits between working groups within the same village to promote an integrated approach with them, i.e. synergising learning and reinforcing project messaging. (Activities, Outcome 2). | | | | |
|---|------------|---------------------|----------|-------------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 9.1 PMU to organize exchange visit between working groups in Micro Watershed Way Khilau and Micro Watershed Sumberbulu | Q2 2020 | PMU SCU | | On progress |

| Midterm Review recommendation 12. UNDP/MoEF/PMU: request at least a six-month no-cost extension to recover the initial delay in overall project implementation. (All Outcomes) | | | | |
|--|---------------------|--|--|--------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 9.1 Project Board Meeting decided extension with some notes | 6 December 2019 | PMU UNDP SCU Lampung SCU Jawa Timur | Keputusan yang terkait dengan rekom ini. Link ke dokumen keputusan tsb (Rumusan PBM) | Done |
| 9.2 Annual Meeting decided to extend up into December 2020 | 19-21 December 2019 | PMU UNDP SCU Lampung SCU Jawa Timur | Annual meeting propose to extend up to December 2020 | Done |
| 9.3 PMU to submit result of Annual Work Plan 2020 to UNDP CO | Q1 2020 | PMU | | |
| 9.4 UNDP CO to communicate the result of AWP 2020 to GEF secretariat | Q1 2020 | UNDP CO | | |

| Midterm Review recommendation 13. UNDP/MoEF/PMU: accompany the no-cost extension with an overall budget revision that considers the financial requirements of the all other recommendations. (All Outcomes) | | | | |
|---|------------|---------------------|----------------------------------|-------------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 9.1 to discuss the no cost extension in Annual Meeting CCCD Project 2019 | Q4 2019 | PMU MoEF UNDP | Annual meeting CCCD Project 2019 | Done |
| 9.2 to process budget revision 2020 | Q4 2019 | PMU MoEF UNDP | Annual meeting CCCD Project 2019 | On progress |

Annex 11: Evaluation Clearance form

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by


UNDP Country Office

Name: Iwan Kurniawan

Signature:  _____ Date: 30/12/2019

UNDP GEF RTA

Name: Tom Twining-Ward

Signature:  _____ Date: 7 February 2020