

# Terminal Evaluation Report

**FINAL**

12 August 2021

## Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex

Project Title:	Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex
UNDP Project ID#:	5436
GEF project ID#:	4677
Evaluation timeframe:	May to August 2021
Date of evaluation report:	12 August 2021
Country:	Thailand
Region:	Asia-Pacific
GEF Operational Focal Area/Strategic Program:	Biodiversity, Climate Change, SFM/REDD+
GEF Agency:	United Nations Development Program (UNDP)
Executing Entity / Implementing Partner:	Department of National Parks, Wildlife and Plant Conservation (DNP), Ministry of Natural Resources and Environment (MONRE)
Other Parties:	Wildlife Conservation Society (WCS) Seub Nakhasathien Foundation (SNF) Rabbit in the Moon Foundation
Evaluation team members:	Adrian Stokes Piyathip Eawpanich

## **Acknowledgements**

The evaluation team would like to acknowledge the support provided by the UNDP Thailand Country Office and DNP in assisting with the logistics of the mission and itinerary for the evaluation. All participants in interviews were willing and keen to assist with the evaluation and we thank them all. We would particularly like to thank the NGOs and communities in the project area for sharing their wisdom and enthusiasm for living and conserving wildlife in the Western Forest Complex.

## Contents

Acronyms and Abbreviations .....	v
1 Executive Summary .....	1
Project Description .....	2
Evaluation Ratings .....	2
Summary of Findings, Conclusions and Lessons Learned .....	3
Findings .....	3
Conclusions .....	4
Lessons Learned .....	5
Recommendations .....	5
2 Introduction .....	7
2.1 Purpose and Objective of Evaluation .....	7
2.2 Scope .....	7
2.3 Methodology .....	7
2.4 Data Collection and Analysis .....	7
2.5 Ethics .....	9
2.6 Limitations to the Evaluation .....	9
2.7 Structure of the Evaluation Report .....	9
3 Project Description and Development Context .....	10
3.1 Project Start and Duration .....	10
3.2 Development Context .....	10
3.3 Problems that the Project Sought to Address .....	10
3.4 Immediate and Development Objectives of the Project .....	12
3.5 Expected Results .....	12
3.6 Main Stakeholders .....	12
3.7 Theory of Change .....	12
4 Findings .....	14
4.1 Project Design / Formulation .....	14
4.1.1 Analysis of Results Framework .....	14
4.1.2 Assumptions and Risks .....	18
4.1.3 Lessons from Other Relevant Projects .....	20
4.1.4 Planned Stakeholder Participation .....	20
4.1.5 Linkages Between Project and Other Interventions .....	20
4.1.6 Gender Responsiveness of Project Design .....	20
4.1.7 Social and Environmental Safeguards .....	21
4.2 Project Implementation .....	21

4.2.1	Adaptive Management .....	21
4.2.2	Actual Stakeholder Participation and Partnership Arrangements.....	25
4.2.3	Project Finance and Co-Finance.....	29
4.2.4	Monitoring and Evaluation .....	31
4.2.5	UNDP and Implementing Partner Implementation / Oversight / Execution .....	33
4.2.6	Risk Management .....	35
4.3	Project Results and Impacts.....	37
4.3.1	Progress Towards Objective and Expected Outcomes .....	37
4.3.2	Relevance .....	47
4.3.3	Effectiveness .....	48
4.3.4	Efficiency .....	49
4.3.5	Overall Project Outcome.....	50
4.3.6	Sustainability.....	51
4.3.7	Country Ownership .....	54
4.3.8	Gender .....	54
4.3.9	Other Cross-Cutting Issues.....	55
4.3.10	GEF Additionality.....	55
4.3.11	Catalytic Role / Replication Effect.....	56
4.3.12	Progress to Impact .....	56
5	Main Findings, Conclusions, Recommendations and Lessons .....	58
5.1	Main Findings.....	58
5.2	Conclusions .....	58
5.3	Recommendations .....	59
5.4	Lessons Learned .....	63
	Annexes.....	64

Annex 1. Terminal Evaluation Terms of Reference (ToR)

Annex 2. Mission itinerary and list of persons interviewed

Annex 3. List of documents reviewed

Annex 4. Summary of field visits

Annex 5. Evaluation question matrix

Annex 6. Delivery of outputs at project completion

Annex 7. Signed UNEG Code of Conduct form

Annex 8. Signed Terminal Evaluation Final Report Clearance Form

Annexed in a separate file: Audit trail from received comments on draft TE report

Annexed in a separate file: Terminal GEF tracking tools

## Acronyms and Abbreviations

ALRO	Agricultural Land Reform Office
BTOR	Back-to-office reports
CPAP	Country Programme Action Plan
CPD	Country Programme Document
DNP	Department of National Parks, Wildlife and Plant Conservation
EA	Executing Agency
ESSP	Environmental and Social Screening Procedure
GRES	Gender Results Effectiveness Scale
GTI	Global Tiger Initiative
GTRP	Global Tiger Recovery Program
HS	Highly Satisfactory
HKK	Huai Kha Khaeng
HKK-TYN WHS	Huai Kha Khaeng – Thung Yai Naresuan World Heritage Site
HU	Highly Unsatisfactory
IA	Implementing Agency
IC	International consultant
IP	Implementing Partner
M&E	Monitoring and Evaluation
ML	Moderately Likely
MONRE	Ministry of Natural Resources and Environment
MS	Moderately Satisfactory
MTR	Midterm review
MU	Moderately Unsatisfactory
NBSAP	National Biodiversity Strategy and Action Plan
NC	National consultant
NESDP	National Economic and Social Development Plan
NHA	Non-Hunting Area
NIM	National Implementation Modality
NTRP	National Tiger Recovery Program
OFF	Operational Focal Point
ONEP	Office of Natural Resources and Environmental Policy and Planning
PA	Protected area
PAC	Protected Area Committee
PB	Project Board
PIF	Project identification form
PIR	Project Implementation Reports
RECOFTC	The Center for People and Forests
RFD	Royal Forestry Department
PMU	Project management unit
RTA	Regional Technical Advisor
RTP	Royal Thai Police
SESP	Social and Environmental Screening Procedure
SDG	Sustainable Development Goals
SMART	Specific, measurable, achievable, relevant and time-bound
TE	Terminal evaluation
ToR	Terms of Reference
TYE	Thung Yai Naresuan East

TYW	Thung Yai Naresuan West
UA	Unable to Assess
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
WCS	Wildlife Conservation Society
WEFCOM	Western Forest Complex
WS	Wildlife Sanctuary

## 1 Executive Summary

**Table 1: Project Information Table**

<b>Project Title</b>	Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex		
UNDP Project ID (PIMS #):	5436	PIF Approval Date:	1 June 2012
GEF Project ID (PMIS #):	4677	CEO Endorsement Date:	1 October 2014
ATLAS Business Unit, Award ID, Project ID:	THA10 00081732 00090893	Project Document (ProDoc) Signature Date (date project began):	15 July 2015
Country(ies):	Thailand	Date project manager hired:	14 October 2015
Region:	Asia-Pacific	Inception Workshop date:	11 August 2016
Focal Area:	Multi Focal Areas	Midterm Review completion Date:	14 December 2018
GEF Focal Area Strategic Objective:	BD-1, CCM-5, SFM/REDD-1	Terminal Evaluation Completion Date:	6 August 2021
GEF Operational Programme or Strategic Priorities/Objectives:		Planned Operational Closure Date:	14 July 2021
Trust Fund:	GEF TF		
Implementing Partner (GEF Executing Entity):	Department of National Parks, Wildlife and Plant Conservation (DNP), Ministry of Natural Resources and Environment (MONRE)		
NGOs/CBOs involvement:	Wildlife Conservation Society (WCS) Seub Nakhasathien Foundation (SNF) Rabbit in the Moon Foundation Huai Kha Kheang Foundation		
Private sector involvement:			
Geospatial coordinates of project sites:	Thung Yai - Huai Kha Khaeng Wildlife Sanctuaries World Heritage site		

<b>Financial Information</b>		
<b>PDF/PPG</b>	at approval (US\$M)	at PDF/PPG completion (US\$M)
GEF PDF/PPG grants for project prep	Unavailable	Unavailable
Co-financing for project preparation	Unavailable	Unavailable
<b>Project</b>	at CEO Endorsement (US\$M)	at TE (US\$M)
[1] UNDP contribution:	500,000	504,926
[2] Government (*actual expenditure not provided for all contribution):	22,864,427	9,257,307* (22,864,427)
[3] Other multi-/bi-laterals:	-	-
[4] Private Sector:	-	-
[5] NGOs: WCS	500,000	1,215,000
SNF	370,000	381,963
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:	24,234,427	11,359,196* (24,966,316)
[7] Total GEF funding:	7,339,450	7,339,450
[8] Total Project Funding [6 + 7]	31,573,877	18,698,646* (32,305,766)

## Project Description

'Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex' (PIMS 5436) is a five-year project implemented by the Department of National Parks, Wildlife and Plant Conservation (DNP) in the Ministry of Natural Resources and Environment (MONRE), supported by UNDP. The project started on 15 July 2015 and was scheduled to finish on 14 July 2020; a one-year extension was granted and the new finish date was 14 July 2021.

The objective of the project is to "improve management effectiveness and sustainable financing for Huai Kha Khaeng - Thung Yai Naresuan (HKK-TYN) World Heritage Site and incentivise local community stewardship".

To achieve this objective, the project had three components, each with an associated outcome.

The first component of the project is directed towards strengthening and scaling up existing best-practice management activities, and developing and testing innovative approaches to enforcement and compliance, in the HKK-TYN WHS. It aims to reduce the direct threats to tigers and prey, improve effectiveness of wildlife sanctuary management, and enhance the use of data and information to support key management decision-making.

The second component of the project is focused on linking sustainable livelihood development in the enclave and buffer zone villages with specific conservation outcomes and improving economic links between the buffer zone and enclave villages and the wildlife sanctuaries. It seeks to achieve these linkages by promoting incentives for community-based sustainable forest management, environmentally friendly agricultural practices, nature-based tourism and education and improved wildlife and habitat protection.

The third component of the project is directed towards raising the awareness in communities living in and around the WHS of the need to conserve, and the importance of protecting, the forest landscapes and associated wildlife. Work under this component assists in strengthening the representation of buffer and enclave communities on the wildlife sanctuaries' Protected Area Committees (PACs). With improved community-based representation on the PAC, the project aimed to assist in building the capacity (information, knowledge, skills) of each of the community representatives to assure a constructive and meaningful contribution to the co-management of the WHS.

## Evaluation Ratings

Evaluation ratings are summarized in Table 2.

**Table 2: Evaluation ratings table**

<b>1. Monitoring and Evaluation (M&amp;E)</b>	<b>Rating</b>
M&E Design at Entry	Satisfactory
M&E Plan Implementation	Moderately Satisfactory
Overall Quality of M&E	Moderately Satisfactory
<b>2. Implementing Agency (IA) Implementation &amp; Executing Agency (EA) Execution</b>	<b>Rating</b>
Quality of UNDP Implementation/Oversight	Moderately Satisfactory
Quality of IP Execution	Moderately Unsatisfactory
Overall Quality of Implementation/Execution	Moderately Unsatisfactory
<b>3. Assessment of Outcomes</b>	<b>Rating</b>
Relevance	Satisfactory
Effectiveness	Moderately Satisfactory
Efficiency	Moderately Unsatisfactory
Overall Project Outcome Rating	Moderately Satisfactory
<b>4. Sustainability</b>	<b>Rating</b>
Financial Sustainability	Moderately Unlikely
Socio-Political Sustainability	Likely
Institutional Framework and Governance Sustainability	Moderately Likely
Environmental Sustainability	Likely
Overall Likelihood of Sustainability	Moderately Unlikely

## Summary of Findings, Conclusions and Lessons Learned

### Findings

The project achieved its objective, with progress towards the objective assessed as Satisfactory, and delivered substantial achievements in three GEF Focal Areas: Biodiversity, Climate Change, and Sustainable Forest Management / REDD+. Progress against Outcome 1 was Satisfactory, against Outcome 2 was Moderately Satisfactory and against Outcome 3 was Moderately Satisfactory. Of the 23 indicators in the results framework, 16 were achieved and seven were partially achieved.

The project delivered some very important results, especially under Outcome 1, which achieved change that was substantial and of global significance. In particular, there was a fundamental shift in capacity and capability to protect tigers, wildlife (including tiger prey) and the WHS, resulting in a measured increase in

tiger density, which would not have been possible without the GEF project funding. The project also strengthened Thailand's capacity to address wildlife crime through enhanced forensic capability.

Under Outcome 2, support was provided to communities to develop sustainable alternative livelihoods and protect forests; targets for avoided forest degradation and CO<sub>2</sub> emissions were achieved; a WHS Strategic Plan was developed and is pending adoption at the time of the terminal evaluation (TE); investigations were undertaken into ecotourism opportunities at Thap Salao in the HKK buffer zone; and investigations and analyses were undertaken of sustainable financing solutions to fill the identified gap in WHS budgeting. The potential for a special car license plate scheme to raise conservation funds is now being considered by a working group. These various financing solutions can provide the foundation for a viable and functional financing mechanism for WHS management, although this was not in place at project end.

Under Outcome 3, important outreach and education was undertaken to raise awareness of WHS management and sustainable livelihoods; and community participation in PACs for the wildlife sanctuaries was improved.

The project included two indicators with targets that were disaggregated by gender, and provided support to Karen women in TYE and TYW to develop their skills in creating, marketing and selling traditional woven products. If more attention had been placed on gender analysis and gender-responsive design, more substantial gender mainstreaming impact might have been observed.

The project sought to apply several creative approaches to some outputs, such as the pursuit of the special licence plate to fund tiger conservation and the excellent outreach work undertaken by the Rabbit in the Moon Foundation to work with villagers in TYE and TYW on local knowledge and alternative sustainable livelihoods.

This TE experienced significant limitations, especially due to constraints related to the COVID-19 epidemic. In particular, the IC was not in Thailand for the mission and relied on virtual interviews, discussions with the NC during the field visits, and review of project documentation. Site visits by the NC were also limited, partly due to COVID-19 constraints and partly due to the remoteness and difficulty of access of some sites. This meant that less time was spent in project areas than would be ideal. For these reasons, there were difficulties in meaningfully evaluating activities and results in the project area.

## Conclusions

The project provides an excellent example of effective community liaison and outreach leading to improved sustainable livelihoods, enhanced community attitudes to wildlife, better relations between authorities (DNP staff) and communities, and improved wildlife conservation outcomes.

The project provides a good model for how UNDP and DNP can achieve progress against multiple sustainable development goals (SDGs) in one project. Designed primarily as an environmental conservation and climate mitigation project (SDG13, 15), it has also contributed to hunger reduction by ensuring food security (SDG2), poverty alleviation (SDG1), equality (SDG10), and partnerships for the goals (SDG17).

The main shortcomings of the project are in the sustainability and integration of results beyond the project end. Because the sustainable financing mechanism is not yet in place, a sustainable alternative funding stream for WHS management is not yet available. Consequently, at the time of the TE, a funding mechanism was not in place to fill the resourcing gap created when the additional ranger resources provided by the project are no longer available, although the TE team understands that discussions have occurred within DNP regarding whether this funding allocation can be made.

## Lessons Learned

The following lessons learned were identified:

- *Improved relations between DNP officers and communities can lead to improved wildlife outcomes*

The project created an atmosphere of understanding and collaboration between DNP officers and communities in the project area, leading to improved attitudes to wildlife and improved wildlife outcomes.

- *Community outreach activities need time to be carefully planned and developed to meet the needs of the target community*

The most effective outreach activities in the project were tailored through a careful assessment that was built on strong relationships with the recipient communities. Funding programs must allow for providers to spend the time and resources required to develop outreach programs.

- *Engaging local people in delivering outreach activities leads to sustainable results*

Local people engaged in outreach and liaison roles in the project tended to remain in roles for longer and continued their influence in the community after employment, when compared with non-locals.

- *Projects should be clear on interpretation of indicators and definition of deliverables, to make delivery and evaluation clearer*

The assessment of achievement of some indicators in this project depended substantially on the interpretation of the meaning of the indicator and associated deliverable(s). Clarifying the meaning and interpretation of indicators and targets early would assist both delivery and evaluation.

- *Collaboration between Government agencies will be vital in achieving harmonization between livelihoods and wildlife conservation*

Project outreach staff were important in liaising with communities on sustainable livelihoods and land management. Beyond the project, Government agencies must provide this support and foster collaborative problem-solving to achieve harmonization between livelihoods and conservation.

- *Projects should be developed in close collaboration with local communities and field practitioners to maximize the relevance and ownership of the project*

A strength of the project was that it was developed in collaboration with local communities and field practitioners and built on existing knowledge and networks and local needs. These same networks were involved in the project's implementation. This maximized the project's relevance and level of ownership.

## Recommendations

The recommendations are provided in Table 3.

**Table 3: Recommendations table**

No.	Recommendation	Responsibility	Time frame
<b>Category 1: Current project</b>			
1	Concerned parties should agree on the process, responsibilities and governance for establishing a business case for a sustainable financing mechanism for this project	UNDP, DNP	Immediate
2	Allocate funding to enable the continuation of the increased management capacity that was in place in the wildlife sanctuaries during this project	DNP	Immediate
3	Prepare a report on the tiger conservation and monitoring activities from this project to inform the review of the Thailand - Tiger Action Plan 2010–2022	DNP, WCS	Immediate
4	Continue to engage with enclave communities in TYW to enable this program to realize its potential in improving livelihoods, local knowledge and wildlife management	DNP, SNF	Immediate and ongoing
<b>Category 2: Future project management</b>			
5	Projects should strategically plan throughout the project cycle for sustainability of the results and the approaches used; this should occur throughout project development, inception, implementation and project close	UNDP, DNP	Medium-term and ongoing
6	Projects should establish working relationships between different partners and contributors, including project staff, to improve shared understanding of goals and to facilitate knowledge sharing and shared learning	UNDP, DNP	Medium-term and ongoing
7	Projects should work closely with Project Boards during implementation to value-add from Board members' expertise and roles	UNDP, DNP	Medium-term and ongoing
8	Projects should put in place processes and control mechanisms to transparently track actual co-financing contributions during project implementation	UNDP, DNP	Medium-term and ongoing
9	Projects should use the Social and Environmental Screening Procedure as a dynamic tool during projects to proactively manage risk and maximize opportunities	UNDP	Medium-term and ongoing
<b>Category 3: Future programming</b>			
10	Thailand's World Heritage authorities should consider opportunities to make greater use of local knowledge and values in planning and management of natural World Heritage sites	DNP	Medium-term and ongoing
11	DNP should seek partnerships to promote and support community outreach functions as part of respective agencies' regular mandates, especially those in and adjacent to protected areas	DNP	Medium-term and ongoing

## 2 Introduction

### 2.1 Purpose and Objective of Evaluation

In accordance with the Terms of Reference (ToR) for this TE, the TE will assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP programming. The TE report will promote accountability and transparency and assess the extent of project accomplishments.

Further to this, the ToR states that the objectives of the evaluation will be to:

- assess the achievement of project results supported by evidence (i.e. progress of project's outcome targets)
- assess the contribution and alignment of the project to relevant environmental management plans or climate and biodiversity management policies
- assess the contribution of the project results towards the relevant outcome and output of the Country Programme Document for Thailand (2017-2021) and recommendations on the way forwards
- assess any cross-cutting and gender issues
- assess impact of the project in terms of its contribution to, or enabled progress toward reduced environmental stress
- examine the use of funds and value for money and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP.

### 2.2 Scope

The scope of the evaluation was to assess any evidence available since project development that will assist in addressing the evaluation's objectives.

### 2.3 Methodology

The evaluation was undertaken between May and July 2021. A two-person team implemented the evaluation, comprising an international consultant (IC) / team leader and a national consultant (NC).

The evaluation followed the document *Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects 2020* ('UNDP-GEF TE Guidance' hereafter).

### 2.4 Data Collection and Analysis

The evaluation was based on a detailed review of data and information and extensive stakeholder consultation, to develop evidence-based conclusions, recommendations and lessons learned. Multiple sources of data informed the evaluation, to ensure the collection of evidence-based information that is credible, reliable and useful. A mixed methods approach was used, adopting a combination of qualitative and quantitative evaluation methods and instruments. Where possible, evidence was cross-checked against more than one information source to verify findings.

The following activities were included in the evaluation:

- An evaluation mission in Thailand, between 2 June 10 June 2021; due to COVID-19 restrictions, the IC could not visit Thailand and participated virtually via video conferencing. The NC was able to conduct some field visits and face-to-face consultations with a wide range of stakeholders; the remainder were conducted via video conferencing. The consultations used 'semi-structured interviews' in a conversational format. The itinerary and interviewees for the mission are provided in Annex 2 and a summary of the field visits is provided in Annex 4.

- A desk review of all relevant documents covering project design, implementation progress, and monitoring and review; the list of documents and information is provided in Annex 3.
- An evaluation criteria matrix that details the evaluation questions to be answered and from where this information will come; this is shown in Annex 5.
- Assessment of the extent to which gender considerations were mainstreamed into the project's design, monitoring, implementation and impact (more detail below).
- Assignment of an achievement rating for the project's objective and three outcomes, and assessment of achievement of the end-of-project targets, using the project's results framework.
- Assessment and assignment of a rating of the project against the following categories: relevance, effectiveness, efficiency, overall project outcome, sustainability, M&E, and implementation/oversight and execution; ratings were assigned according to the scales prescribed in the UNDP-GEF Guidance document (see Table 4).
- Assessment of provided GEF Tracking Tools.
- Presentation of preliminary findings by the TE team via video conferencing on 29 June 2021.

To assess the extent to which gender considerations were mainstreamed by the project, the evaluation used the document review, stakeholder interviews and personal observations during the mission to analyse a range of matters, including:

- Were relevant gender issues addressed in the project document?
- Was a gender analysis undertaken and were gender-specific activities, targets and monitoring established?
- Were sex-disaggregated data collected relating to project activities and outcomes?
- Was there an appropriate gender balance in participation in project activities?
- Were gender specialists involved in project inception and implementation stages?

**Table 4:** Ratings scales (source: derived from Annex 9 of UNDP-GEF TE Guidance document)

Ratings scales	
Ratings for M&E, Implementation/Oversight and Execution, Relevance, Effectiveness, Efficiency	Sustainability Ratings
6: Highly Satisfactory (HS): There were no shortcomings; quality exceeded expectations 5: Satisfactory (S): There were minor shortcomings; quality met expectations 4: Moderately Satisfactory (MS): there were moderate shortcomings; quality more or less met expectations 3. Moderately Unsatisfactory (MU): there were significant shortcomings; quality was somewhat lower than expected 2. Unsatisfactory (U): there were major shortcomings; quality was substantially lower than expected 1. Highly Unsatisfactory (HU): There were severe shortcomings Unable to Assess (UA): The available information does not allow an assessment	4. Likely (L): little or no risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks Unable to Assess (UA): Unable to assess the expected incidence and magnitude of risks to sustainability
<b>Additional rating where relevant</b> Not Applicable (N/A)	

## 2.5 Ethics

The TE was conducted in accordance with the UNEG 'Ethical Guidelines for Evaluation' and the TE team members have signed the 'UNEG Code of Conduct' form (Annex 7).

In particular, the TE team protected the anonymity and confidentiality of individual informants at all times and has ensured that sensitive information cannot be traced to its source. Stakeholders were informed of this at the commencement of interviews.

The team has been sensitive to issues of discrimination and gender equality and has presented results in a manner that clearly respects stakeholders' dignity and self-worth.

## 2.6 Limitations to the Evaluation

The main limitations to the TE related to the COVID-19 epidemic and associated constraints. In particular:

- The IC was not in Thailand for the mission and relied on virtual interviews, discussions with the NC during the field visits, and review of project documentation
- It was difficult for the IC to meaningfully evaluate activities and results in the project area.

Site visits by the NC were also limited, partly due to COVID-19 constraints and partly due to the remoteness and difficulty of access of some sites.

## 2.7 Structure of the Evaluation Report

This report structure follows the content guidelines provided in Annex 7 of the UNDP-GEF TE Guidance document.

Background information is first provided on the TE process (this chapter) and the project (Chapter 3). Chapter 4 then presents detailed findings in the categories assessed, under the following sub-headings:

- Project design/formulation
- Project implementation
- Project results.

Finally, Chapter 5 provides the main findings, conclusions, recommendations and lessons learned.

Annexes provide additional information to supplement the contents of the main body of the report.

### 3 Project Description and Development Context

#### 3.1 Project Start and Duration

'Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex' (PIMS 5436) is a five-year project implemented by the Department of National Parks, Wildlife and Plant Conservation (DNP) in the Ministry of Natural Resources and Environment (MONRE), supported by UNDP. The project started on 15 July 2015 and was scheduled to finish on 14 July 2020; a one-year extension was granted and the new finish date was 14 July 2021.

A Midterm Review (MTR) was undertaken for the project and finalized in December 2018. The 12-month extension to the project was obtained after the MTR.

#### 3.2 Development Context

Situated at the core of the Western Forest Complex (WEFCOM), the Huai Kha Khaeng – Thung Yai Naresuan World Heritage Site (HKK-TYN WHS)<sup>1</sup> consists of three contiguous wildlife sanctuaries (WSs): the Huai Kha Khaeng (HKK); the Thung Yai Naresuan East (TYE); and the Thung Yai Naresuan West (TYW). Totalling an area of 6,427 km<sup>2</sup>, the largely intact forest habitats of the HKK-TYN WHS provide a protected refuge for approximately half of Thailand's tiger population.

There are no villages within the HKK, but there are 14 formally recognised enclave villages within the TYW (7 villages) and TYE (7 villages). Communities in these villages have the right to live within the WSs, as their villages were established 200–300 years ago.

There are further villages, together with mixed forest agriculture, in a 5 km buffer around the HKK-TYN WHS with a particular concentration to the east of HKK where there are an estimated 29 villages.

Many of the villagers living in the enclave and buffer villages are dependent on the use of forest resources.

Thailand lies at the heart of the tiger range and is thus known as a key tiger range country. Recognising the importance of Thailand as a tiger range country, and the contribution that Thailand can make towards tiger conservation, the Royal Thai Government has been an active stakeholder in tiger conservation and has participated in the Global Tiger Initiative from its inception. Thailand's National Tiger Recovery Program (NTRP) reflects the goals of the Global Tiger Recovery Program at the national level and the national mechanism for achieving the goals of the NTRP is the Thailand - Tiger Action Plan 2010 – 2022 (TTAP). The aim was to increase the tiger population in Thailand by 50% by 2020.

#### 3.3 Problems that the Project Sought to Address

Based on the Thailand Tiger Action Plan 2010-2022 (TTAP), the project identified three main threats to tiger survival in Thailand and the HKK-TYN WHS: i) habitat degradation and fragmentation; ii) poaching of the prey that tiger depend on; and iii) poaching of the tigers themselves. These threats were identified as further exacerbated by limited capacity and insufficient resources to effectively

---

<sup>1</sup> The formal name of the site as inscribed on the World Heritage List is Thungyai-Huai Kha Khaeng Wildlife Sanctuaries; for consistency with the project document and other documentation for this project, this TE uses 'Huai Kha Khaeng – Thung Yai Naresuan World Heritage Site' (HKK-TYN WHS).

plan and administer the Ws, and limited working relationships with enclave and buffer communities.

The project design identified that the long-term solution sought by the Government of Thailand for the HKK-TYN WHS was characterised by: (i) legally secure and effectively demarcated Ws that are configured to ensure that populations of forest habitats and forest species can persist in the wild; (ii) a mandated and fully accountable management institution that is responsible for the efficient and cost-effective management of these Ws; (iii) individual Ws that are sufficiently staffed, adequately resourced and sustainably funded to achieve their defined management objectives; and (iv) villages located in and around the Ws in which communities are able to live in harmony with, and can sustainably utilise, the unique natural resources of the area.

The project design identified the following main barriers to achieving this long-term solution.

**Barrier 1: Inadequate operational capacity and resources to effectively manage the wildlife sanctuaries**

While ranger patrols were being undertaken, it was identified that the coverage and intensity of these patrols were constrained by the availability of suitably trained ranger staff and the proper equipping of these rangers. Also, the existing patrolling capability in the WHS was unevenly distributed, with more ranger staff in HKK and fewer in TYE and TYW. Other challenges with patrolling were identified, especially low ranger staff salaries and a lack of financial and other incentives to retain staff and maintain professional morale.

Limitations were also identified in the capability and coverage of wildlife monitoring in the HKK-TYN WHS, the absence of a comprehensive tiger genetic database to inform illegal trade prosecutions, and fire management in the HKK-TYN WHS.

**Barrier 2: Limited progress in linking livelihood development activities in the enclave and buffer villages with improved conservation outcomes in the HKK-TYN WHS**

The management focus of the HKK-TYN WHS was identified as being oriented towards enforcement, monitoring and research efforts in the Ws, with limited efforts being made to support the social and economic development of enclave and adjacent local communities, many of whom still rely on natural forest resources for part of their livelihood. Also, the Wild Animal Reservation and Protection Act did not give the management staff of the Ws the authority to implement sustainable development programmes beyond the boundaries of the sanctuary. This meant that it was difficult for the WS management teams to adequately budget for, and allocate sufficient staff to, supporting sustainable development initiatives in the enclave and buffer zone villages. The project document identified that there were few meaningful incentives in place for communities to adopt more biodiversity-friendly land management; the cooperative governance mechanisms between the individual villages and the forest management authorities were weakly managed; the Karen enclave communities inside TYW and TYE did not yet have secure land tenure rights; and support for community forestry within Government agencies was highly variable.

**Barrier 3: Low awareness levels of the importance of, and the need to conserve, the forest habitats and associated wildlife in and around the HKK-TYN WHS**

The education and promotion sections of the three Ws were identified as being generally limited in numbers, budgets and technical skills, and as being focused on environmental education to scholars rather than on community outreach efforts. Each of the three sanctuaries has a Protected Area Committee (PAC) comprising representatives from the wildlife sanctuary, local communities, local government agencies, and other stakeholders. Membership of some PACs was identified as skewed towards conservation allies and external stakeholders and the representation of local community interests on the PACs was thus somewhat weak. The PAC have little to no decision-making authority. The project document identified an urgent need for a more sustained, strategically focused and well-coordinated outreach and awareness-raising programme to be implemented in the buffer zones of the WHS and in the enclave villages.

### 3.4 Immediate and Development Objectives of the Project

The objective of the project was to ‘improve management effectiveness and sustainable financing for Huai Kha Khaeng - Thung Yai Naresuan World Heritage Site (HKK-TYN WHS) and incentivise local community stewardship’.

The project aimed to achieve this by:

- Strengthening the management, and improving the financial sustainability, of one of Thailand’s most important biodiversity areas, the HKK-TYN WHS.
- Developing and implementing mechanisms to incentivise surrounding communities living in and around the HKK-TYN WHS to better protect the biodiversity of the WHS and to adopt more sustainable land use and forestry management practices in the adjacent buffer areas.
- Implementing measures to reduce greenhouse gas (GHG) emissions in the HKK-TYN WHS and its buffer areas by reducing the burning of forests and enhancing the protection of forests in order to increase levels of carbon storage.

### 3.5 Expected Results

To achieve the objective, the project had three components, each with an associated outcome.

The first component of the project is directed towards strengthening and scaling up existing best-practice management activities, and developing and testing innovative approaches to enforcement and compliance, in the HKK-TYN WHS. It aims to reduce the direct threats to tigers and prey, improve effectiveness of wildlife sanctuary management, and enhance the use of data and information to support key management decision-making.

The second component of the project is focused on linking sustainable livelihood development in the enclave and buffer zone villages with specific conservation outcomes and improving economic links between the buffer zone and enclave villages and the WSs. It seeks to achieve these linkages by promoting incentives for community-based sustainable forest management, environmentally friendly agricultural practices, nature-based tourism and education and improved wildlife and habitat protection.

The third component of the project is directed towards raising the awareness in communities living in and around the WHS of the need to conserve, and the importance of protecting, the forest landscapes and associated wildlife. Work under this component will assist in strengthening the representation of buffer and enclave communities on the wildlife sanctuaries’ PACs. With improved community-based representation on the PAC, the project will assist in building the capacity (information, knowledge, skills) of each of the community representatives to assure a constructive and meaningful contribution to the co-management of the WHS.

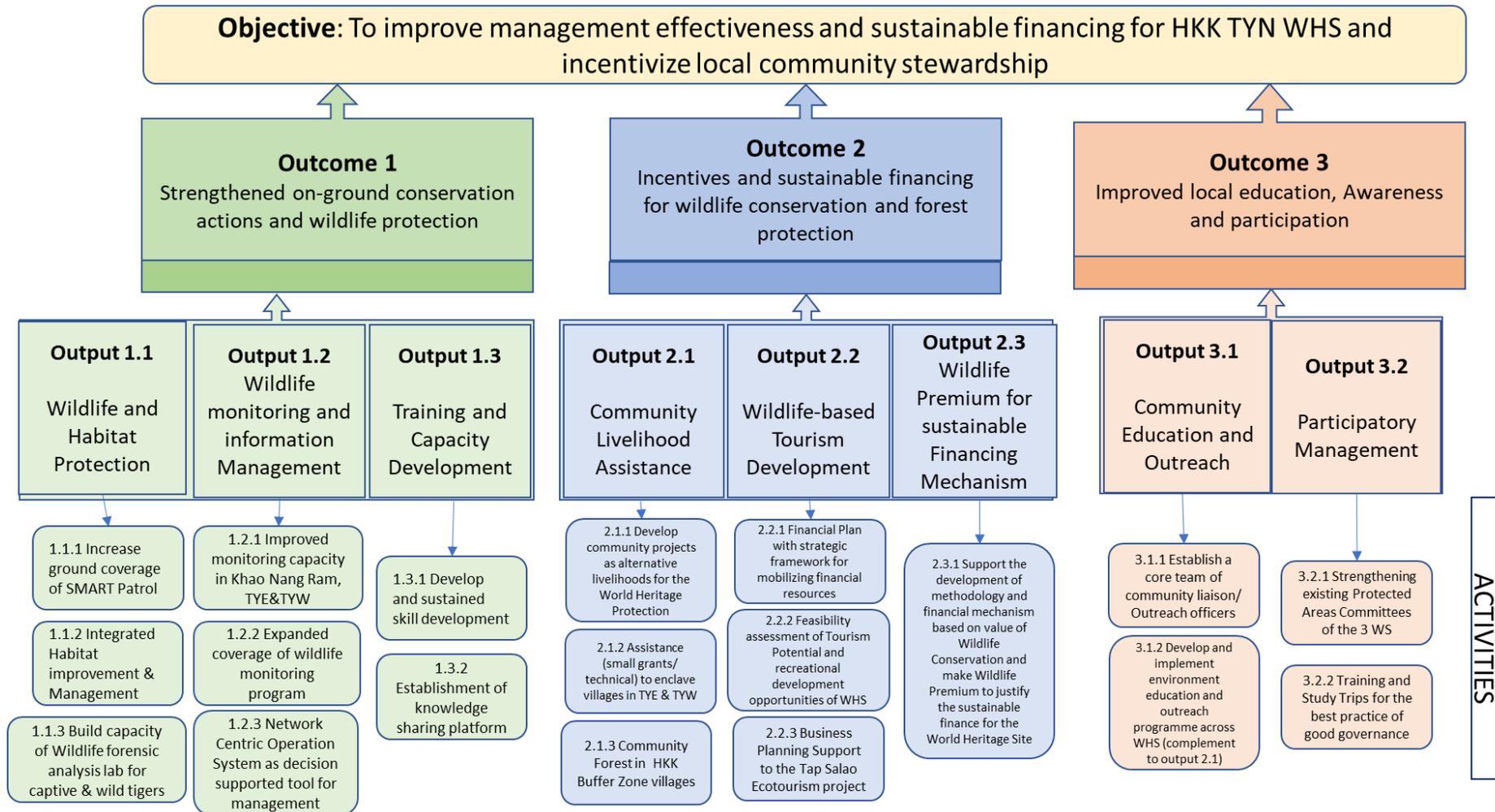
### 3.6 Main Stakeholders

The project document contains a detailed stakeholder analysis, with stakeholders and their roles and involvement in the project identified. This assessment is summarized in Table 9 in Section 4.2.2 (Actual Stakeholder Participation and Partnership Arrangements).

### 3.7 Theory of Change

A theory of change approach was not used for project development or M&E. The project team developed a theory of change during implementation, and this is attached as Figure 1.

Figure 1: Project Theory of Change (source: project team)



## 4 Findings

### 4.1 Project Design / Formulation

#### 4.1.1 Analysis of Results Framework

The results framework was very large, with 24 indicators at CEO endorsement reduced to 23 after the MTR; this created a substantial M&E burden.

Table 5 presents a critical analysis of the project's results framework, assessing how SMART (specific, measurable, achievable, relevant and time-bound) the indicators and end-of-project targets are. Some changes were made to the results framework after inception and after the MTR, and these are indicated in Table 5; the analysis in this table addresses the indicators in the final results framework, as reported against in the 2020 PIR.

**Table 5:** SMART analysis: specific, measurable, achievable, relevant, time-bound

✓ Meets criterion      ✗ Does not meet criterion      ? Some ambiguity or clarification needed

#### Objective

Description of indicator	End-of-project target level	SMART analysis				
		S	M	A	R	T
1. METT Scores of HKK, TYE and TYW Wildlife Sanctuaries	HKK: 71% TYE: 77% TYW: 68%	✓	✓	✓	✓	✓
2. Financial sustainability scorecard for the WHS	TBD	✓	✓	✗	✓	✓
3. Capacity development indicator score for DNP (Wildlife Conservation Office)	Systemic: 69% Institutional: 65% Individual: 68%	✓	✓	✓	✓	✓
4. Number of villages (of the 43 targeted enclave and buffer zone villages) directly benefiting from community-based livelihood activities that contribute to reducing the extent and intensity of threats to the HKK-TYN WHS	>28	✓	✓	✓	✓	✓

An end-of-project (EOP) target was not set for Indicator 2, therefore it is considered to not be achievable.

### Outcome 1

<sup>1</sup>Baselines and EOP targets updated after MTR

<sup>2</sup>EOP target amended down from >90% during inception

<sup>3</sup>This indicator replaced 'Number of wildfire incidences per annum in the WHS' during inception

<sup>4</sup>Target for wild tigers revised down from 500 during inception

<sup>5</sup>Targets for TYE and TYW revised up from >40% during inception

Note also indicator 'Number of poacher encounters per annum reported by ranger patrol staff from HKK, TYE and TYW' was deleted after the MTR

Description of indicator	End-of-project target level	SMART analysis				
		S	M	A	R	T
1. Number of tigers/100 km <sup>2</sup> in the three wildlife sanctuaries <sup>1</sup>	HKK: 2.1 TYE: 0.7 TYW: 0.7	✓	✓	✓	✓	✓
2. Aggregate occupancy index (number/km <sup>2</sup> ) of select tiger prey species (sambar; gaur; banteng) and elephant in the three wildlife sanctuaries	HKK: 8 TYE: 11 TYW: 17	✓	✓	✓	✓	✓
3. Areal coverage (as a % of total WHS area) of the ranger patrols in the WHS	>75% <sup>2</sup>	✓	✓	✓	✓	✓
4. Area-based habitat management plan taking climate projection into consideration <sup>3</sup>	Plan operational at one site as model for replication	✓	✓	✓	✓	✓
5. Number of tigers (captive and wild) with a documented DNA record	Captive: 1,250 <sup>4</sup> Wild: 200	✓	✓	?	✓	✓
6. Coverage (as a % of total area) of the wildlife monitoring program in the wildlife sanctuaries	HKK: >70% <sup>5</sup> TYE: >50% <sup>5</sup> TYW: >50%	✓	✓	✓	✓	✓
7. Number of staff of HKK, TYE and TYW who receive (a) refresher training and (b) train-the-trainer training	a) Refresher: 470 b) Train-the-trainer: 40	✓	✓	✓	✓	✓
8. Percentage of temporary ranger staff across the three wildlife sanctuaries who have adequate death and disability insurance cover	100%	✓	✓	✓	✓	✓

The original sub-target of Indicator 5 for a documented DNA record for 200 tigers (reduced at inception from 500) was not achievable, because the number of tigers in the WHS was estimated in the project document to be approximately 60. This was highlighted in the MTR, with the suggestion that the sub-target be removed, but no change was made at that time. Later in the project, it was proposed to change this to ‘samplings’ rather than ‘individuals’: the Board noted this proposed change on 29 November 2019 and the RTA approved it in emailed comments (viewed by the TE team) on 13 August 2019 to the PM during preparation of the 2019 PIR; however, the results framework was not amended and reporting in the 2020 PIR and the Final Project Report still showed ‘200 wild tigers’. Nevertheless, because both the Board and RTA approved the change, the TE team has assessed achievement against the revised indicator of 200 samples (droppings). This target is achievable; however, it is shown in the table above as questionable because the indicator as shown in the final results framework was not.

## Outcome 2

<sup>1</sup>This indicator replaced ‘Financial, Tourism and Integrated Fire Management plans for the WHS are in place’ during inception

<sup>2</sup>Indicator added after MTR

Note also indicator ‘Annual deforestation rate (%) in the WHS, enclave villages and HKK buffer areas’ deleted following MTR

Description of indicator	End-of-project target level	SMART analysis				
		S	M	A	R	T
1. Number of villages with signed Conservation Agreements	>28	?	✓	✓	✓	✓
2. Area registered as community forest in the HKK buffer zone	1,338 ha	✓	✓	✓	✓	✓
3. Number of people (of which percentage are female) living in the enclave villages of TYE and TYW who are direct recipients of project grant funding support	175 (60)	?	✓	?	✓	✓
4. Direct project beneficiaries living in buffer villages (of which percentage are female) who are direct recipients of project grant funding support	300 (60)	?	✓	?	✓	✓
5. World Heritage Site Strategic Plan of which ecotourism, sustainable financing are integrated into provincial development plan, with community participation in planning and financial management <sup>1</sup>	Tourism: Yes WHS strategic plan integrated into provincial development plan	✗	✓	✓	✓	✓
6. Avoided forest and forest degradation (ha and tonnes of CO <sub>2</sub> eq.) in the WHS, enclave villages and HKK buffer areas	985 ha 249,969 tonnes of CO <sub>2</sub> eq.	✓	✓	✓	✓	✓

7. Establishment of sustainable financing mechanism <sup>2</sup>	Sustainable financing mechanism via Conservation License Plate and impact investment committed to fill the gap of the World Heritage budgeting	?	✓	?	✓	✓
--	--	---	---	---	---	---

In Indicator 1, the definition of ‘conservation agreement’ was not made clear, therefore this indicator was not specific.

The wording of the sub-target in Indicators 3 and 4 (‘of which percentage are female’) is ambiguous, therefore this indicator was only partially specific. Note that the MTR clarified that the intent of these indicators was that 60% of beneficiaries should be women (pp13-14 of MTR). There is also doubt about whether these targets for 60% participation for women were achievable, especially given the limited targeted gender activities in the project design.

The intent of the expression ‘integrated into provincial development plan’ in Indicator 5 is not clear, which meant that the nature of the deliverable was ambiguous. Also, the HKK-TYN WHS is distributed across three provinces; therefore, the indicator and target did not capture the need to integrate the plan into three provincial development plans.

The wording of Indicator 7, especially the description of the EOP target, was ambiguous. Also, given that this indicator was adopted late in the project after the MTR, it is questionable whether establishing a mechanism by project close was achievable.

### Outcome 3

<sup>1</sup>A change of approach was adopted for this indicator, as described in Section 4.3.1; the indicator and target were not amended, therefore this assessment considers the indicator and target in the project document.

Description of indicator	End-of-project target level	SMART analysis				
		S	M	A	R	T
1. Number of WS community liaison and outreach staff working in targeted enclave and buffer zone villages	29	✓	✓	✓	✓	✓
2. Number of schools using WHS-based education and information materials	20	✓	✓	✓	✓	✓
3. Number of informational and educational road shows presented per annum using the mobile environmental education units <sup>1</sup>	144/annum	✓	✓	✓	✓	✓
4. Number of Protected Area Committees (PACs) with full representation and involvement of enclave and buffer zone villages	3	✓	✓	✓	✓	✓

#### 4.1.2 Assumptions and Risks

##### Risks

The project document identified four project risks and associated mitigation measures. Table 6 provides an assessment by the evaluation team of this risk analysis at project closure.

**Table 6:** Assessment of the risk analysis in the project document

Risk description	Risk rating (Impact / Likelihood)	Evaluation comments
<p><b>ENVIRONMENTAL</b></p> <p>Not all of the local forest-dependent communities (i.e. the 14 enclave villages inside TYE and TYW, and the 29 buffer zone villages east of the HKK boundary) will voluntarily cooperate with the conservation authorities in addressing the threats of deforestation (from shifting cultivation and monoculture) and poaching in the HKK-TYN WHS.</p>	High / Moderately likely	The risk and rating were realistic. The aim was to mitigate through a proactive communication plan; by involving local communities and Indigenous people in project development, including a livelihood development, assistance and incentives program. Peer-to-peer educational processes were also key to the mitigation approach. This was well articulated, learning from existing activities in the area, and was incorporated effectively into the design of project activities.
<p><b>INSTITUTIONAL</b></p> <p>The Department of National Parks, Wildlife and Plant Conservation (DNP) is unable to solicit the support, and coordinate the efforts, of other organs of state (at national, provincial and local government levels) in the implementation of project activities in the HKK-TYN WHS buffer areas due its limited mandate in the enclave and buffer zone areas.</p>	Moderate / Moderately likely	The risk and rating were realistic. Key mitigation measures were the establishment of the Project Board, appointment of a Project Director, working groups for each project component, and proactive disclosure of important information on project activities and agency performance. These measures are appropriate, although they are mostly aimed at senior levels of agencies and parallel measures at less-senior levels may have been appropriate.
<p><b>FINANCIAL</b></p> <p>Income-generating mechanisms supported by the project (carbon project and community-based tourism enterprise) do not generate sufficient revenues for reinvestment back into the conservation of the WHS.</p>	Low / Highly likely	<p>The impact rating of 'Low' for this risk is questioned, given that the sustainability of project outcomes and therefore the overall success and efficiency of the project are dependent on mechanisms and revenues being in place at project close that were not in place at commencement.</p> <p>The mitigation measures described in the project document are largely an outline of the project strategy on funding.</p>
<p><b>ENVIRONMENTAL</b></p> <p>The effects of climate change further exacerbate the fragmentation of forest ecosystems in the HKK-TYN WHS and surrounding buffer areas,</p>	Low / Unlikely	<p>The mitigation measures discuss the likelihood of an increase in the frequency of forest fires; the Impact / Likelihood ratings of 'Low' and 'Unlikely' appear very low.</p> <p>The mitigation measures involved planning for fire management in the WHS, which was appropriate.</p>

Risk description	Risk rating (Impact / Likelihood)	Evaluation comments
leading to an increase in the vulnerability of rare and threatened forest species		

### Assumptions

The strategic results framework in the project document (Section II) included assumptions for the project objective and for the three outcomes. Table 7 provides observations from the evaluation team regarding these assumptions.

**Table 7:** Observations regarding the assumptions in the project document

Assumption	Evaluation comments
<p><b>PROJECT OBJECTIVE</b></p> <ul style="list-style-type: none"> <li>- The Government continues to invest in improving the management of the WHS, as part of its strategy to conserve the forest ecosystems, forest habitats and rare and threatened forest fauna in the WEFCOM.</li> <li>- Communities living in and around the three wildlife sanctuaries respect the sanctity, and derive value from the conservation, of these sanctuaries.</li> </ul>	<ul style="list-style-type: none"> <li>- This assumption was well articulated and justified given the major role that the Government had in project development.</li> <li>- This assumption was very generic, because the communities are highly variable in their livelihoods and relationship to the WHS.</li> </ul>
<p><b>OUTCOME 1</b></p> <ul style="list-style-type: none"> <li>- The SMART patrol system is maintained across the three wildlife sanctuaries.</li> <li>- The DNP allocates adequate budget for the ongoing running costs and maintenance of project-procured infrastructure and equipment.</li> <li>- The wildlife sanctuaries sustain current ranger patrol and wildlife monitoring efforts in the WHS.</li> <li>- The security and integrity of the tiger DNA database is protected.</li> </ul>	<p>These assumptions were justified because DNP was closely involved in project development. However, this assumption underlies sustainability risks around whether the elevated level of resources would continue to be allocated after the project.</p>
<p><b>OUTCOME 2</b></p> <ul style="list-style-type: none"> <li>- Village leadership structures are stable and representative of the interests of the villages.</li> <li>- Village populations remain relatively stable.</li> </ul>	<ul style="list-style-type: none"> <li>- This assumption was rather simplistic; fortunately, it had limited impact on design and implementation of the project's activities working with villages.</li> <li>- The TE team was advised by local people that some Karen people had entered Thailand from Myanmar; this may have increased the village populations in TYE and TYW.</li> </ul>

Assumption	Evaluation comments
– The Royal Forestry Department (RFD) registers community forests timeously.	– This assumption is justified.
<p>OUTCOME 3</p> <p>– DNP continues to support, and strengthen the role of, PACs for wildlife sanctuaries.</p> <p>– DNP encourages the adoption and expansion of outreach and extension programmes in wildlife sanctuaries.</p>	<p>– This assumption is justified, given that the PACs are existing structures that DNP works with.</p> <p>– These assumptions were justified because DNP was closely involved in project development.</p>

#### 4.1.3 Lessons from Other Relevant Projects

Some elements of the project design relied on previous experiences and projects, especially:

- SMART patrolling and training (with WCS)
- Tiger conservation and monitoring, including prey monitoring (with WCS)
- Engagement with communities on sustainable livelihoods and living in harmony with nature (with SNF and RECOFTC).

The project document also refers extensively to Thailand's National Tiger Recovery Program and the Thailand - Tiger Action Plan 2010–2022 (TTAP), and associated research.

#### 4.1.4 Planned Stakeholder Participation

The project document listed the 'proposed involvement in the project' for each of the identified stakeholders. This is summarized in Table 9 in Section 4.2.2 (Actual Stakeholder Participation and Partnership Arrangements).

#### 4.1.5 Linkages Between Project and Other Interventions

The project design did not identify linkages with other GEF-financed projects.

The design relied heavily on existing interventions by NGOs and CBOs, especially WCS and SNF.

#### 4.1.6 Gender Responsiveness of Project Design

Consideration of gender in project design was limited. No gender analysis or gender action plan were provided at design phase (noting that they were not required at the time of development), and the project document did not include specific measures for advancing gender equality and women's empowerment. There was no UNDP Gender Marker rating applied, although this system was not in place at project design.

Two indicators in the results framework were disaggregated by gender (with very ambitious targets for percentage of participants who were female); however, these were not linked to clear actions that would advance gender equality or women's empowerment. This shows deficiencies in project development.

Overall, the gender responsiveness of the project document was low and the project would have benefited from a gender analysis and the input of appropriate gender expertise.

There was no national gender policy or strategy with which the project could align and no specific policy on gender and protected area management and biodiversity conservation.

#### 4.1.7 Social and Environmental Safeguards

An Environmental and Social Screening Procedure (ESSP) was prepared at project design in accordance with UNDP requirements at the time. See Section 4.3.9 for an analysis of the Social and Environmental Screening Procedures (SESP).

### 4.2 Project Implementation

#### 4.2.1 Adaptive Management

The project demonstrated good adaptive management in some aspects, for example by UNDP providing more direct execution support to manage bottlenecks in DNP systems and by DNP appointing a co-project manager to work on initiatives within the DNP and Government systems.

Several changes were made to the results framework during the inception phase and after the MTR; these changes are summarized in Section 4.1.1. The project changes were articulated in writing and then considered and approved by the Board and RTA. Lack of follow-up on some matters identified in PIRs, especially relating to M&E, created delays in implementation (e.g. the project extension request, see below) and difficulties in reporting at the time of this TE.

As described in Section 4.2.5 (UNDP Implementation), many changes to the results framework were undertaken slowly; in particular, changes after the MTR (which was finalized in December 2018) were not finalized until June 2019, which meant that the 2019 PIR did not report against revised indicators. This limited the opportunities for the project to achieve substantive and sustainable results under the new deliverables/indicators (e.g. the new 'Sustainable financing mechanism' indicator). Also, the revised strategic context for the project was not clearly articulated, which meant that the potential importance of the sustainable financing mechanism was not well understood and ownership of this was low.

A project extension was requested after the MTR but after a substantial delay: the Board did not endorse the extension request until November 2019 (only 8 months before the scheduled project finish date), which created uncertainty in project planning and delivery (reflected in comments in the 2019 PIR).

The large results framework was unwieldy and a significant M&E burden; consequently, the project faced M&E challenges from the start, exacerbated by a low level of M&E capacity in the PMU. The MTR recommended engaging a M&E specialist for the project to manage this significant M&E burden; this was not done and the significant M&E challenges remained through much the project. Strong supervision was provided from internal UNDP CO resources and M&E was improved by the time of the TE; however, several problems with the results framework persisted to the end of the project. An M&E officer in the PMU would have been of benefit.

Table 8 shows a summary of the recommendations made by the MTR and the management response to those and provides observations by the TE team. Note that the MTR was conducted from July to October 2018, but the report was not finalized until 14 December 2018; the management response is dated 30 October 2018.

**Table 8:** Summary of MTR recommendations, management response, and evaluator comments

MTR recommendation	Management response comments (30 October 2018)	Evaluator comments
1.1 Revise indicators – various recommendations (see Section 4.1.1 for changes)	PB approved all as recommended, except: - ‘confirmed to maintain the sampling of 200 wild tiger DNA’	The history of this indicator is described in Section 4.1.1; the indicator was not changed after the MTR, although a different change was endorsed by the Board and RTA in 2019
1.2 Improve quality of tracking tools	Agreed and proceed as advised by MTR	Completed correctly at TE
1.3 More support is needed on M&E in general. It is recommended that a (national) M&E expert/ advisor with expertise in completing GEF scorecards is hired and that the tracking tools are ensuring other indicators are also being measured accurately	For UNDP management to consider on shared consultancy since budget allocation to M&E is limited	This was important because M&E was slow to start and the results framework was extensive; dedicated M&E support was not hired
2.1 Alternative livelihood project proposals to be fully formulated by RECOFTC (Urgent action)	Agreed	Recommendations became redundant as RECOFTC role ended
2.2 PM to formalize amendments to RECOFTC activity	Agreed on the amendment but to end the contract as of October 2018	Recommendation became redundant as RECOFTC role ended
3.1 Ensure that financial records are up to date for each progress report, including co-financing information	Need an executive meeting between UNDP and DNP and put this issue into the agenda	PIRs included reporting on spending against GEF funds but not actual co-financing; DNP and SNF co-financing data not collected during the project, although some information was provided as the TE was being finalized
3.2 PMU/ Project Board/ BIOFIN to work towards ensuring budget continuity by: (i) maintaining a dialogue with concerned Government agencies on future budget allocations to implementing agencies; and, (ii) exploring potential alternative and parallel financing sources such as the Wildlife number plate schemes and ecotourism initiatives	Approved by the Project Board	Important recommendations to secure budget continuity and sustainability; follow-up on (i) was limited as described elsewhere in this report and there will be a drop in budget after the project ends; follow-up on (ii) was more substantial and parallel funding sources were explored, although little substantive was in place at project close
3.3 DNP DG to set up a Project Sustainability Taskforce to develop an exit plan (as soon as possible)	Need an executive meeting between UNDP and DNP and	Important recommendation to secure sustainability of results; this was not done.

MTR recommendation	Management response comments (30 October 2018)	Evaluator comments
	put this issue into the agenda.	The 20/6/2019 update on the Evaluation Resource Centre shows that 'DNP decided that the task was not necessary' and that various other measures would instead be implemented. If this recommendation had been followed then more sustainable results may have been achieved
4.1 Recommendations to promote community support into the skill base work plans of the DNP include: (v) Creation of a focal point for communities within DNP Wildlife Protection Division (vi) Introduction of KPIs for DNP's work with communities to better incentivize and acknowledge work in this area (vii) The inclusion of training in community participation into DNP's regular training (viii) Reference to good practices by other projects/ agencies should be used to strengthen the work with communities	Need an executive meeting between UNDP and DNP and put this issue into the agenda	The TE team saw no indications that this was undertaken; many DNP rangers and protected areas staff are skilled at working with communities and these skills were important in some of the successes in this project, although the extent to which this is added into staff career paths is limited
5.1 Establish a Community Technical Group (RECOFTC, SNF, Rabbit in the Moon, BIOFIN, KU and DNP) to improve communications and knowledge sharing	Agreed with MTR	Community Technical Group was not established; a coordination group such as this would have been beneficial
5.2 Documentation of lessons learned, dissemination of best practice for each output, and collation of tools, templates and other materials; make this knowledge database accessible to different stakeholder groups	Agreed with MTR	Some documentation and sharing were undertaken and a project website to act as a knowledge database was in development at the time of the TE; the TE team found that there was a low level of knowledge of specific project deliverables, even among many Board members – it is hoped that the project website will assist with this knowledge dissemination
5.3 Promote coordination with other Tiger countries a. Initiate a process to promote collaborate with other [GEF] Tiger projects in the region	Agreed. The regional training centre will be in charge via training course according to AWP. UNDP CO can promote S-S cooperation with UNDP	These were completed. (a) Training was provided to representatives from ASEAN countries at the HKK Training Centre; and (b) a partnership was established with the

MTR recommendation	Management response comments (30 October 2018)	Evaluator comments
b. Engage with the Global Wildlife Program to understand lessons learned in other countries	networking, including liaise between the 2 GEF project team for synergy and broader impacts.	Global Wildlife Program in which Thailand participated in its GEF-6 illegal wildlife trade project
6.1 A no-cost extension (6 months – 1 year) is recommended	Project Board agreed with MTR recommendation.	An extension was requested but after a substantial delay; this created uncertainty in project planning and delivery (reflected in comments in the 2019 PIR). The new finish date was 14 July 2021
6.2 Regular updates to be provided to the PM on progress of activities funded by project	PM work at DNP and have regular meetings with CO PM	PM worked closely with other project parties and received regular updates
6.3 Manual/ guidelines to be developed on working arrangements on GEF projects. While this was recommended under the CATSPA project, it was not taken up	Noted that CATSPA Guidelines is not applicable to this project due to different modality, i.e. no budget transferred to DNP	A Standard Operating Procedure (SOP) for project operations was developed and endorsed by the Comptroller General Office at the beginning of project; note that there was a lack of shared understanding in different parties of the importance of collecting co-financing data throughout the project implementation

#### 4.2.2 Actual Stakeholder Participation and Partnership Arrangements

Table 9 provides a summary of the role and planned involvement of stakeholders identified in the project document and of their actual participation in the project.

**Table 9:** Project stakeholders, their roles in Thailand and planned involvement in the project (from the project document) and their actual participation in the project

Stakeholder	Role in Thailand (from project document)	Proposed involvement in the project (in project document)	Actual engagement in the project
MONRE	<ul style="list-style-type: none"> <li>Environmental policy and planning</li> </ul>	<ul style="list-style-type: none"> <li>Overall oversight over the project</li> </ul>	<ul style="list-style-type: none"> <li>Project Board member, provided overall oversight the project</li> </ul>
DNP	<ul style="list-style-type: none"> <li>Managing activities in the protected area system in Thailand</li> <li>Implementing CITES</li> <li>Suppressing illegal wildlife trade</li> <li>Conducting educational outreach</li> </ul>	<ul style="list-style-type: none"> <li>Implementing agency for the project</li> <li>Coordinate implementation of all project activities, and may be responsible for the direct implementation of a number of these activities</li> <li>Lead role in ensuring ongoing communications with all agencies and partners in respect of project implementation</li> </ul>	<ul style="list-style-type: none"> <li>Implementing agency for the project</li> <li>Coordinate implementation of all project activities in the field, and responsible for direct implementation in particular Outcome 1</li> <li>Lead role in ensuring ongoing communications with all agencies and partners in respect of project implementation, mainly in Outcome 1</li> </ul>
Ministry of Agriculture and Cooperatives (MOAC)	<ul style="list-style-type: none"> <li>Development and regulation of policies on livestock husbandry and the use of fire adjacent to protected areas</li> </ul>	<ul style="list-style-type: none"> <li>Assist with the communication of the project to villagers as well as promoting better land use practices adjacent to the WHS</li> </ul>	<ul style="list-style-type: none"> <li>Assist in promotion of organic agriculture techniques and materials</li> </ul>
RFD	<ul style="list-style-type: none"> <li>Management of forests and educating the public about conservation</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate the establishment and development of community forestry and nature-based tourism initiatives in the buffer zones</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate the establishment and development of community forestry and in the buffer zones of HKK WS</li> </ul>
Agricultural Land Reform Office (ALRO)	<ul style="list-style-type: none"> <li>Supporting the allocation and use of agricultural reformed land</li> </ul>	<ul style="list-style-type: none"> <li>Support the development of sustainable livelihood activities for farmers in the buffer zone villages</li> </ul>	<ul style="list-style-type: none"> <li>Support and facilitate legal process and infrastructure installation at the Chor 1 village, the new settlement for farmers who voluntarily moved away from HKK buffer zone national reserve forest</li> </ul>

Stakeholder	Role in Thailand (from project document)	Proposed involvement in the project (in project document)	Actual engagement in the project
The Ministry of the Interior (MOI)	<ul style="list-style-type: none"> <li>Supervises provincial governors and their staff; these representatives influence development and tourism near protected areas</li> </ul>	<ul style="list-style-type: none"> <li>Ensure that effective communication within the spheres of government results in good intergovernmental cooperation in support of the project</li> </ul>	<ul style="list-style-type: none"> <li>Uthai Thani Provincial governors were engaged in the development of the wildlife tourism master plan since the feasibility study</li> </ul>
The Ministry of Tourism and Sports (MOTS)	<ul style="list-style-type: none"> <li>Development of tourism near to protected areas</li> </ul>	<ul style="list-style-type: none"> <li>Supporting the development of economic incentives for communities through the wise promotion of ecotourism in cooperation with local villagers and the DNP</li> </ul>	<ul style="list-style-type: none"> <li>MOTS contributes to the project through its representative on the Board</li> </ul>
The Royal Thai Police (RTP)	<ul style="list-style-type: none"> <li>Investigating and enforcing the law relating to illegal wildlife trade in Thailand</li> </ul>	<ul style="list-style-type: none"> <li>The Natural Resources and Environmental Crime Suppression Division of the RTP will contribute by assisting in the training of park rangers and Wildlife Crime Units</li> </ul>	<ul style="list-style-type: none"> <li>RTP staff provided 'train-the-trainer' training for DNP staff (organized by WCS)</li> </ul>
The Royal Thai Army (RTA)	<ul style="list-style-type: none"> <li>Responsible for military training in the country</li> </ul>	<ul style="list-style-type: none"> <li>The RTA is an important training source and can be used by the project in that capacity</li> </ul>	<ul style="list-style-type: none"> <li>No substantive engagement observed</li> </ul>
The Border Patrol Police (BPP)	<ul style="list-style-type: none"> <li>Ensuring the integrity of international borders</li> </ul>	<ul style="list-style-type: none"> <li>Assist in training park rangers working in protected areas and conducting joint patrols along the border areas</li> </ul>	<ul style="list-style-type: none"> <li>Involved in training park rangers</li> </ul>
The Customs Department	<ul style="list-style-type: none"> <li>Responsible for all check points in the country</li> </ul>	<ul style="list-style-type: none"> <li>Work collaboratively with the Natural Resources and Environmental Crime Suppression staff at identified check points</li> </ul>	<ul style="list-style-type: none"> <li>No substantive engagement observed</li> </ul>
Provincial Administrative Organisation (PAO)	<ul style="list-style-type: none"> <li>Managing and providing public services within a province</li> </ul>	<ul style="list-style-type: none"> <li>Facilitate and support the development of the <i>Thap Salao</i> Ecotourism Project</li> </ul>	<ul style="list-style-type: none"> <li>Uthai Thani PAO Involvement in consideration of Thap Salao wildlife tourism proposal</li> </ul>
Tambon Administrative Organisations (TAO)	<ul style="list-style-type: none"> <li>Managing and providing basic infrastructure for communities living in the buffer zones</li> </ul>	<ul style="list-style-type: none"> <li>Assist in the implementation of livelihood development, tourism development and outreach programmes in the buffer zone and enclave communities</li> </ul>	<ul style="list-style-type: none"> <li>TAO in the buffer zone has been engaging with communities in local tourism development, including working under the leadership of the MP of Uthai Thani in supporting the development of community-based wildlife tourism</li> </ul>

Stakeholder	Role in Thailand (from project document)	Proposed involvement in the project (in project document)	Actual engagement in the project
Village Chiefs	<ul style="list-style-type: none"> <li>Play an important role in decision-making at village level</li> </ul>	<ul style="list-style-type: none"> <li>Support and guide the iterative negotiation of Conservation Agreements and nominate representative on the PACs</li> </ul>	<ul style="list-style-type: none"> <li>Village chiefs in the buffer zone have been engaging with communities in local tourism development, including working under the leadership of the MP of Uthai Thani in supporting the development of community-based wildlife tourism</li> <li>Karen youth, who were beneficiaries of the project's outreach activities, are vice-village chief in TYW</li> </ul>
Conservation NGOs	<ul style="list-style-type: none"> <li>Providing a voice to a diverse set of stakeholders; often a source of innovation, funding additional projects and education and awareness</li> <li>Wildlife Conservation Society (WCS) has a specific interest in tiger conservation in the WEFCOM</li> <li>Seub Nakhasathien Foundation (SNF) has an interest in supporting efforts to promote sustainable conservation and development</li> <li>World Wide Fund for Nature (WWF) had an interest in supplementing REDD+ payments with biodiversity conservation payments in forests</li> </ul>	<ul style="list-style-type: none"> <li>In collaboration with DNP and other state agencies, support the goals and approaches of the project and raise awareness of critical issues within specific fields of interest and expertise</li> <li>WCS will support the project in improving the use and value of the SMART monitoring system</li> <li>SNF will provide support around livelihood development and training for local community members in the enclave and buffer villages</li> <li>WWF may, by agreement with the DNP, support the implementation of select project activities</li> </ul>	<ul style="list-style-type: none"> <li>WCS co-financed and contracted to provide support in improving the use the SMART patrol system, establishing the SMART Regional Training Centre, delivering SMART train-the-trainer courses to DNP, and conducting wildlife monitoring in HKK with Khao Nang Ram Wildlife Research Station</li> <li>SNF co-financed and contracted to provide support in livelihood development (value-adding to Karen villagers' products: coffee, hand-woven fabric, and organic herbs), providing secure market channels of these products, and establishing transect surveys of human impact in and around the enclave villages in TYE and TYW</li> <li>Rabbit in the Moon Foundation contracted to provide services in nature studies, science-based experimental experiences, in linkage with traditional knowledge and community mentoring for Karen youth in TYW and to develop their physical knowledge platforms (which have been built and are functional)</li> </ul>

Stakeholder	Role in Thailand (from project document)	Proposed involvement in the project (in project document)	Actual engagement in the project
			<ul style="list-style-type: none"> <li>HKK Foundation was the grantee to provide services in Chor 1 community development</li> <li>WWF did not undertake project activities</li> </ul>
Universities and colleges	<ul style="list-style-type: none"> <li>Conducting research, providing guidance for students undergoing tertiary education and training in conservation and related topics, and communicating new knowledge</li> </ul>	<ul style="list-style-type: none"> <li>Undergraduate and post-graduate students may support and/or participate in the implementation of selected project activities (e.g. camera traps, prey monitoring, outreach programmes, etc.)</li> </ul>	<p>Kasetsart University:</p> <ul style="list-style-type: none"> <li>Provided technical services in wildlife surveys, wildlife habitat inventory and management plan development</li> <li>Was contracted to develop a feasibility study and master plan for wildlife tourism in Thap Salao, and was involved in advocacy for the proposal</li> <li>Provided undergraduate students who attended training at HKK Regional Training Centre</li> <li>Agreed to use HKK Regional Training Centre, HKK's buffer zones areas, and Thap Salao Non-Hunting Areas to be practical research grounds for undergraduate and graduate students</li> </ul>
Uthai Thani Representative to Parliament House	<ul style="list-style-type: none"> <li>Not defined</li> </ul>	<ul style="list-style-type: none"> <li>Not defined</li> </ul>	<ul style="list-style-type: none"> <li>Actively promoted wildlife-based tourism, with wildlife-watching facilities and information centre, as a new provincial attraction and investment</li> </ul>
PACs of the three wildlife sanctuaries	<ul style="list-style-type: none"> <li>Not defined</li> </ul>	<ul style="list-style-type: none"> <li>Not defined</li> </ul>	<ul style="list-style-type: none"> <li>Supported the field-level activities and learnings on outputs of the project</li> <li>Contributed to protected area management decision-making</li> <li>Participated in PAC for WHS Strategic Plan</li> </ul>
UNDP BIOFIN project	<ul style="list-style-type: none"> <li>Not defined</li> </ul>	<ul style="list-style-type: none"> <li>Not defined</li> </ul>	<ul style="list-style-type: none"> <li>Mobilizing the conservation car plate for tiger conservation initiative</li> </ul>

#### 4.2.3 Project Finance and Co-Finance

The total committed budget in the project document was \$31,573,877, of which the GEF component was \$7,339,450 and co-financing contributions were \$24,234,427. The planned allocation of the GEF funds during the project is provided in Table 10.

**Table 10:** Summary of budgeted GEF funds (USD)

Funding source	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Outcome 1	1,429,400	1,525,000	717,000	566,000	407,000	4,644,400
Outcome 2	214,469	309,212	428,235	340,733	205,853	1,498,502
Outcome 3	200,000	236,000	173,000	101,000	137,050	847,050
Project Management	76,098	75,600	67,600	67,600	62,600	349,498
<b>TOTAL</b>	<b>1,926,975</b>	<b>2,152,820</b>	<b>1,392,843</b>	<b>1,064,821</b>	<b>801,991</b>	<b>7,339,450</b>

#### *Expenditure*

At 24 June 2021, total cumulative expenditure was \$6,643,733, which is 90.5% of the GEF funds allocated. The TE team was advised that an additional \$260,440 had been spent and was awaiting clearance, which means that the total expenditure is \$6,904,173, which is 94.1% of GEF funds. The budgeted and actual expenditure by year is presented in Table 11. This shows low expenditure in 2016 and 2017, reflecting the slow project start, increasing in 2018 to reach high levels in 2019, 2020 and 2021 as the project gathered momentum.

**Table 11:** GEF allocation budgeted and actual annual expenditure (USD)

Year	Budgeted expenditure	Actual expenditure	Actual as % of budgeted
2015		15,394	N/A
2016	1,926,975	1,135,420	58.9
2017	2,152,820	836,312	38.8
2018	1,392,843	1,215,145	87.2
2019	1,064,821	1,490,757	140.0
2020	801,991	1,406,079	175.3
2021		544,626	N/A
2021 pending clearance		260,440	
<b>TOTAL</b>	<b>7,339,450</b>	<b>6,904,173</b>	<b>94.1</b>

Table 12 shows budgeted and actual expenditure for project management and Outcomes 1, 2 and 3.

**Table 12:** GEF allocation budgeted and actual expenditure (USD) by component; \*expenditure pending clearance has not been assigned to a component

Component	Budgeted expenditure	Actual expenditure	%
Outcome 1	4,644,400	3,995,459	86.0
Outcome 2	1,498,502	1,411,704	94.2
Outcome 3	847,050	653,000	77.1
Project Management	349,498	327,221	93.6
Unassigned*		516,789	N/A
<b>TOTAL</b>	<b>7,339,450</b>	<b>6,904,173</b>	<b>94.1</b>

### Co-finance

The evaluation team received data showing actual co-financing contributions by WCS, SNF, UNDP and DNP. This is summarized in Table 13, which also shows the committed sums in the project budget.

**Table 13:** Project committed and actual co-financing (USD); \*actual expenditure data was not received for all of the DNP co-financing – see text for discussion

Source	Committed	Actual	%
WCS	500,000	1,215,000	243.0
SNF	370,000	381,963	103.2
UNDP	500,000	504,926	101.0
DNP	22,864,427	9,257,307*	-

The WCS contribution significantly exceeded the commitment in the project document. This has included contributions to SMART training, the training centre in HKK and prey surveys and was an important contribution to the significant results in Outcome 1. The UNDP met its commitment in the project document; this was for project supervision/oversight and some execution support services at the request of DNP. The SNF met its commitment and assisted with community liaison and outreach in TYE and TYW, making an important contribution to the results in Outcomes 2 and 3.

Actual co-financing data was received for some of the DNP co-financing (Table 13), which represents the fiscal budget and revenue income for the three WSs (HKK, TYE and TYW) and Khao Nang Ram Research Centre and the costs for various personnel involved in the project. This contribution was central to the functioning of this project. Actual co-financing data were not received for approximately \$13.6 million of other contributions. This is unfortunate, because DNP's contribution was undoubtedly very substantial and was important to the project's significant achievements; however, the TE team found there was not sufficient clarity or documentation to substantiate the extent of materialization of this portion of the co-financing and, therefore, to assess the contribution to project outcomes and sustainability.

It should be noted that actual co-financing data were not collected for DNP and SNF during the project and were retrospectively compiled late in the period of the TE. Also, co-financing was not reported in PIRs or the MTR. Transparency would be greatly improved if collection and reporting of co-financing contributions occurred throughout implementation.

Table 14 provides a breakdown of the confirmed sources of co-financing by name and type. In this table, the column 'Type of Co-financing' refers to whether the funding was a grant, loan, equity investment, public

investment, guarantee, in-kind, or other; and the column 'Investment Mobilized' refers to whether the funding is investment mobilized (i.e. excluding recurrent expenditures) or recurrent expenditures (i.e. routine budgetary expenditures that fund the year-to-year core operations of the entity).

**Table 14:** Confirmed sources of co-financing for the project by name and by type (USD); \*actual co-financing data received – committed sum in parentheses

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (USD)
Recipient Country Government	DNP	In-kind	Recurrent expenditures	9,257,307* (22,864,427)
Civil Society Organization	WCS	In-kind	Recurrent expenditures	1,215,000
Civil Society Organization	SNF	In-kind	Recurrent expenditures	381,963
GEF Agency	UNDP	In-kind	Recurrent expenditures	291,629
GEF Agency	UNDP	Grant	Recurrent expenditures	213,297
<b>Total Reported Actual Co-financing</b>				<b>11,359,196*</b> <b>(24,966,316)</b>

#### 4.2.4 Monitoring and Evaluation

**Monitoring and Evaluation overall rating: MODERATELY SATISFACTORY**

##### Evidence

- ✓ M&E plan in project document was largely satisfactory
- ✓ PIRs were completed candidly and used constructively
- ✗ M&E implementation showed lengthy delays and shortcomings in follow-up
- ✗ Limited use of the SESP for assessing and managing risks

**Monitoring and Evaluation design at entry rating: SATISFACTORY**

The section 'Monitoring and Evaluation Framework' in the project document outlines the standard M&E activities, based around:

- Inception workshop
- Quarterly reporting
- Annual reporting
- Periodic site visits
- MTR (independent)
- Project Terminal Report (prepared by the project team)
- TE (independent)
- Relevant GEF Focal Area Tracking Tools at midterm and TE
- Audits.

The M&E Framework includes a M&E Budget and Work Plan, with budget against these components. This budget is US\$103,000, approximately 1.4% of the GEF grant, which is a relatively low percentage allocation to M&E. However, the only items with GEF budget against them are the inception workshop, MTR, TE and audits. The activities 'Measurement of means of verification of project results' and 'Measurement of means of verification for project progress on output and implementation' have no budget allocated; these were to be finalized during the inception workshop and as part of annual work plans, respectively.

Given that the project document envisaged making specific budget allocations during implementation for monitoring progress towards project results, the evaluation team considers the M&E plan to be well prepared and have an appropriate budget.

The results framework in the project document was very large, included some unrealistic targets (as described in Section 4.1.1), and had one indicator for which there was neither a baseline nor an EOP target.

**Monitoring and Evaluation implementation rating: MODERATELY SATISFACTORY**

Monitoring was put in place for most components of the project, with adequate budget allocated. However, as described in Section 4.1.1, the results framework is large, with 23 indicators (reduced from 24 after the MTR), which placed a significant M&E burden on the project and there were delays in establishing the M&E program. These delays are reflected in numerous commentaries and recommendations in the PIRs and MTR report.

In summary:

- The project inception workshop was held 11 August 2016 and minutes were prepared.
- Quarterly progress reports were completed regularly until quarter 2 2019, after which they were not prepared. After initially being inconsistent in content, over the last two years of being prepared they were used effectively for both operational reporting on activities and outputs and strategic reporting on progress toward outcomes.
- PIRs were completed according to schedule in 2017, 2018, 2019 and 2020. Reporting in these was realistic and they were used by the project manager, programme officer and RTA to flag matters that needed attention (such as lags with M&E or budgets and emerging risks); however, there was often a lack of follow-up to these flagged matters, which caused challenges through to the end of the project and this evaluation. Financial reporting of GEF funds was provided in the PIRs, although there was no reporting of co-financing.
- Periodic visits were conducted to project sites and back-to-office reports (BTORs) were prepared for these, showing the purpose, outcomes and actions to be undertaken. The TE team viewed 51 BTORs; there were only six in 2020 and one in 2021, due largely to COVID-19 restrictions.
- Tracking tools were prepared at CEO endorsement and at completion by independent evaluators with relevant staff; however, there were significant gaps and deficiencies identified in the tracking tools during the MTR, which were addressed for the TE.
- In accordance with the M&E plan, independent auditing companies were engaged to complete spot checks and micro assessment reports on the IP (DNP). The evaluation team viewed two spot check reports, one micro assessment report, and one internal control audit report (see also Section 4.2.3).
- The Operational Focal Point (OFP) was informed of project progress and reporting through participation in Board meetings; the OFP did not contribute to PIR reporting.

- The project used some inclusive and participatory approaches to monitoring, especially under Outcome 1, in which the community was trained in some wildlife monitoring techniques.
- Reporting on attendance at some project activities included a breakdown of attendance by gender; however, there was little other assessment of the involvement of women and men in the project.
- The MTR for the project was conducted between May and December 2018. Table 8 in Section 4.2.1 (Adaptive Management) summarizes the MTR's recommendations and the management response and provides evaluation comments.
- There was little formal monitoring of the environmental and social risks that were identified through the UNDP SESP.
- The PIR overall ratings were generally consistent with the MTR and TE findings.
- The Project Board was not involved in day-to-day M&E activities, although it did consider the MTR, endorse the MTR management response, and endorse changes to the results framework after the inception workshop and the MTR.

#### 4.2.5 UNDP and Implementing Partner Implementation / Oversight / Execution

**Overall Quality of Implementation/Execution rating: MODERATELY UNSATISFACTORY**

##### Evidence

- ✓ UNDP project supervision/oversight and support to the IP and project were good
- ✓ DNP had strong ownership and made substantial contributions to Outcome 1 of the project
- ✗ Risk management variable, SESP not reassessed, and gender analysis not undertaken
- ✗ No strategic planning for sustainability
- ✗ Much of project's co-financing not tracked during the project

**UNDP Implementation/Oversight rating: MODERATELY SATISFACTORY**

The adequacy, quality and timeliness of UNDP supervision and oversight was generally good. During the mission, feedback from stakeholders on project oversight by UNDP was consistently positive. The consistency of the project manager's presence throughout implementation, with no gaps in project management, was of significant benefit to the project.

Annual reporting via the PIRs was realistic and used as a tool for identifying emerging issues and implementing adaptive management; as identified previously, follow-up on matters raised through the PIRs was often inadequate. When completed, quarterly reporting was of a high standard, focused on both output details and progress towards outcomes; however, quarterly progress reports were not prepared after the second quarter of 2019.

Risk management was variable during project implementation. The examples described elsewhere of the failure to reassess the SESP in response to a grievance against a process in the project area (see Section 4.2.6) and the failure to undertake a gender analysis (despite these being requested by the RTA in three PIRs) are the most significant instances of a lack of responsive risk management. UNDP appropriately identified these and made recommendations for measures to take, but did not persistently follow up to ensure that the project carried out those measures.

UNDP was responsive to implementation problems, other than the risk management deficiencies described above. Also, the move towards a direct modality for some deliverables later in the project meant that engagements were undertaken more efficiently by UNDP than DNP, which was important as time became constrained late in the project. UNDP provided significant execution support services at the request of DNP, and these requests increased during implementation.

Changes to the results framework and deliverables in response to implementation challenges were undertaken appropriately, although somewhat slowly. For example, the need for changes to the components relating to REDD+ was identified very early and could have been made at inception, rather than waiting until the MTR. This would have enabled either a considered alternative approach to climate change mitigation and biodiversity conservation that fitted better with Thailand's developing framework and/or more time for the sustainable financing mechanism (which is the replacement indicator) to be researched, scoped and established.

The project had a very slow start, which was largely due to DNP systems and processes.

The RTA provided regular advice and guidance on progress reporting, results framework changes and risk management.

**IP Execution rating: MODERATELY UNSATISFACTORY**

DNP's focus on results and timelines varied substantially between components. DNP took strong ownership of Outcome 1 and, with WCS, delivered good results. However, ownership was not strong for Outcome 2, especially the sustainable financing mechanism; this may be because it departed significantly from the 'core business' of the Wildlife Conservation Office (WCO) in DNP. Similarly, DNP's focus on results and timelines for the communication aspects of Outcome 3 was limited, again perhaps because it is isolated from the 'core business' of the WCO. However, DNP engaged well with the community outreach components of the project, which were spread across Outcomes 2 and 3 and provided benefits to Outcome 1, leading to some important improvements in relations between DNP officers and community members.

DNP was responsive to opportunities for spin-offs in the project. For example, development of the Training Centre at HKK was not in the original project document (the original intent was for design and feasibility assessment) and is a major sustainable positive result of the project.

Funds were used appropriately and Government and DNP procurement and contracting processes were followed. The very slow start to the project, especially the delay of a year or more in engaging WCS, was caused by the systems in place and was not specific to this project. DNP worked with UNDP to identify more efficient means of procuring and engaging groups and people later in the project, with UNDP providing additional execution support at DNP's request. Also, the appointment of a co-project manager was a positive adaptive management step that assisted with facilitating processes within DNP.

Data on actual co-financing from DNP did not cover all of the agency's contribution (as described in detail in Section 4.2.3). This means that, while the DNP contribution was undoubtedly substantial, it was not all formally validated. The Deputy Director of DNP was assigned as Project Director; there were several people in this role during the project.

Risk management by the project was limited. Although the TE team was not provided with any DNP risk management documentation, as the IP they should have worked with the project to address potential risks to the project arising from the grievance in the project area.

DNP did not contribute to the project's annual reporting (PIRs).

The major shortcoming of DNP's contribution is the lack of a plan for sustainability of the project's results, as discussed elsewhere. In particular, the TE team did not see any indication of proactive attempts to

prepare for the time when the additional ranger resources were no longer available, despite concerns about this being raised by many interviewees (although the TE team understands that internal discussions about allocating this funding have commenced).

#### 4.2.6 Risk Management

New risks were reported by UNDP in annual PIRs; however, the quality of risk management was variable. Some relatively simple project risks were efficiently identified and managed by the project team, such as securing budget allocations, managing project delays, managing delays in deliverables, and responding to audit issues around maintaining a proper inventory of vehicles and equipment.

However, there was limited follow-up to some more significant risks. In particular, a new social risk was identified in the 2018 PIR relating to a grievance to the Government of Thailand regarding a resettlement of villagers within the project area; the grievance was not against the project. Nevertheless, given the project was conducting outreach activities to communities in the area, the appropriate step would have been to reassess the SESP. The RTA recommended in the 2018, 2019 and 2020 PIRs that the SESP be reassessed and that any other potential risks be identified; however, this was not done. The risk was added as a risk to the UNDP risk system in 2020. The TE team is not aware of this risk being escalated in the UNDP CO at the time. The TE team is also not aware of what actions, if any, were taken within DNP in response to this potential risk to the project.

The risks identified in the PIR had varying levels of impact on implementation, mainly in the form of delays in procurement processes and slow disbursements.

The main risk identified by the TE team is the lack of a strategy for sustainability of the project's results beyond the GEF funding.

#### Social and Environmental Standards

At the time the project was developed the UNDP requirements were for an ESSP. The ESSP at CEO endorsement stage identified site-level implementation activities that could have social or environmental impacts in response to the following screening questions:

Environment perspective	
<p>1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?</p> <p>The ESSP proposed that the net effect of the project was proposed to be positive regarding biodiversity and natural resource conservation.</p>	
Measure	Evaluation
Ensure project activities as defined in the project document are timely implemented and within defined budget ensuring the wisest possible use of funds for maximum biodiversity impact	The project delivered good biodiversity conservation results in a timely manner
Screen all alternative livelihood activities to be undertaken in the WHS in order to determine whether it will have a negative environmental impact	The project had a focus on identifying and fostering livelihood activities that were environmentally sustainable and compatible with WHS values; although the TE team is not aware of any formal 'screening' to assess activities, the livelihoods and activities were appropriate and generally adopted environmentally friendly methods (e.g. organic farming)

<b>Social perspective</b>	
<p>4.1 Would the proposed project have environmental and social impacts that could negatively affect Indigenous people or other vulnerable groups?</p> <p>The ESSP identified that the Indigenous Karen people live in and around the HKK-TYN WHS and that there are enclave villages in TYE and TYW. The ESSP noted that the project ‘will move away from the approach where villagers largely experience conservation efforts through law enforcement operations, to a more collaborative approach where financial and technical support provided to support the social and economic development of villages ... is linked to specific pre-determined conservation outcomes...’.</p>	
<b>Measure</b>	<b>Evaluation</b>
Alternative livelihood activities within conservation agreements should be designed to compensate the communities for the opportunity costs lost due to the presence of the protected area	The project had a focus on making alternative livelihoods and activities more attractive and economically sound, although there was no formal opportunity cost analysis; this approach was appropriate
Ensure full consultation of communities in the finalization of the CAs	This occurred
Ensure full and meaningful participation of the community members of the Protected Area Committee	This occurred
<b>Socio-economics</b>	
<p>8.1 Is the proposed project likely to have impacts that could affect women’s and men’s ability to use, develop and protect natural resources and other natural capital assets?</p> <p>The ESSP stated that the project ‘will support restrictions to the use of natural resources within the WHS as defined by law’ and noted that ‘the compensatory measure that will be emplaced is discussed above under social’.</p>	

The ESSP replied ‘no’ to all screening questions relating to gender, including whether the project was likely to significantly impact gender equality and women’s empowerment; whether the project was likely to have variable impacts on women and men; and whether the project was likely to significantly affect the cultural traditions of affected communities, including gender-based roles.

The TE identified no significant issues relating to compliance with UNDP’s SES.

The ESSP was not replaced with a SESP during project implementation, despite the desirability of this being identified in 2018, 2019 and 2020, as described under Section 4.2.6 (Risk management).

## 4.3 Project Results and Impacts

### 4.3.1 Progress Towards Objective and Expected Outcomes

Below is the rating for the achievement of the project objective and three outcomes, with an accompanying evaluation of the achievement against each associated target in the results framework. A summary of delivery against the project's outputs is provided in Annex 6.

<b>Project Objective: To improve management effectiveness and sustainable financing for Huai Kha Khaeng - Thung Yai Naresuan World Heritage Site (HKK-TYN WHS) and incentivise local community stewardship</b>
<b>Objective Achievement Rating: SATISFACTORY</b>

As described below, the project met three of the four objective indicators and partially met the other indicator. Overall, management effectiveness, financial sustainability and relevant capabilities within DNP all improved, and the project implemented activities that effectively targeted local community stewardship.

<b>Objective Indicator 1: METT scores of HKK, TYE and TYW Wildlife Sanctuaries</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
HKK: 67%	HKK: 71%	HKK: 75%	<b>ACHIEVED</b>
TYE: 75%	TYE: 77%	TYE: 77%	
TYW: 60%	TYW: 68%	TYW: 70%	

The EOP target for METT scores was met or exceeded for each WS (HKK, TYE and TYW), showing an overall increase in management effectiveness across the sanctuaries – an outcome that is of global significance given the importance of these sites for tiger conservation. On inspection of the tracking tool, particular increases can be seen in staff capacity, budget management, involvement of local communities and participation of Indigenous people.

<b>Objective Indicator 2: Financial sustainability scorecard for the WHS</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
79	Not specified	95	<b>PARTIALLY ACHIEVED</b>

As described in Section 4.1.1, it is unfortunate that a baseline and EOP target was not set for the financial sustainability indicator during project design and these were not fully corrected during implementation. Thus, despite showing a substantial increase from the baseline set at project midterm, it can only be assessed as 'partially achieved' as a target was never finalized. Nevertheless, according to the financial sustainability scorecard DNP improved its capability in prioritizing budget allocations and minimizing threats and increasing the effectiveness of protection in the WHS. These improvements were made despite constraints DNP has on the extent to which it can seek alternative financing from outside the Government's regular budget: neither fundraising nor revenue generation by service provision are allowed.

<b>Objective Indicator 3:</b> Capacity development indicator score for DNP (Wildlife Conservation Office)			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
Systemic: 67%	Systemic: 69%	Systemic: 80%	<b>ACHIEVED</b>
Institutional: 64%	Institutional: 65%	Institutional: 75.5%	
Individual: 61%	Individual: 68%	Individual: 74%	

The EOP target for the capacity development indicator score for the Wildlife Conservation Office of DNP was exceeded for each of the three components. This is a significant achievement for the project. The improved patrolling capabilities (including from SMART patrol training and improved equipment and communications) and the delivery of a train-the-trainer program for SMART patrolling were very important contributors. In addition, there were capacity improvements in formulating and implementing projects, mobilizing partnerships, and monitoring and reporting.

<b>Objective Indicator 4:</b> Number of villages (of the 43 targeted enclave and buffer zone villages) directly benefiting from community-based livelihood activities that contribute to reducing the extent and intensity of threats to the HKK-TYN WHS			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
0	>28	>28	<b>ACHIEVED</b>

The TE team was provided with information that 27 community forest networks in the HKK buffer zone benefited from small grants for a variety of purposes, including community forest extension, changing from mono-cropping to integrated farming, wildlife-friendly agriculture, and establishment of an environment education network in schools; and that the 14 enclave villages in TYE and TYW all benefited from small grants for sustainable products development (including coffee, organic herbs and woven products) and from the development of a science-based approach to the Indigenous knowledge program for Karen youth. It should be noted that the project leveraged from work already underway by SNF in TYE and TYW, which was an effective approach to distributing project funds via small grants.

<b>Outcome 1: Strengthening on-ground conservation actions and wildlife protection</b>
<b>Objective Achievement Rating: SATISFACTORY</b>

Of the eight indicators for this outcome, six were achieved and two were partially achieved. The project achieved a significant global environmental benefit of improved density of tigers in the surveyed sites in the Western Forest Complex. The project was very effective at strengthening on-ground actions and at building capabilities, capacity and coverage of SMART patrolling and wildlife monitoring. Highlights include:

- A Regional SMART Patrol Training Centre in HKK was established (the project document proposed only that a feasibility study, conceptual design and business case be developed for such a centre)
- The level of training and train-the-trainer training greatly exceeded EOP targets
- In addition to delivering positive wildlife and tiger outcomes in TY-HKK WHS, the project has strengthened Thailand's national capacity in protected area management and addressing wildlife

crime, such as through DNP trainers providing SMART patrol training to its staff in other parts of Thailand and through increased forensic capability.

<b>Outcome 1 Indicator 1: Number of tigers/100 km<sup>2</sup> in the three wildlife sanctuaries</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
HKK: 1.8	HKK: 2.1	HKK: 2.2	<b>ACHIEVED</b>
TYE: 0.5	TYE: 0.7	TYE: 1.1	
TYW: 0.5	TYW: 0.7	TYW: 0.8	

Tiger density increased in the three WSs, exceeding the EOP target in each. In addition, the total number of tigers recorded increased from 53 in 2016 to 89 in 2021 (Table 15). The TE team was advised by scientific staff that there is a correlation between tiger density and increasing prey density (see next indicator) and it is considered very likely that this shows a real increase in the tiger population in the WHS – this is an achievement of global significance. The measured density increase is also likely to be partially due to improved accuracy due to the increased survey effort and capability in each WS that the project provided: additional patrolling staff and areal coverage, 400 additional camera traps, six data collection officers, two biologists and two WS substations.

**Table 15:** Number of tigers recorded in wildlife sanctuaries. \*In 2020 and 2021, the total exceeds the sum of the WS counts to account for individual tiger(s) being detected in more than one WS (source: project team)

<b>Wildlife Sanctuary</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>
HKK	41	50	46	54	54	63
TYE	3	6	15	12	17	17
TYW	9	6	4	12	9	11
<b>TOTAL</b>	<b>53</b>	<b>62</b>	<b>65</b>	<b>78</b>	<b>79*</b>	<b>89*</b>

<b>Outcome 1 Indicator 2: Aggregate occupancy index (number/km<sup>2</sup>) of select tiger prey species (sambar; gaur; banteng) and elephant in the three wildlife sanctuaries</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
HKK: 6.5	HKK: 8	HKK: 12.1	<b>PARTIALLY ACHIEVED</b>
TYE: 9	TYE: 11	TYE: not available	
TYW: 13	TYW: 17	TYW: not available	

The EOP target for the aggregate occupancy index for selected tiger prey species and elephant was exceeded in HKK. The final data for this indicator is not available for TYE and TYW, due to difficulties accessing the required areas in suitable seasonal conditions and procuring suitably qualified surveyors to follow the established methodology; the COVID-19 restrictions also contributed to these difficulties. There are considerable amounts of other data from TYE and TYW regarding distribution and habitat suitability for tiger prey and elephant, collected by villagers and by Kasetsart University to inform the development of the TYE Habitat Management Plan. These datasets show positive trends over time since the project

commenced. However, they did not follow the established line transect methodology that enables density estimates.

In 2020, camera traps detected the critically endangered banteng in TYW for the first time in more than 10 years, and more banteng were recorded in TYW in 2021. This shows the broad benefits to wildlife that the project has achieved.

<b>Outcome 1 Indicator 3: Areal coverage (as a % of total WHS area) of the ranger patrols in the WHS</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
60%	>75%	75.51%	<b>ACHIEVED</b>

The EOP target for increased areal coverage of ranger patrols in the WHS was achieved. This is a direct result of the project's interventions: additional rangers, check points and new ranger stations, additional equipment and vehicles, SMART training, and improved communication.

<b>Outcome 1 Indicator 4: Area-based habitat management plan taking climate projection into consideration</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
No plan	Plan operational at one site as model for replication	Plan operational at TYE	<b>ACHIEVED</b>

This indicator was met because a wildlife habitat management plan that takes climate projections into consideration is operational for TYE and has been considered by the TYE PAC. A wildlife habitat management plan for HKK and the HKK buffer has been prepared, although this does not take climate change into consideration; the TE team was advised during interviews that the TYE model would be replicated in HKK and TYW sanctuaries.

<b>Outcome 1 Indicator 5: Number of tigers (captive and wild) with a documented DNA record</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
Captive: 0	Captive: 1,250	Captive: 1,250	<b>ACHIEVED</b>
Wild: 0	Wild: 200	Wild: 200	

These targets were met. As described in Section 4.1.1, the TE team has assessed this against a revised indicator of 200 wild samples (droppings) rather than 200 unique wild tigers, because the Board and RTA both approved this change (although it was not incorporated into a revised results framework).

The database of captive tigers is a valuable forensic tool in addressing the illegal wildlife trade, because DNA from seized tigers (including cubs) or tiger parts can now be compared with the captive tiger database to assess the likelihood of it having been obtained from the wild. The project made an important contribution to this: it assisted with the setup of the database and provided a new sequencer with enhanced analytical capacity. As a result, Thailand now has greater capacity for such forensic work than other South-East Asian countries, including for other species (especially elephant). This capacity is an important contributor to the GEF 6 project 'Combating Illegal Wildlife Trade, Focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand'.

<b>Outcome 1 Indicator 6:</b> Coverage (as a % of total area) of the wildlife monitoring program in the wildlife sanctuaries			
Baseline	End-of-project Target	Status at TE	TE Assessment
HKK: 60%	HKK: >70%	HKK: 72%	<b>ACHIEVED</b>
TYE: 30%	TYE: >50%	TYE: 50%	
TYW: 30%	TYW: >50%	TYW: 50%	

The EOP targets for coverage of the wildlife monitoring program were achieved in each WS. The provision by the project of an additional 400 camera traps was central to this achievement. New tiger records were made in the expanded monitoring areas.

<b>Outcome 1 Indicator 7:</b> Number of staff of HKK, TYE and TYW who receive (a) refresher training and (b) train-the-trainer training			
Baseline	End-of-project Target	Status at TE	TE Assessment
a) Refresher: 0	a) Refresher: 470	a) Refresher: 1,783	<b>ACHIEVED</b>
b) Train-the-trainer: 0	b) Train-the-trainer: 40	a) Train-the-trainer: 122	

The EOP targets for training in SMART patrolling were greatly exceeded, which is a significant achievement for the project. The benefits from this aspect of the project have been extended nationally and to other ASEAN countries. Important components included:

- Regional Training Centre on SMART and Tiger Conservation in HKK inaugurated in January 2019 (funded jointly by the project, WCS and other donors)
- Training curriculum developed
- WCS trained 122 DNP officials (100 men and 22 women) as trainers, who then trained 1,783 DNP rangers on SMART techniques and 480 DNP officials on SMART database management
- WCS trained 18 ASEAN SMART patrol officers from seven countries
- WCS trained 36 national wildlife crime officials (33 from DNP and three from Forest Department)
- Other beneficiaries from the Regional Training Centre, including Kasetsart University students.

<b>Outcome 1 Indicator 8:</b> Percentage of temporary ranger staff across the three wildlife sanctuaries who have adequate death and disability insurance cover			
Baseline	End-of-project Target	Status at TE	TE Assessment
36%	100%	100%	<b>ACHIEVED</b>

The target for all rangers to have adequate insurance was achieved early in the project. This was provided by DNP's welfare system, SNF and the MONRE Foundation for Rangers. These were established separately from the project and funded through public donations, and this result is therefore not attributable to the project's activities (insufficient detail was provided of DNP actual co-financing to determine whether this was a part of project co-financing).

**Outcome 2: Incentives and sustainable financing for wildlife conservation and forest protection**

**Objective Achievement Rating: MODERATELY SATISFACTORY**

Of the seven indicators for Outcome 2, three were achieved and four were partially achieved. Good progress was made with engaging with and supporting communities and in protecting forests, reducing forest degradation and reducing CO<sub>2</sub> emissions in the HKK buffer zone. A WHS Strategic Plan was prepared that used an integrated planning approach across the three sanctuaries and involved community input; there were shortcomings in the extent to which this was integrated into provincial development plans. Finally, very good research and analysis were undertaken towards a sustainable financing mechanism to fill the WHS budgeting gap; however, generally this has not progressed to a viable mechanism or business case for filling the budgeting gap.

<b>Outcome 2 Indicator 1: Number of villages with signed Conservation Agreements</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
0	>28	41	<b>ACHIEVED</b>

This indicator is assessed as achieved after consideration of the term ‘conservation agreement’. The TE team considers that this a generic term for a formal undertaking by villages in relation to a commitment to sustainable and wildlife-friendly livelihood activities; there is not a pre-existing ‘conservation agreement’ template that was applied to all villages in the WHS.

The mechanism differs between the HKK buffer zone and TYE and TYW. For the 27 villages in the HKK buffer zone, which are not in a protected area, the mechanism relates to Community Forest Registrations being developed with the Royal Forest Department under the National Reserved Forestry Act (see also Outcome 2 Indicator 2) and associated undertakings by villages around ‘wildlife-friendly communities’. Although this process was not fully attributable to the project, the project contributed by improving community attitudes towards different uses of forest resources and by providing small grants using project funds. For the 14 TYE and TYW enclave villages, which are within protected areas, the mechanism is through Regulation 121 of the Wildlife Preservation and Conservation Act 2019 and undertakings by villages with DNP in relation to conservation and sustainable livelihoods. In both the buffer zone and enclave communities, project activities assisted existing processes and supported villages in capacity development for sustainable livelihoods.

<b>Outcome 2 Indicator 2: Area registered as community forest in the HKK buffer zone</b>			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
1,029 ha	1,338 ha	4,081 ha	<b>ACHIEVED</b>

This target was achieved. As described under Outcome 2 Indicator 1, this process was in place through the Royal Forest Department and is not fully attributable to the project. Nevertheless, the project interventions prepared communities, improved their capacity and stimulated their understanding through its grants and outreach programs.

<b>Outcome 2 Indicator 3:</b> Number of people (of which percentage are female) living in the enclave villages of TYE and TYW who are direct recipients of project grant funding support			
Baseline	End-of-project Target	Status at TE	TE Assessment
0 (0)	175 (60)	195 (36%)	<b>PARTIALLY ACHIEVED</b>

The overall EOP target for recipients of grant funding in the TYE and TYW enclave villages was surpassed, although the sub-target for 60% of recipients to be women was not achieved (only 70 or 36% were women). Note that the MTR clarified that the intent of this indicator was that 60% of beneficiaries should be women. This appears to have been an over-ambitious target set at project design, with insufficient attention in the project design to how it would be achieved.

<b>Outcome 2 Indicator 4:</b> Direct project beneficiaries living in buffer villages (of which percentage are female) who are direct recipients of project grant funding support			
Baseline	End-of-project Target	Status at TE	TE Assessment
0 (0)	300 (60)	539 (37%)	<b>PARTIALLY ACHIEVED</b>

The overall EOP target for recipients of grant funding in the HKK buffer zone was significantly exceeded, near double the target, although the sub-target for 60% of recipients to be women was not achieved (only 201 or 37% were women). Again, note that the MTR clarified that the intent of this indicator was that 60% of beneficiaries should be women and that this a reflection of over-ambitious target setting during project design.

<b>Outcome 2 Indicator 5:</b> World Heritage Site Strategic Plan of which ecotourism, sustainable financing are integrated into provincial development plan, with community participation in planning and financial management			
Baseline	End-of-project Target	Status at TE	TE Assessment
Provincial or DNP Strategic plan for financial management: No Provincial tourism plan: No	World Heritage Strategic Plan covering wildlife tourism and sustainable financing integrated into the provincial development plan	Draft WHS Strategic Plan pending adoption by DNP	<b>PARTIALLY ACHIEVED</b>

The World Heritage Site Strategic Plan<sup>2</sup> was developed using a participatory process that brought together the PACs from the three WSs (HKK, TYE and TYW) and partner agencies to create a single large PAC

<sup>2</sup> The name of the WHS plan prepared when translated from Thai to English is 'TY-HKK World Heritage Management Plan'. This meets the indicator and EOP target; therefore in this report, for consistency with the indicator, we refer to this as the 'WHS Strategic Plan'.

(comprising approximately 50 people) for the WHS planning. This impressive planning exercise was based on a similar integrated process involving a large PAC for the Dong Phrayayen - Khao Yai Forest Complex World Heritage Site, and this was the first time the approach had been used in HKK-TYN WHS. The TE team heard that the project made important contributions by raising the awareness and pride of DNP WHS staff and by providing support to the communities involved in the planning. The plan had not yet been adopted at the time of the TE (June to August 2021).

Full achievement of this indicator depends on interpretation of the term ‘integrated into the provincial development plan’. Among other content, the WHS Strategic Plan contains a list of activities and projects that WS chiefs can select from for funding and to propose to provinces for funding. Positively, the interests and priorities of the provinces were considered in the planning process, with provincial plans reviewed as part of the process and representatives of provinces on the PAC. Nevertheless, the three relevant provincial development plans have not yet been modified to reflect the WHS Strategic Plan and there is no strong mechanism to ensure that the development plans consider the WHS Strategic Plan. Also, the WHS Strategic Plan does not specifically consider sustainable financing and does not include tourism (because the plan is focused on planning and management within the WHS, not in the buffer zone where the Thap Salo wildlife tourism is proposed). For these reasons, the TE team considers that the target can only be assessed as partially achieved.

<b>Outcome 2 Indicator 6:</b> Avoided forest and forest degradation (ha and tonnes of CO <sub>2</sub> eq.) in the WHS, enclave villages and HKK buffer areas			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
0 ha	985 ha	4,092 ha	<b>ACHIEVED</b>
0 tonnes of CO <sub>2</sub> eq.	249,969 tonnes of CO <sub>2</sub> eq.	1,204,445 tonnes CO <sub>2</sub> eq.	

The targets for avoided forest degradation and CO<sub>2</sub> emissions were significantly exceeded. The avoided forest degradation was based on 4,081 ha of forest registered as community forest (as described under Outcome 2 Indicator 2) plus encroachment areas reclaimed from non-sustainable agriculture in the HKK buffer zone. The target for CO<sub>2</sub> emissions was calculated using tools at the GISTDA Forest Monitoring System G-FMS website (<https://gfms.gistda.or.th/carbon>).

<b>Outcome 2 Indicator 7:</b> Establishment of sustainable financing mechanism			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
No sustainable financing mechanism	Sustainable financing mechanism via Conservation License Plate and impact investment committed to fill the gap of the World Heritage budgeting	Extensive research undertaken into opportunities and mechanisms; working group established to consider licence plate initiative; otherwise, no business case or agreed sustainable financing mechanism for filling the gap of the World Heritage budgeting	<b>PARTIALLY ACHIEVED</b>

An impressive range of potential sustainable financing solutions have been identified and explored by the project, providing a good foundation for future work.

Detailed work was undertaken by Dr Orapan Na Bangchang, based on a wildlife valuation assessment, analysis of the willingness to pay of the public, and a cost-benefit analysis in investing in wildlife conservation in the WHS. An analysis was also conducted to estimate the gap in budgeting for tiger and wildlife conservation in the WHS. The EOP target was for a sustainable financing mechanism to fill this budgeting gap.

A series of reports were provided that suggested three potential sustainable financial solutions: 1) a wildlife conservation fund through global funds; 2) payment for ecosystem services of the WHS watershed; and 3) wildlife conservation cost-benefit analysis to assess people's willingness to pay through crowd funding. These provide a valuable basis for pursuing a sustainable financing mechanism.

In addition, the innovative potential for a special car license plate scheme to raise conservation funds has been discussed in detail, and this is now being considered by a working group and investigations are being led by the UNDP Global project on Biodiversity Finance (BIOFIN).

Work was also undertaken by Kasetsart University into ecotourism opportunities at Thap Salao in the HKK buffer zone, involving extensive consultations. This included an initial feasibility study and a master plan comprising a series of eight reports. A component of this proposal is proactive wildlife habitat management to encourage wildlife populations, especially herbivores, to improve the attraction for tourists. This work provides a valuable foundation from which to build, although a business model is not in place to establish a sustainable locally owned and managed ecotourism industry.

Because the various solutions have not yet been developed into a viable and functional financing mechanism or business case to fill the identified gap in WHS budgeting, the indicator is considered partially achieved.

Also, with the exception of the licence plate project being pursued by BIOFIN, it was not apparent to the TE team whether champions were in place to take this work to the next stage. Without such champions, there is a risk that progress on different aspects of the project will not continue after project completion.

<b>Outcome 3: Improved local education, awareness and participation</b>
<b>Objective Achievement Rating: MODERATELY SATISFACTORY</b>

Of the four indicators for Outcome 3, three were achieved and one was partially achieved. The project achieved good outcomes in community outreach and local education and in fostering community participation in WS and WHS planning. The project did not meet its target for educational road shows, although other effective communication was undertaken.

<b>Outcome 3 Indicator 1: Number of WS community liaison and outreach staff working in targeted enclave and buffer zone villages</b>			
Baseline	End-of-project Target	Status at TE	TE Assessment
<21	29	11 additional	<b>ACHIEVED</b>

The target for the number of WS community liaison and outreach staff working in villages was achieved, with seven working in HKK, two in TYE and two in TYW. These were employed initially by DNP and in the final year by UNDP. The HKK outreach staff worked with communities on wildlife-friendly communities

outreach activities. In TYE the outreach staff were employed as rangers and in TYE an outreach officer led the Indigenous youth traditional knowledge project.

<b>Outcome 3 Indicator 2:</b> Number of schools using WHS-based education and information materials			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
0	20	20	<b>ACHIEVED</b>

The Environmental Education Network in the HKK buffer zone was piloted and then expanded to 20 schools. The curriculum and training of young tour guides is hoped to serve for both environmental education and knowledge-based wildlife tourism hosted by local youth of the WHS.

<b>Outcome 3 Indicator 3:</b> Number of informational and educational road shows presented per annum using the mobile environmental education units			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
0	144/annum	144 'road shows' not delivered; a variety of other effective communication forms provided instead	<b>PARTIALLY ACHIEVED</b>

Three vehicles were provided, one each for HKK, TYE and TYW, for the purpose of meeting this indicator. The TE team heard concerns that these were not user-friendly 'mobile environmental education units' and that they did not tour the project area providing 'road shows' with information on the WHS. The 2019 PIR reported that 'the original interpretation ... has been redefined as current communication modes by which social media can generate public awareness more effectively ...', and this was noted by the RTA. However, the indicator was not revisited to capture this reinterpretation, therefore it cannot be assessed as achieved. Instead the indicator is assessed as partially achieved, given that the reinterpretation was documented in the PIR, that other effective communication forms were provided, and that, under COVID-19 restrictions in 2020 and 2021, mobile in-person road shows would have had limited relevance.

The project did achieve good impact from their revised communications approach, including:

- Good Facebook presence
- Tiger City exhibition at Bangkok Design Week in 2020
- Collaboration and events around Global Tiger Day 2020
- Trip by Ambassadors of Canada and the Netherlands to visit project activities in October 2020.

<b>Outcome 3 Indicator 4:</b> Number of Protected Area Committees (PACs) with full representation and involvement of enclave and buffer zone villages			
<b>Baseline</b>	<b>End-of-project Target</b>	<b>Status at TE</b>	<b>TE Assessment</b>
0	3	3	<b>ACHIEVED</b>

The project achieved the target to have representation and involvement of villages in the PAC for each WS, including having input to the agenda on community development and collaboration. As described under Outcome 2 Indicator 5, the integration of the three PACs in the development of the WHS Strategic Plan was important, and the work of the project contributed to this process.

#### 4.3.2 Relevance

**Relevance rating: SATISFACTORY**

##### ***National priorities/strategies***

The project had good alignment to national priorities and was consistent with Thailand's National Economic and Social Development Plan 2012–2016 (NESDP), including Development Strategy 6, which emphasised managing natural resources and environment towards sustainability.

The project aligned with Thailand's National Biodiversity Strategy and Action Plan (NBSAP) 2008–2012, especially with Strategy 2: Encouraging the Sustainable Use of Biodiversity.

This project was closely aligned to Thailand's National Tiger Recovery Program and the Thailand - Tiger Action Plan 2010–2022 (TTAP), which reflect the goals of the Global Tiger Recovery Program.

The project was fully consistent with Thailand's Second National Communication to the UNFCCC, which stated that increasing carbon sinks from forest areas is one of the priority mitigation activities.

When developed, the project was considered suitable as a REDD+ pilot for Thailand; however, it was decided after commencement that it was too early for such alignment. This response was appropriate, although an earlier decision on this would have enabled more productive and efficient use of GEF resources.

There is no national strategy for gender equality in Thailand that the project could align to, although the NESDP recognises the equality of all groups and the Gender Equality Act. B.E. 2558 (2015) focuses on the rights of women to be protected from family abuse and harassment and on women's empowerment. The gender measures in the design of this project are consistent with those. Thailand does not have a specific gender strategy focusing on biodiversity conservation and natural resource management.

##### ***GEF programming***

The project was consistent with the following GEF objectives:

- BD Objective 1 - Improve sustainability of Protected Area Systems (contributing to outcome indicators 1.1 and 1.2)
- CC Objective 5 - Promote Conservation and Enhancement of Carbon Stocks through Sustainable Management of Land Use, Land Use Change and Forestry (LULUCF) (contributing to outcome indicators)
- SFM/REDD+ Objective 1 - Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services (contributing to outcome indicator 1.2)
- SFM/RED+ Objective 2 - Strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from LULUCF activities (contributing to outcome indicators 2.1 and 2.2).

The project aligned with Thailand's GEF National Portfolio Formulation Document (NPFDMONRE 2011).

### **UNDP programming**

The project contributed to the Country Programme Document (CPD) for Thailand 2012–2016 and is contributing to the current CPD 2017–2021.

### **Sustainable Development Goals**

The project was developed and approved prior to the adoption of the SDGs in 2015. Nevertheless, the project's strategy and outcomes are relevant to the pursuit of several SDGs and related targets in Thailand.

Designed primarily as an environmental conservation and climate mitigation project (SDG13, 15), the project has also contributed to hunger reduction by ensuring food security (SDG2), poverty alleviation (SDG1), equality (SDG10), and partnerships for the goals (SDG17).

### **Stakeholder engagement**

The engagement of stakeholders in the project was high, during both the development and implementation stages (see Section 4.2.2). A strength of the project was that it was developed in collaboration with local communities and practitioners and built on existing knowledge and networks. These same networks were involved in the project's implementation.

Accordingly, the project was formulated and implemented to a high extent by the needs and interests of diverse groups of stakeholders through consultation.

### **Relevance to and complementarity with other initiatives**

The project document refers extensively to Thailand's National Tiger Recovery Program and the Thailand - Tiger Action Plan 2010–2022 (TTAP).

Other elements of the design that relied on previous experiences and projects include:

- SMART patrolling and training (with WCS)
- Tiger conservation and monitoring, including prey monitoring (with WCS)
- Engagement with communities on sustainable livelihoods and living in harmony with nature (with SNF, Rabbit in the Moon and RECOFTC).

#### **4.3.3 Effectiveness**

**Effectiveness rating: MODERATELY SATISFACTORY**

As described in Section 4.3.2 (Relevance), the project contributed to the country programme, the SDGs, the UNDP Strategic Plan, GEF strategic priorities, and national development priorities.

Outcome 1 achieved a Satisfactory rating and was successful. This was due to a range of factors, including receiving 63% of the GEF budget allocation, having a high degree of ownership by the IP (DNP) and WCS, and having its actions built on proven approaches.

Outcome 2 had some delivery challenges. The main change in project approaches from what was planned is the removal of the REDD+ activities under Outcome 2. This was replaced with an appropriate new output/indicator (sustainable financing mechanism). However, as described in Section 4.2.5 (UNDP Implementation / Oversight), this change was not made until the MTR, which meant time was lost that could have been spent developing a mature financing strategy, and the new target was not fully met.

Outcome 3 largely delivered its planned outcomes and outputs, with outreach coordinators playing important roles in the project and the participation of villagers in PACs improving. There was a substantial shift in approach for one indicator (Outcome 3 Indicator 3 – 144 informational and educational road shows)

that was not captured in a change to the results framework, although good communications were delivered through an alternative approach.

The nature of change achieved through Outcome 1 was substantial and of global significance. Outcome 1 saw a fundamental shift in capacity and capability to protect tigers, wildlife and the WHS, resulting in a measured increase in tiger density, which would not have been possible without the GEF project funding. The results of Outcomes 2 and 3 were less fundamental, but substantially bolstered existing practices and interventions (e.g. community outreach activities, WHS planning) or provided funding to enable research and analysis using existing methodologies (e.g. sustainable financing mechanism), although durability of this impact is not clear. A fundamental shift may have been achieved if the sustainable financing mechanism had been finalized and institutionally mainstreamed.

In some aspects, the project could have developed links with other projects or initiatives to improve effectiveness. For example, the Thai web-based fundraising platform Taejai.com, which collects public donations for specific projects, is collecting donations for a project to improve SMART patrolling for wildlife outcomes (including tiger conservation) in three WSs (not including HKK, TYE or TYW). The TE team did not observe any mention of this in regard to financing opportunities for tiger conservation and improving SMART patrolling in HKK-TYN WHS.

COVID-19 imposed some constraints on project implementation. Interviewees during the mission indicated that this was usually in the form of delays in planned activities that involved gatherings of people or finding alternative ways from sharing information. In the remotest communities, COVID-19 had negligible impact on project activities. There were no planned outcomes or targets that were not met because of COVID-19.

There were few other constraints on the project. Most activities occurred in the protected areas of the HKK-TYN WHS area, which receive few visitors, so there were few interruptions from socio-economic and cultural factors and the enclave and buffer zone villagers were positive participants in the project.

Most project strategies employed were appropriate, except for the original REDD+ activities. The project would have benefited from a proactive approach to planning for sustainability throughout its implementation.

The contribution of the project to gender equality and women's empowerment was limited, which appears a limitation arising from project design given ambitious targets were set; similarly, the extent to which a gender-responsive approach was taken to project development and implementation could have been improved.

#### 4.3.4 Efficiency

**Efficiency rating: MODERATELY UNSATISFACTORY**

##### Evidence

- ✓ DNP capability substantially improved
- ✓ Most planned deliverables met within budget
- ✗ Challenges with sustainability mean that efficiency is relatively low
- ✗ Overall level of output for GEF funding relatively low

Overall, the efficiency of the project is compromised by the challenges with sustainability.

Outcome 1 delivered excellent results and DNP now has improved capability due to the GEF project. Based on information provided during the TE the capacity (especially the number of rangers) now looks likely to return to pre-project levels; however, the TE team received conflicting information on this and it is believed

that discussions are underway regarding continued funding. From an efficiency perspective, the results for tiger conservation and WHS management would be far more significant if the elevated capacity continued beyond the project.

Similarly, the GEF expenditure on the sustainable financing mechanism would be highly efficient if the mechanism were in place and there was confidence that the budgeting gap for WHS management would be filled. However, without a functioning mechanism yet in place, efficiency for this component is relatively low for the investment made; continued efforts to establish a mechanism using the project's reports and investigation could improve future sustainability.

A 12-month project extension was granted in 2020, with some delay after the initial MTR recommendation. The main rationale for this was that the long delay in project start-up meant that the project timeline from the inception workshop to project close would have been four years rather than five. There was also concern that the project funds would not be fully disbursed over that period. This delay was caused by inherent challenges with Government and DNP processes and could not have been avoided. However, the project could have responded quicker with the extension request which would have provided more clarity on remaining project timeframes and allowed a stronger focus on sustainability measures.

There were few changes to the project management unit structure outlined in the project document and the structure was efficient in generating the expected results. The main changes were that a co-project manager was engaged to facilitate processes within DNP and the Field Coordinator position was changed to a Senior Coordinator; this role was deemed to no longer be needed after the fourth year and was discontinued. Additional executing support was requested and provided by UNDP which increased efficiency by avoiding delays inherent in the complex DNP planning and budgeting system.

Expenditure of funds was substantially lower than budget plans during the first two years. The long delay during the first year meant that few funds had been disbursed after 12 months. The project team managed this challenge and, with the aid of the 12-month extension, the disbursement at the time of the TE was 94.1%.

#### 4.3.5 Overall Project Outcome

**Overall Project Outcome rating: MODERATELY SATISFACTORY**

In accordance with the methodology in the UNDP-GEF TE Guidance for calculating overall project outcome (p.54), the rating is Moderately Satisfactory.

The UNDP-GEF TE Guidance states that calculation of overall project outcome is based on the ratings for relevance, effectiveness and efficiency, of which relevance and effectiveness are critical. The methodology states that the rating cannot be higher than effectiveness (Moderately Satisfactory in this project) and that it cannot be higher than the average score of effectiveness (which is 4 - Moderately Satisfactory) and efficiency (3 - Moderately Unsatisfactory) criteria.

Given that the UNDP-GEF TE Guidance states that effectiveness is critical in determining overall project outcome, and given the significant achievements of this project, the TE team considers Moderately Satisfactory to be a suitable rating.

#### 4.3.6 Sustainability

**Overall Sustainability rating: MODERATELY UNLIKELY**

##### Evidence

- ✓ Project's results were delivered in a strong and engaged socio-economic environment
- ✓ Excellent capability and capacity building
- ✓ Strong continuing ownership and commitment among parties
- ✗ No viable sustainable financing mechanism in place
- ✗ No strategy in place by DNP or the Board for sustainability after project close

The overall sustainability rating is Moderately Unlikely because that is the rating assigned to financial sustainability and the overall rating cannot be higher than the lowest rated dimension. Nevertheless, the rating for Socio-economic Sustainability is Likely, because of the strength of ownership, enthusiasm and engagement during the project and at project close, and if financing were available then the project would be well positioned to continue to deliver excellent results.

##### **Financial**

**Financial Sustainability rating: MODERATELY UNLIKELY**

An important deliverable and indicator for the project was a sustainable financing mechanism to fill the identified gap in WHS budgeting. Good research and background investigations have been completed by the project, which provide the necessary foundations for building a sustainable financing mechanism. However, at the time of the TE a viable mechanism is not in place and the budgeting gap has not been filled; also, there is no clear responsibility or champion for taking the financing investigations to the next stage. An important exception is the pursuit by BIOFIN of a special licence plate scheme to fund tiger conservation.

Many of the excellent results from Outcome 1 of the project were achieved with the temporary funding increases to DNP staffing capacity, especially SMART patrol rangers. With the project funding ending, there is a risk that these staffing levels will return to their original levels (or lower, given that the COVID-19 pandemic is resulting in substantial reductions to many Government budgets) and the patrolling capacity could be greatly reduced. Ideally, this resourcing and budgeting gap would have been filled by the sustainable financing mechanism if that was established. There is not yet a clear strategy in place at the time of the TE for funding these increased levels after the project, although the TE team understands that discussions have occurred within DNP regarding whether this funding allocation can be made; such an allocation would greatly improve the likelihood of financial sustainability given the importance of this frontline effort to WHS management effectiveness and effective threat reduction at project sites.

The project recorded an increase in the score for the financial sustainability scorecard for the WHS, reflecting improvements in some aspects of DNP's management of the WHS and the WSs (see Section 4.3.1, Objective Indicator 2). It should be noted that this does not assess the pursuit of alternative sustainable fundings streams to fill the budgeting gap for the WHS, and that there are several other factors that contribute to the overall assessment of financial sustainability for the project's results.

While a WHS Strategic Plan was successfully developed, it has not yet been integrated into provincial development plans, which was the mechanism that was intended to secure reliable funding from provincial governments for WHS management. Liaison between DNP and provincial governments will continue with

regard to this integration and, if it is achieved in the future, this would further enhance sustainability of the project's impact and the GEF investment.

Wildlife tourism in Thap Salao in the HKK buffer zone also has the potential to contribute to sustainable results in wildlife conservation in the WHS. Proponents are still actively promoting this proposal, and 2 million Baht (approximately US\$60,000) was recently allocated from the 2021 Uthai Thani provincial budget for a soft release of animals as part of the proposal. The proponents are also proposing infrastructure work for 22 million Baht from the Uthai Thani provincial budget for 2022. It is essential that investment in physical works for ecotourism is accompanied by careful business planning and strategies for involving the local community in tourism as an alternative sustainable livelihood; however, the TE team did not see evidence of a tourism business plan that involved local communities for the sustainable management of the designed and built infrastructure works at Thap Salao.

Another example where sustainability of outcomes is challenged in the absence of project funding includes the assistance provided by the project to villages in value-adding, market development and business management for the sustainable livelihoods developed, such as coffee, organic herbs and woven products.

During the mission interviews, most interviewees identified sustainability as the most significant weakness for the project.

The following are needed to secure the financial sustainability of the project's results:

- Concerted action to take the research and investigations for a sustainable financing mechanism to the next stage and to start filling the WHS budgeting gap.
- Close collaboration between DNP, the provincial government and other stakeholders to facilitate provincial funding for delivery of the WHS Strategic Plan.
- Identify champions who will take the lead to drive different financial solutions beyond the life of the project; the project contained many effective champions, but this is also needed after the conclusion of the project.
- Mainstream funding better into Government processes, including provincial planning and budgeting processes.

For these reasons, the financial sustainability of the project is considered at the point of the TE completion to be Moderately Unlikely.

### **Socio-economic**

**Socio-economic Sustainability rating: LIKELY**

The project's results were delivered in a strong and engaged socio-economic environment. A significant achievement of the project is that it built on existing networks and partnerships and on previous achievements, during both project development and implementation, which meant that stakeholder ownership and pride in the project is high. If future financial resources were available, then the socio-economic environment exists to continue to deliver many of the project's results. For this reason, the rating for Socio-economic Sustainability is Likely.

Stakeholder ownership is strong for most project components. Under Outcome 1, the ongoing role of, and collaboration between, DNP and WCS is assured. The relationship between these stakeholders is very productive. Other organizations in Thailand with a high level of interest in tiger conservation will continue their presence (including WWF and Panthera). Under Outcome 2, there is less stakeholder ownership, with the exception of WHS planning and management, which has a high level of commitment and integrity. Under Outcome 3, there is strong ownership and commitment and any ongoing outreach activities would be welcomed by the community recipients. For example, the Karen youth in TYW who participated in the

Indigenous knowledge youth project have a high level of pride in their knowledge, their role and their communities' role in the WHS and would welcome any financial support to assist them to continue their roles. The NGOs SNF and the Rabbit in the Moon will continue their excellent work with communities in the project area.

Successful aspects of the project are being transferred to appropriate people. For example, the HKK Foundation received a small grant from the project to work with the village Chor 1 on wildlife-friendly communities and the livelihoods of relocated villagers. Also, the SMART patrol training has seen effective knowledge transfer that resulted in measurable improvements in patrolling capability of DNP officers.

The TE team saw some evidence of long-term gender results being pursued, in the development of skills and markets for traditional woven products for Karen women in TYE and in organic herb production in TYE, TYE and HKK buffer zone.

### **Institutional Framework and Governance**

**Institutional Framework and Governance Sustainability rating: MODERATELY LIKELY**

Legal frameworks and policies largely support the project's outcomes and are not considered a risk. In particular, the revised Wildlife Conservation and Preservation Act provides a mechanism for conservation and sustainable livelihoods in the TYE and TYW enclave villages, and the National Reserved Forestry Act and Forest Community Act provide mechanisms for forest protection and sustainable livelihoods in the HKK buffer zone. Overall, the area has strong protection as a World Heritage site and three individual WSs.

The project has largely worked effectively within existing mechanisms and not put in place many new frameworks, policies and governance structures. BIOFIN is pursuing new financing options, especially the special car licence plate proposal, and DNP is committed to continuing the improved working relationship with communities in the enclave and buffer zone villages. Otherwise, continuing results will rely on frameworks and governance structures that largely existed before the project.

The train-the-trainer model that DNP and WCS used for the SMART patrol training was a good example of the project developing institutional capacity to continue important work after the project close. This program means that the internal capacity has been created for DNP to sustain the SMART patrolling and to train its own staff to maintain capability.

The project was successful in sparking ownership and using champions to promote different project components. However, with the exceptions of formal roles within DNP and the car licence plate proposal, there appears to have been somewhat more limited effort to position and support these champions to continue these roles beyond the project.

The TE team saw limited evidence to suggest that the project had achieved stakeholders' consensus regarding courses of action after the project, with a notable exception being the ongoing work on the licence plate proposal. It is not clear from the review of Board minutes and discussions with Board members whether the Board has spent much time considering strategic aspects of the sustainability of the project's results and no clear sustainability strategy or plan was provided.

### **Environmental**

**Environmental Sustainability rating: LIKELY**

There are relatively few environmental risks to sustainability. The project document analysed the risk from climate change and assessed it as low, although the risk of more frequent fires was identified. To address climate risk, the project developed 'Area-based habitat management plans taking climate projection into

consideration'. The TYE Wildlife Habitat Management Plan models how wildlife habitat suitability may shift in the years 2050 and 2080 given IPCC climate change scenarios.

#### 4.3.7 Country Ownership

The origin of the project concept was not within the national sectoral and development plans, although the project design was consistent with Thailand's National Economic and Social Development Plan 2012–2016, Thailand's National Biodiversity Strategy and Action Plan (NBSAP) 2008–2012, and was closely aligned to Thailand's National Tiger Recovery Program and the Thailand - Tiger Action Plan 2010–2020 (TTAP).

Outcomes of the project will be built into the review of the TTAP. Also, the lessons from the project can be used as input to the development of the National Wildlife Management Plan and the individual management plans for the three Ws (HKK, TYE and TYW).

There was good involvement of relevant country representatives (especially Government agencies and NGOs/CSOs) in project identification, planning and/or implementation.

The Government of Thailand (through DNP) made a significant co-financing commitment at design phase and supported the project throughout (including the ongoing business-as-usual management of the Ws and WHS); however, expenditure data were not provided to enable actual co-financing to be tracked and verified.

There were co-benefits associated with the new regulatory framework under Section 121 of the Wildlife Preservation and Conservation Act 2019. The project benefited because a legal mechanism became available for communities in enclave villages in TYE and TYW to secure land tenure. The Government benefited because the work of the project improved relations between DNP staff and villagers and elevated the understanding of these communities of the importance of wildlife conservation and sustainable livelihoods.

Also, DNP has modified its SMART patrol training programs due to the project. This includes using the capability obtained from train-the-trainer training enabled by this project to improve the SMART patrol capability across Thailand.

Relevant country representatives from Government and civil society were actively involved in project implementation, including as part of the Project Board.

The Project Board was the intergovernmental committee established to liaise with the project team. Additional examples of specific liaison that occurred are:

- A Working Group has been established to pilot the conservation licence plate initiative, under the supervision of the BIOFIN Steering Committee and with representatives from multiple Government agencies.
- Liaison for the wildlife-friendly communities initiative in the HKK buffer zone was overseen by a group of local Government authorities including public health, ALRO and RFD.

#### 4.3.8 Gender

Overall, the project's contributions to gender equality and women's empowerment were limited. This was due in large part to aspects of the project's design.

The project did not meet the two EOP sub-targets for the percentage of grant recipients who were women (Outcome 2 Indicators 3 and 4, see Section 4.3.1). Most other reporting was not gender disaggregated.

The project provided grant support to Karen women in TYE to develop their skills and build micro-enterprises for traditional woven products, as part of encouraging alternative livelihoods that take pressure off wildlife and the HKK-TYN WHS. This was a valuable contribution to women's empowerment.

Of the 122 DNP officials trained by WCS as trainers, 22 were women. The TE team was also advised during interviews that women were included in the SMART patrol training program; although no formal statistics were available, it is believed that approximately 20 women were trained, including in data management, analysis and reporting.

No gender analysis was done during project development or during the project. This was recommended as an opportunity for improvement by the RTA in 2018, 2019 and 2020 PIRs, yet this was not followed up on, which is unfortunate as it could have helped the project identify how to meet the targets and achieve more substantive gender mainstreaming impact. In the 2019 PIR, the project was assessed as having a gender marker rating of GEN1, which is lower than standard for UNDP-GEF projects.

Applying the Gender Results Effectiveness Scale (GRES), the project design and implementation were both between 'Gender Blind' and 'Gender Targeted'.

#### 4.3.9 Other Cross-Cutting Issues

The project provides a good example of the convergence between UNDP environment-related and other development programming. A core value of the project is to achieve wildlife conservation by promoting sustainable livelihoods, reducing human-wildlife conflict, and respecting and utilising traditional knowledge in protected areas.

Through this, the TE team observed positive effects on local populations: more sustainable livelihoods; better understanding of markets for products; better relationships with authorities; less conflict with wildlife; and improved natural resource management, including monitoring of wildlife.

As described under Section 4.3.2 (Sustainability), the project was consistent with the Country Programme Document for Thailand 2012-2016.

Improved management of the HKK buffer zone (including establishment of an NHA) will benefit management of the HKK WS in a changing climate and will assist in the long term with mitigation of human-wildlife conflict. Also, the project contributed to improved fire management in the WHS and buffer area.

The project benefited ethnic minorities, providing support to Karen communities in enclave villages, helping them to share their traditional knowledge and learn scientific knowledge, and assisting them to develop sustainable livelihoods. There were some benefits for women, as discussed under Section 4.3.8 Gender.

The project had a major focus on sustainable livelihoods, increasing sustainable access to resources in the forest, and increasing the pride of local communities living in or near the WHS. Importantly, the activities included both market development for sustainable products to enable communities to earn incomes and the encouragement of collection of products and services from the forest.

The project contributed to a human rights-based approach by working with enclave villagers in TYE and TYW and the DNP to facilitate securing of land tenure for the villages, while implementing a program to share and promote traditional knowledge.

#### 4.3.10 GEF Additionality

The project was approved before the December 2018 adoption of 'An Evaluative Approach to Assessing GEF's Additionality', therefore this TE is not required to provide evidence of GEF additionality along the dimensions defined in the UNDP-GEF TE Guidance document (p.60).

The following observations are provided with regard to GEF additionality:

- Global environmental benefits were achieved, in the form of improved METT at key tiger sites and increased tiger density.
- The GEF investment in equipment and enhancement in capability in DNP led to the anticipated outcomes, as shown in M&E documents and data and in mission interviews.
- As described elsewhere in this report (especially Section 4.3.6 Sustainability), there are shortcomings in sustainability of the outcomes beyond the project end.
- Some important broader impacts occurred, including the enhanced relationships between DNP and communities, and improved attitudes to wildlife and adoption of wildlife-friendly practices by communities in the WHS.

#### 4.3.11 Catalytic Role / Replication Effect

The project achieved scaling up in the roll-out of SMART training within DNP in other parts of Thailand as a result of the project's train-the-trainer program.

The project investment in improving Thailand's forensic wildlife forensic capacity will have national and international benefits in tackling wildlife crime and is assisting with implementation of the GEF 6 project 'Combating Illegal Wildlife Trade'. Several lessons learned are discussed in Section 5.4 (Lessons Learned).

The project engaged in the GEF-financed, World Bank-led Global Wildlife Program, sharing knowledge and lessons with other participating countries from Asia and Africa. Connections with other GEF projects to apply learnings were limited; for example, the GEF5 project 'Conserving Habitats for Globally Important Flora and Fauna in Production Landscapes in Thailand' provided some valuable lessons in balancing critical habitat management with production and sustainable livelihoods that may have been of assistance in implementing this project. An example is the Eastern Sarus Crane program in Buriram province, where people involved in crane conservation have teamed with organic rice farmers to create a mature market product—Sarus Rice—and establish an environment in which cranes are valued and protected, including the provision of payments to farmers for protecting crane nests.

The project's success with harmonizing sustainable livelihoods, wildlife conservation and WHS management is contingent on a continuing improved relationship between DNP and the community. Also, the Karen youth need continuing support to foster their pride and involvement in the WHS.

Most knowledge products were project reports and management plans, including: TYE Habitat Management Plan; WHS Strategic Plan; numerous reports on sustainable financing; and the Thap Salao Wildlife Ecotourism Project Final Report. As part of the work with Karen youth, three knowledge centres were constructed in TYE and TYW, in which training and knowledge sharing occurs. Various promotional materials were produced as part of Outcome 3.

#### 4.3.12 Progress to Impact

The project made the following significant progress toward impacts:

- Improved management effectiveness in the WHS, as measured using the METT
- Improved score in the financial sustainability scorecard for the WHS, reflecting improvements in some areas regarding DNP management of the WHS and WSs.
- Improved capacity in DNP, as measured by the capacity development scorecard and the number of staff trained in SMART patrolling and train-the-trainer

- Increased numbers of endangered species, especially tiger, and tiger prey, as measured by standard monitoring methods
- Increased coverage of wildlife monitoring in the WHS
- 41 conservation agreements in place to improve practices of communities in villages in and near the WHS
- WHS Strategic Plan in place
- Avoided 4,092 ha of forest being degraded and avoided 1,204,445 tonnes CO<sub>2</sub> eq emissions
- Investigations in place to inform a sustainable financing mechanism (as evidenced in reports from consultant)
- 20 schools using WHS-based education and information materials
- Improved involvement of local community in protected area planning and management through PACs.

An important causal link for the project's results was the engagement of local communities and other practitioners and stakeholders in the project development and implementation. Many activities, such as the SMART training and community outreach activities, built on existing approaches that were known to be effective in the area.

The involvement of the local community, NGOs and agencies in the WHS means that many activities will continue and some long-term results are likely, especially if sustainable financing can be secured. The absence of such a financing mechanism is the most significant barrier to ongoing progress toward long-term impact.

The TE team identified no known significant unintended impacts of the project.

## 5 Main Findings, Conclusions, Recommendations and Lessons

### 5.1 Main Findings

The project achieved its objective, with progress towards the objective assessed as Satisfactory, and delivered substantial achievements in three GEF Focal Areas: Biodiversity, Climate Change, and Sustainable Forest Management / REDD+. Progress against Outcome 1 was Satisfactory, against Outcome 2 was Moderately Satisfactory and against Outcome 3 was Moderately Satisfactory. Of the 23 indicators in the results framework, 16 were achieved and seven were partially achieved.

The project delivered some very important results, especially under Outcome 1, which achieved change that was substantial and of global significance. In particular, there was a fundamental shift in capacity and capability to protect tigers, wildlife (including tiger prey) and the WHS, resulting in a measured increase in tiger density, which would not have been possible without the GEF project funding. The project also strengthened Thailand's capacity to address wildlife crime through enhanced forensic capability.

Under Outcome 2, support was provided to communities to develop sustainable alternative livelihoods and protect forests; targets for avoided forest degradation and CO<sub>2</sub> emissions were achieved; a WHS Strategic Plan was developed and is pending adoption at the time of the TE; investigations were undertaken into ecotourism opportunities at Thap Salao in the HKK buffer zone; and investigations and analyses were undertaken of sustainable financing solutions to fill the identified gap in WHS budgeting. The potential for a special car license plate scheme to raise conservation funds is now being considered by a working group. These various financing solutions can provide the foundation for a viable and functional financing mechanism for WHS management, although this was not in place at project end.

Under Outcome 3, important outreach and education was undertaken to raise awareness of WHS management and sustainable livelihoods; and community participation in PACs for the WSs was improved.

The project included two indicators with targets that were disaggregated by gender, and provided support to Karen women in TYE and TYW to develop their skills in creating, marketing and selling traditional woven products. If more attention had been placed on gender analysis and gender-responsive design, more substantial gender mainstreaming impact might have been observed.

The project applied very creative approaches to some outputs, such as the pursuit of the special licence plate to fund tiger conservation and the excellent outreach work undertaken by the Rabbit in the Moon Foundation to work with villagers in TYE and TYW on local knowledge and alternative sustainable livelihoods.

This TE experienced significant limitations, especially due to constraints related to the COVID-19 epidemic. In particular, the IC was not in Thailand for the mission and relied on virtual interviews, discussions with the NC during the field visits, and review of project documentation. Site visits by the NC were also limited, partly due to COVID-19 constraints and partly due to the remoteness and difficulty of access of some sites. This meant that less time was spent in project areas than would be ideal. For these reasons, there were difficulties in meaningfully evaluating activities and results in the project area.

### 5.2 Conclusions

The project provides an excellent example of effective community liaison and outreach leading to improved sustainable livelihoods, enhanced community attitudes to wildlife, better relations between authorities (DNP staff) and communities, and improved wildlife conservation outcomes.

The project provides a good model for how UNDP and DNP can achieve progress against multiple sustainable development goals (SDGs) in one project. Designed primarily as an environmental conservation and climate mitigation project (SDG13, 15), it has also contributed to hunger reduction by ensuring food security (SDG2), poverty alleviation (SDG1), equality (SDG10), and partnerships for the goals (SDG17).

The main shortcomings of the project are in the sustainability of results beyond the project end. Because the sustainable financing mechanism is not yet in place, a sustainable alternative funding stream for WHS management is not yet available. Consequently, at the time of the TE, a funding plan was not in place to fill the resourcing gap created when the additional ranger resources provided by the project are no longer available, although the TE team understands that discussions have occurred within DNP regarding whether this funding allocation can be made.

### 5.3 Recommendations

This section presents recommendations for the project, with an explanation of each that outlines the evaluation team’s relevant conclusions and rationale for the recommendation (Table 16).

**Table 16:** Recommendations table

No.	Recommendation	Responsibility	Time frame
	<b>Category 1: Current project</b>		
1	<p><b>Concerned parties should agree on the process, responsibilities and governance for establishing a business case for a sustainable financing mechanism for this project to ensure sustainability</b></p> <p>The analysis and investigations undertaken as part of this project have provided the groundwork to develop a sustainable financing mechanism to fill the WHS budgeting gap. It is recommended that a process is put in place, with agreed responsibilities and governance, to develop a business case for realizing the potential to establish a sustainable financing mechanism for conservation in the WHS.</p>	UNDP, DNP	Immediate
2	<p><b>Allocate funding to enable the continuation of the increased management capacity that was in place in the wildlife sanctuaries during this project</b></p> <p>The increased temporary increased capacity in DNP (especially in the number of rangers) has been an important contributor to the results in Outcome 1. A funding allocation to enable this to continue would enable the project results to continue and expand.</p>	DNP	Immediate
3	<p><b>Prepare a report on the tiger conservation and monitoring activities from this project to inform the review of the Thailand - Tiger Action Plan 2010–2022</b></p> <p>Thailand set the ambitious goal of doubling its tiger population by 50 percent by 2020 and has made significant progress in tiger conservation activities. The Thailand - Tiger Action Plan 2010–2022 (TTAP) will soon be reviewed. This project has been a significant investment in tiger conservation, and it is important that the findings and lessons be considered in the review of the TTAP. A report should be prepared as soon as possible, while the findings are still fresh, on the various tiger conservation and monitoring activities undertaken during the project. This should include recommendations and lessons learned to inform the review of the TTAP.</p>	DNP, WCS	Immediate

No.	Recommendation	Responsibility	Time frame
4	<p><b>Continue to engage with enclave communities in TYW to enable this program to realize its potential in improving livelihoods, local knowledge and wildlife management</b></p> <p>The Karen youth from TYW who participated in the traditional knowledge youth project showed a high level of pride in their knowledge, their role, and their communities' role in the WHS. In turn, this is leading to significant improvements in relations between the Karen villagers and DNP officers and, therefore, to the connection of traditional and scientific knowledge and the application of traditional knowledge to PA management. The youth involved are enthusiastic to build on this program and feel that, for them and their communities, the program is still gaining strength and momentum. A small level of funding directed through the Rabbit in the Moon Foundation would enable this program to realize its full potential.</p>	DNP, SNF	Immediate and ongoing
<b>Category 2: Future project management</b>			
5	<p><b>Projects should strategically plan throughout the project cycle for sustainability of the results and the approaches used; this should occur throughout project development, inception, implementation and project close</b></p> <p>Sustainability is the most significant weakness of this project. In particular, the return to pre-project levels (or lower) of DNP rangers in HKK-TYN WHS and the lack of an established financing mechanism are fundamental constraints to the continuation of results. These constraints were clear from the start of the project, yet at project conclusion there is no clear plan for sustainability. It should be noted that the MTR recommended that a Project Sustainability Taskforce be set up to develop an exit plan; however, this Taskforce was not set up. It is recommended that, in future projects, sustainability should be a strategic focus throughout project implementation, from inception to close, and that this should be led by the Implementing Partner (in this case DNP) and should involve project staff, stakeholders identified during project development, Board members, agency representatives, and other participating organizations and individuals. Board minutes show that some members raised sustainability in the early years, but there was no process established to follow up on this.</p>	UNDP, DNP	Medium-term and ongoing
6	<p><b>Projects should establish working relationships between different partners and contributors, including project staff, to improve shared understanding of goals and to facilitate knowledge sharing and shared learning</b></p> <p>The TE team found that there was a low level of understanding among project parties of the overall project strategy and outcomes and of the roles and activities of different groups and individuals. In particular, NGOs and outreach officers involved in the project often had little involvement with each other. The MTR recommended that a Community Technical Reference Group be established to improve</p>	UNDP, DNP	Medium-term and ongoing

No.	Recommendation	Responsibility	Time frame
	<p>communications and knowledge sharing between organizations working on community aspects; however, this group was not established. This lack of understanding of project strategy and roles was also apparent among some Board members, who often had limited understanding of different aspects of the project because of the limited strategic engagement with them, as described previously (although some other Board members had a detailed understanding of the project and its components). A shared understanding of the project's goals and activities and greater understanding of different roles would foster a sense of teamwork and provide opportunities for parties to share experiences and learn from each other.</p>		
7	<p><b>Projects should work closely with Project Boards during implementation to value-add from Board members' expertise and roles</b></p> <p>The Project Board has a high level of experience and a wide range of expertise and could be a valuable resource for providing the project with strategic direction, identifying synergies and planning the sustainability of project results. Many Board members were enthusiastic about their role on the Board. However, engagement with the Board was largely process-related, focused on procedural matters such as work plans, budgets and approving results framework changes, and many members did not visit the project site during the project. Consequently, many members were passive participants with low engagement with the project.</p> <p>An example of this was a visit by two ambassadors to the project site, which was strategically well conducted but was reported to the Board after the trip. Such events have significant potential for engagement and networking by Board members and for development of opportunities for synergies and collaboration. Another trip for the Project Board was planned since the ambassadors' visit but was not conducted.</p> <p>A shift to a more active, participatory role for the Board would value-add to projects by leveraging from the experience and expertise of the members. This could be done through more effective use of sub-groups.</p>	UNDP, DNP	Medium-term and ongoing
8	<p><b>Projects should put in place processes and control mechanisms to transparently track actual co-financing contributions during project implementation</b></p> <p>The contribution of DNP to this project was very substantial, with several business areas of the agency contributing to a wide range of significant outcomes. The sum of co-financing committed at CEO endorsement was large: US\$22,864,427, which is three times the GEF allocation. However, records of actual co-financing were provided for only \$7,985,788, which means that the significant financial contribution of the Government of Thailand cannot all be validated. This also means that the evaluation cannot fully assess the project's efficiency and value for money to inform future programming. Also,</p>	UNDP, DNP	Medium-term and ongoing

No.	Recommendation	Responsibility	Time frame
	co-financing was not reported during PIRs or the MTR, and the DNP and SNF co-financing data was collected retrospectively and provided late in the TE period. Mechanisms and guidelines would enhance transparency and improve understanding of expectations.		
9	<p><b>Projects should use the Social and Environmental Screening Procedure as a dynamic tool during projects to proactively manage risk and maximize opportunities</b></p> <p>The RTA recommended in the 2018, 2019 and 2020 PIRs that the SESP be reassessed to address potential project risks that may arise from a grievance that had arisen within the project area (this grievance was not directed at the project or its activities). However, this SESP reassessment did not occur. Similarly, the RTA recommended several times in PIRs that a gender analysis be conducted to improve the gender marker rating and identify targeted interventions for gender mainstreaming that can be progressed by the project; again, this was not undertaken. In addition to managing risks, undertaking these assessments may have identified new opportunities for the project to achieve improved development outcomes. It is recommended that the SESP and approach to gender in projects is not 'locked in' at project commencement, rather that they are used as dynamic tools to manage risk and maximize opportunities.</p>	UNDP	Medium-term and ongoing
	<b>Category 3: Future programming</b>		
10	<p><b>Thailand's World Heritage authorities should consider opportunities to make greater use of local knowledge and values in planning and management of natural World Heritage sites</b></p> <p>During mission interviews, the Karen youth from TYW who participated in the traditional knowledge youth project demonstrated a high level of pride in their knowledge of wildlife and their role in the HKK-TYN WHS, and also an enthusiasm to learn from scientific knowledge. WHS planning and management would benefit from seeking opportunities to use local knowledge and values and to engage positively and proactively with local people.</p>	DNP	Medium-term and ongoing
11	<p><b>DNP should seek partnerships to promote and support community outreach functions as part of respective agencies' regular mandates, especially those in and adjacent to protected areas</b></p> <p>This project has shown that significant benefits can be gained through improving relations between DNP officers at project sites and affected members of the community. In TYE and TYW, several outreach officers were employed by DNP after they had shown successful outreach outcomes results. However, there are limitations to how DNP can employ staff, so these people were employed in ranger roles rather than in outreach roles. This is a missed opportunity for DNP to make community liaison a part of 'business as usual' in protected area management.</p>	DNP	Medium-term and ongoing

## 5.4 Lessons Learned

### ***Improved relations between DNP officers and communities can lead to improved wildlife outcomes***

The project created an atmosphere of understanding and collaboration between DNP officers and communities in the project area, where previously there had been mostly antagonism. During mission interviews, the TE team heard several reports of this leading to improved attitudes to wildlife among villagers and improved wildlife conservation outcomes.

### ***Engaging local people in outreach activities leads to sustainable results***

The TE team heard that, in the HKK buffer zone, local people engaged in outreach and liaison roles tended to remain in roles for longer and continued their influence in the community after employment, when compared with non-locals. Similarly, the Karen youth who were trained through the Indigenous knowledge youth project now have a role as mentors in their communities in TYW.

### ***Projects should be clear on interpretation of indicators and definition of deliverables, to make delivery and evaluation clearer***

Accountability in GEF projects relies on transparently measuring progress against agreed indicators and targets. The assessment of the achievement of some indicators in this project depended substantially on the interpretation of the meaning of the indicator and associated deliverable(s). For example, the indicator 'Establishment of sustainable financing mechanism' was added well after the MTR to capture work being done that was central to the success of the project; the EOP target was 'Sustainable financing mechanism via Conservation License Plate and impact investment committed to fill the gap of the World Heritage budgeting', which is not clear. Also, the EOP target for development of the WHS Strategic Plan stated that the Plan should be 'integrated into the provincial development plan'; it would have been beneficial if the project had clearly defined early what was meant by 'integrated into the provincial development plan' to enable the deliverable(s) to be planned and to facilitate assessment of achievement.

### ***Collaboration between Government agencies will be vital in achieving harmonization between livelihoods and wildlife conservation***

Outreach staff engaged by the project played important roles in liaising with communities in regard to sustainable livelihoods and land management. For example, outreach staff in the HKK buffer zone worked with villages on wildlife-friendly communities and forest management, and SNF worked closely with the enclave villages in TYE and TYW on alternative products that enabled sustainable livelihoods in the sanctuaries. Beyond the project, it will be important that Government agencies collaborate to provide this support and enable collaborative problem-solving to achieve harmonization between livelihoods and wildlife conservation.

### ***Community outreach activities need time to be planned and developed***

For many community outreach activities, a 'one size fits all' approach is not suitable. For example, the outreach activities conducted by the Rabbit in the Moon Foundation in TYW were tailored through a careful assessment that was built on strong relationships with the recipient communities and an exploration of their aspirations and needs. To enable such targeted outreach to be provided and achieve desired change, funding programs must allow for providers to spend the time and resources required to work with the community to develop and deliver the outreach program.

### ***Projects should be developed in close collaboration with local communities and field practitioners***

A strength of the project was that it was developed in collaboration with local communities and field practitioners and built on existing knowledge and networks and local needs. These same networks were involved in the project's implementation. This maximized the project's relevance and level of ownership.

## Annexes

- Annex 1. Terminal Evaluation Terms of Reference (ToR)
- Annex 2. Mission itinerary and list of persons interviewed
- Annex 3. List of documents reviewed
- Annex 4. Summary of field visits
- Annex 5. Evaluation Question Matrix
- Annex 6. Delivery of outputs at project completion
- Annex 7. Signed UNEG Code of Conduct form
- Annex 8. Signed Terminal Evaluation Final Report Clearance Form

Annexed in a separate file: Audit trail from received comments on draft TE report

Annexed in a separate file: Terminal GEF tracking tools

**Annex 1: Terminal Evaluation Terms of Reference (ToR) – excluding ToR annexes**

TO BE INSERTED

# Terminal Evaluation Terms of Reference (ToR) for UNDP-supported GEF-financed projects

Strengthening Capacity and Incentives for Wildlife Conservation in the Western  
Forest Complex

## **BASIC CONTRACT INFORMATION**

**Location:** Bangkok, Uthai Thani Province, Thailand

**Application Deadline:** 15 March 2021

**Type of Contract:** International Terminal Evaluation (TE) Consultant (Individual Consultant)

**Assignment Type:** Short-term

**Languages Required:** English

**Starting Date:** 22 April 2021

**Duration of Initial Contract:** 35 working days

**Expected Duration of Assignment:** 22 April - 10 July 2021

## **BACKGROUND**

### **1. Introduction**

**UNDP Thailand Country Office is looking for an international consultant who will work together with a national consultant in conducting the Terminal Evaluation (thereafter referred to as the "Evaluation Team").**

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the full-sized project titled *Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex* (PIMS 5436) implemented through Department of National Parks, Wildlife and Plant Conservation (DNP). The project started on the 15 July 2015 and is in its final year of implementation. The TE process must follow the guidance outlined in the document 'Guidance For Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects' ([Guidance for Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects](#)).

A.S.

Project Title:	Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex			
GEF Project ID:	PIMS 5436		<u>at endorsement</u> (Million US\$)	<u>at completion</u> (Million US\$)
UNDP Project ID:	00090893	GEF financing:	7,339,450	
Country:	Thailand	UNDP:	500,000	
Region:	Asia-Pacific	Government (DNP):	22,864,427	
Focal Area:	Biodiversity, Climate Change and Multi-Focal Areas	Others: - Wildlife Conservation Society - Seub Nakasathien Foundation	500,000 370,000	
FA Objectives, (OP/SP):	BD-1: Improve sustainability of protected area systems CCM-5: Promote Conservation and Enhancement of Carbon Stocks through Sustainable Management of Land Use, Land Use Change and Forestry SFM/REDD-2: promote sustainable management and use of forest resources	Total co-financing:	24,234,427	
Executing Agency:	Department of National Parks, Wildlife and Plant Conservation (DNP), Ministry of Natural Resources and Environment (MNRE)	Total Project Cost:	31,573,877	
Other Partners involved:		ProDoc Signature (date project began):	15 July 2015	
		(Operational) Closing Date:	Proposed: 14 July 2020	Revised Closing Date: 14 July 2021

## 2. Project Description

Situated at the core of the Western Forest Complex (WEFCOM), the Huai Kha Khaeng-Thung Yai Naresuan World Heritage Site (HKK-TY WHS) consists of three contiguous Wildlife Sanctuaries: the Huai Kha Khang (HKK); the Thung Yai Naresuan East (TYE); and the Thung Yai Naresuan West (TYW).

Totalling an area of 6,427 km<sup>2</sup>, the largely intact forest habitats of the HKK-TY WHS provide a protected refuge for approximately half of Thailand's tiger population.

There are no villages within the HKK, but there are 14 formally recognised enclave villages within the TYW (7 villages) and TYE (7 villages). There are further villages, together with mixed forest-agriculture, in a 5km buffer around the HKK-TY WHS with a particular concentration to the east of HKK where there is an estimated 29 villages. Many of the villagers living in the enclave and buffer villages are dependent on the use of forest resources.

The most significant threats to tiger survival in and around the HKK-TY WHS includes: i) habitat degradation and fragmentation; ii) poaching of the prey that tiger depend on; and iii) poaching of the tigers themselves. These threats are further exacerbated by limited capacity and insufficient resources to effectively plan and administer the wildlife sanctuaries, and limited working relationships with enclave and buffer communities. The project has been organised into three components, and will be implemented over a period of five years.

The first component of the project is directed towards strengthening and scaling up existing best-practice management activities, and developing and testing innovative approaches to enforcement and compliance, in the HKK-TYN WHS. It will strive to reduce the direct threats to tigers and prey, improve effectiveness of wildlife sanctuary management, and enhance the use of data and information to support key management decision-making.

The second component of the project is focused on linking sustainable livelihood development in the enclave and buffer zone villages with specific conservation outcomes, and improving economic links between the buffer zone and enclave villages and the Wildlife Sanctuaries. It will seek to achieve these linkages by promoting incentives (including technical support and grant funding for sustainable livelihood initiatives, ecotourism development and sustainable financing solution (replacing REDD+ Wildlife Premium carbon project) for community-based sustainable forest management, environmentally-friendly agricultural practices, nature-based tourism and education and improved wildlife and habitat protection.

The third component of the project is directed towards raising the awareness in communities living in and around the WHS of the need to conserve, and the importance of protecting, the forest landscapes and associated wildlife. With the iterative recognition in these communities of the intrinsic value of the forest habitats and wildlife, work under this component will assist in strengthening the representation of the buffer and enclave communities in each of the Wildlife Sanctuary's Protected Area Committees (PACs). With improved community-based representation on the PAC, the project will assist in building the capacity (information, knowledge, skills) of each of the community representatives to assure a constructive and meaningful contribution to the co-management of the WSs. The total cost of investment in the project is estimated at US\$31,573,877, of which US\$7,339,450 constitutes grant funding from GEF and US\$24,234,427 comprises co-financing.

During the startup period after the Project Document was signed on 15 July 2015, the project faced multiple delays due mainly to lengthy settlement of the government's financial and regulatory systems related to managing the project budget (as part of the NIM modality). It was not until August 2016 when the inception workshop could be held and subsequent work plan and first year budget were

approved by the project board. The enactment of the new Public Procurement Act with new required procedures also caused complications to government staff in completing procurement requests due to their unfamiliarity with the new requirements.

In 2018, a mid-term review (MTR) of the project implementation was conducted. It noted many progresses made toward successful achievement of the project indicators while also noted delays and challenges during the start-up period of the project and subsequent procurement issues. The MTR made 15 specific recommendations, focusing on improving M&E capacity of the results framework, financial management/sustainability, livelihoods development in the buffer zone, improved DNP/community relationship, and communication and knowledge sharing, as well as project extension by 6-12 months (in lieu of the time lost during the start-up period) to better realize the project results at a higher quality and impact.

Most of the recommendations have been responded with actions, although those relating to project sustainability and capacity strengthening will require more time and be greatly benefited by the 12-month project extension.

A 12-month project extension was granted to enable the project to continue working on targeted activities to ensure successful achievement of its project objective and respective outcomes. The extension period compensates the multiple delays and slow start-up in the first year of the project (2015-2016). It also enables the project more time to fully achieve project financial sustainability and capacity strengthening objectives. The extension was endorsed by the project board on 29 November 2019.

Since 2020, the prolonged strict COVID-19 lockdown has significantly impacted the project implementation. Activities at the project locations have been postponed as all national parks had been temporarily closed and unauthorized people were not allowed to access the parks. Trainings have been delayed due to the shut-down of the training sites in the protected areas.

### **3. TE Purpose**

The TE report will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments.

The project is entering to the final phase of implementation. The project end date is on 14 July 2021. The Implementing Partner (DNP), Project Board members, and UNDP Thailand Country Office will use the project's evaluation results to ensure effectiveness of exit strategy during the 12-month project extension and take away key recommendations to embed into the National Biodiversity Strategies and Action Plan (NBSAP).

Further to this, the objectives of the evaluation will be to:

- assess the achievement of project results supported by evidence (i.e. progress of project's outcome targets)
- assess the contribution and alignment of the project to relevant environmental management plans or climate and biodiversity management policies
- assess the contribution of the project results towards the relevant outcome and output of the Country Programme Document for Thailand (2017-2021) and recommendations on the way forwards
- assess any cross cutting and gender issues
- assess impact of the project in terms of its contribution to, or enabled progress toward reduced environmental stress
- examination on the use of funds and value for money and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

## **DUTIES AND RESPONSIBILITIES**

### **4. TE Approach & Methodology**

The TE must provide evidence-based information that is credible, reliable and useful.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisors, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to; executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Additionally, the national TE consultant may require conducting field missions to: Huai Kha Khaeng-Thung Yai (HKK-TY) World Heritage Site (WHS) and its buffer areas in Uthai Thani Province (depending on travel restriction on COVID-19).

Interviews will be held with the following organizations and individuals at a minimum:

## List of Stakeholders

### Bangkok

- UNDP Thailand Country Office
  - Biofin Programme Manager
  - Youth development programme leader
  - Accelerator Lab – Head of Experiment
- Department of National Parks, Wildlife and Plant Conservation (Implementing Partner)
  - DNP Deputy Director General, Mr. Prakit Wongsriwattanakul
  - Director of Wildlife Conservation Office, as the Project Director – Mr. Sompong Thongseekhem
  - Chief of Wildlife Research Division, Mr. Saksit Simcharoen
  - Chief of SMART Operation Center, Ms. Chatwarun Angkaew
- Director of Wildlife Conservation Society (WCS – Thailand), Mr. Anak Pattanapibul
- Team Leader on Sustainable Financing for wildlife conservation – Ms. Orapan Na Bangchang

### Project Site

- Superintendent of Huai Kha Kaeng Wildlife Sanctuary
- Superintendent of Tungyai Naresuan – East
- Superintendent of Tungyai Naresuan - West
- Chief of Huai Kha Kaeng Wildlife Breeding Station
- Chief of Khao Nang Ram Wildlife Research Station – Mr. Somphot Duanchantrasiri
- Deputy Superintendent of Huai Kha Kang Wildlife Sanctuary: Environment Education in the buffer zone areas, Mr.
- Director of HKK/TYN World Heritage Management – Ms. Weraya Ochakul
- Royal Forest Department, Regional office 4 for Forest Resources management – Mr. Kraisor Wiriya
- Secretary General of Seub Foundation – Mr. Panudej Kerdmali
- Chairman of Rabbit in the Moon Foundation – Mr. Charnchai Bhindusen
- Kasetsart University Team Leader on Wildlife Tourism – Mr. Nunthachai Pongpattananurak
- Kasetsart University Team Leader on Network Centric Operation System – Mr. Anan Phonpoem
- Member of the Parliament, Uthai Thani province – Mr. Chada Thaiset
- Community leaders – Wildlife Friendly Community

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

*(Note: The TOR should retain enough flexibility for the evaluation team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in the TE Inception Report.)*

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

In case that the International TE consultant cannot enter to Thailand due to the COVID-19 VISA protocol, the TE team should develop a methodology that reflects the adaptive management. It includes remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.

If all or part of the TE is to be carried out virtually then consideration should be taken for stakeholder availability, ability, or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many governments and national and pilot site counterparts may be working from home. These limitations must be reflected in the final TE report.

## 5. Detailed Scope of the TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see TOR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects ([Guidance for Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects](#)). The Findings section of the TE report will cover the topics listed below.

A full outline of the TE report's content is provided in ToR Annex C.

The asterisk "(\*)" indicates criteria for which a rating is required.

### Findings

#### i. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment

- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
- Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
- Risk Management, including Social and Environmental Standards

iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (\*), Effectiveness (\*), Efficiency (\*) and overall project outcome (\*)
- Sustainability: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), overall likelihood of sustainability (\*)
- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

iv. Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the

project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.

- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best and worst practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to include results related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below (or see Annex F).

**ToR Table 2: Evaluation Ratings Table for “Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex” Project**

Monitoring & Evaluation (M&E)	Rating <sup>1</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	

<sup>1</sup> Outcomes, Effectiveness, Efficiency, M&E, I&E Execution, Relevance are rated on a 6-point rating scale: 6 = Highly Satisfactory (HS), 5 = Satisfactory (S), 4 = Moderately Satisfactory (MS), 3 = Moderately Unsatisfactory (MU), 2 = Unsatisfactory (U), 1 = Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4 = Likely (L), 3 = Moderately Likely (ML), 2 = Moderately Unlikely (MU), 1 = Unlikely (U)

A.S.

Environmental	
Overall Likelihood of Sustainability	

## 6. Expected Outputs and Deliverables

The TE *consultant/team* shall prepare and submit:

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	<i>by 31 May 2021</i>	TE team submits Inception Report to Commissioning Unit and project management
2	Presentation	Initial Findings	End of TE mission: <i>(1.5 hour on 29 June 2021)</i>	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report <i>(using guidelines on report content in ToR Annex C)</i> with annexes	Within 3 weeks of end of TE mission: <i>(by 30 June 2021)</i>	TE team submits to Commissioning Unit; reviewed by BPPS-GEF RTA, Project Coordinating Unit, GEF OFP
4	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report <i>(See template in ToR Annex H)</i>	Within 1 week of receiving comments on draft report: <i>(by 10 July 2021)</i>	TE team submits both documents to the Commissioning Unit

\*The final TE 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.

All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>2</sup>

## 7. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Thailand 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 TE team. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

The UNDP Thailand Country Office and Project Team will provide logistic support in the implementation of remote/ virtual meetings if travel to project site is restricted. An updated stakeholder list with contact details (phone and email) will be provided by the UNDP Thailand Country Office to the TE team. The TE offer shall be all inclusive cost of travelling.

## 8. Duration of the Work

The total duration of the TE will be approximately 35 working days over a time period of **11 weeks** starting *22 April 2021* and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

Timeframe	Activity
<i>12 March 2021 (1 day)</i>	Application closes
<i>15-31 March 2021 (13 days)</i>	Selection of TE team
<b>22-31 May21</b>	Preparation period for TE team (handover of documentation)
<b>22 Apr-31 May21</b>	Document review and preparation of TE Inception Report
<b>by 31 May21</b>	Finalization and Validation of TE Inception Report; latest start of TE mission
<b>3-10 Jun21</b>	TE mission: stakeholder meetings, interviews, field visits, etc.
<b>19-29 Jun21</b>	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
<b>By 29 Jun21</b>	Preparation of draft TE report
<b>29 Jun – 5 Jul 21</b>	Circulation of draft TE report for comments
<b>5-7 Jul 21</b>	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
<b>7-9 Jul 21</b>	Preparation and Issuance of Management Response
<b>by 10 Jul 21</b>	Concluding Stakeholder Workshop (optional)
<b>by 10 Jul 21</b>	Expected date of full TE completion

<sup>2</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

A.S.

Options for site visits should be provided in the TE Inception Report. The expected date start date of contract is 22 April-10 July 2021

## 9. Duty Station

The International Consultant (Team Lead) can provide option to work remotely due to the constraint in obtaining VISA to enter Thailand. If so, the international consultant can work from home. The international consultant will describe the approach to collect data from the field in cooperation with the national consultant. The travel plan shall be adjusted based on travel restriction of the government and UNDP. Subject to be approved by the Resident Representative for UNDP Thailand Country Office.

### Travel:

- The BSAFE course must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under: <https://dss.un.org/dssweb/>

## REQUIRED SKILLS AND EXPERIENCE

### 10. TE Team Composition and Required Qualifications

A team of *two independent evaluators* will conduct the TE – *one international team leader (with experience and exposure to projects and evaluations in other regions) and one national expert from Thailand*. The international consultant will be designated as the team leader and will be responsible for the overall design and writing of the TE report. The national consultant will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.

The national consultant will work closely with the International Consultant in supporting any work that needs to be undertaken as laid out in this ToR, and other tasks, as required. The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Thailand. In the case of international travel restriction and the mission is not possible, the TE team will use alternative means of interviewing stakeholders and data collection (i.e. Skype interview, mobile questionnaires, etc.) including the field visit by the National Consultant under the International Consultant's guidance.

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

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

### Education

- Master's degree in Natural Sciences, Environmental Management, Environmental Studies, Development studies, Social Sciences and/or other related fields, or other closely related field;

### Experience

- Minimum of 8 years accumulated and recognized experience in biodiversity conservation and sustainable utilisation areas, and sustainable livelihoods;
- Minimum of 5 years of project evaluation and/or implementation experience in the result-based management framework, adaptive management and UNDP or GEF Monitoring and Evaluation Policy;
- Very good report writing skills in English;
- Familiarity in similar country or regional situations relevant to that of Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex is an advantage;
- Some experience working with the GEF or GEF-evaluations is an advantage;
- Demonstrated understanding of issues related to gender and biodiversity, experience in gender sensitive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills.

### Language

- Fluency in written and spoken English.

### **Responsibility**

- Documentation review
- Leading the TE Team in planning, conducting and reporting on the evaluation
- Deciding on division of labour within the Team and ensuring timeliness of reports
- Use of best practice evaluation methodologies in conducting the evaluation
- Leading the drafting and finalization of the Inception Report for the Terminal Evaluation
- Leading presentation of the draft evaluation findings and recommendations in-country
- Conducting the de-briefing for the UNDP Country Office in Thailand and Core Project Management Team
- Leading the drafting and finalization of the Terminal Evaluation Report

## **11. Evaluator Ethics**

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be

solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

## 12. Payment Schedule

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other TE reports).
- The Audit Trail includes responses to and justification for each comment listed.

## **APPLICATION PROCESS**

*(Adjust this section if a vetted roster will be used)*

### 13. Scope of Price Proposal and Schedule of Payments

#### **Financial Proposal:**

- Financial proposals must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost [professional fees, travel costs (Bangkok to Project Sites, land transport/trip, number of accommodation per night), living allowances etc.];
- For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates are Uthai Thani Province (and Kanchanaburi or Tak Province if applicable), which should provide indication of the cost of living in a duty station/destination *(Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.)*
- The lump sum is fixed regardless of changes in the cost components.

### 14. Recommended Presentation of Proposal

- a) **Letter of Confirmation of Interest and Availability** using the [template](#) provided by UNDP;
- b) **CV** and a **Personal History Form** ([P11 form](#));
- 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)

A.S.

- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address: **UNDP Thailand Country Office, 12<sup>th</sup> floor, UN Secretariat Building, Rajdamnern Nok Avenue, Bangkok 10200, Thailand** in a sealed envelope indicating the following reference "Consultant for Terminal Evaluation of the Project on 'Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex' or by email at the following address ONLY: [procurement.th@undp.org](mailto:procurement.th@undp.org) by **15 March, 12:00 PM (Bangkok Time)**. Incomplete applications will be excluded from further consideration.

## 15. Criteria for Selection of the Best Offer

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

## 16. Annexes to the TE ToR

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales and TE Ratings Table
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail template
- Annex in a separate file: Relevant TE tracking tools
- Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as 'investment mobilized' or 'recurrent expenditure')

Approved by \_\_\_\_\_

**Lovita Ramguttee, Deputy Resident Representative, UNDP Thailand**

Date: \_\_\_\_\_

## ToR Annex A: Project Logical/Results Framework

### SECTION II: STRATEGIC RESULTS FRAMEWORK (SRF)

PROJECT OBJECTIVE AND OUTCOMES	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
<b>Project Objective: To improve the management effectiveness of, and sustainable financing for, Huai Kha Khaeng-Thung Yai Naresuan (HKK-TYN) World Heritage Site and incentivise local community stewardship</b>	METT Scores of HKK, TYE and TYW Wildlife Sanctuaries	HKK: 67% TYE: 75% TYW: 60%	HKK: 71% TYE: 77% TYW: 68%	Project review of METT Scorecards	<b>Assumptions:</b> The government continues to invest in improving the management of the WHS, as part of its strategy to conserve the forest ecosystems, forest habitats and rare and threatened forest fauna in the WEFCOM.
	Financial sustainability scorecard for the WHS	Baseline = 79 [Baseline confirmed at mid-term]	TBD	Project review of Financial Sustainability Scorecard	
	Capacity development indicator score for DNP (Wildlife Conservation Office)	Systemic: 67% Institutional: 64% Individual: 61%	Systemic: 69% Institutional: 65% Individual: 68%	Project review of Capacity Development Indicator Scorecard	Communities living in and around the three wildlife sanctuaries respect the sanctity, and derive value from the conservation, of these sanctuaries.
	Number of villages (of the 43 targeted enclave and buffer zone villages) directly benefiting from community-based livelihood activities that contribute to reducing the extent and intensity of threats to the HKK-TY WHS	0	>28	Project record of technical support and sub-grant funding agreements	<b>Risks:</b> Not all communities cooperate with the conservation authorities in addressing the key threats of deforestation and poaching in the WHS. The DNP is unable to solicit the support, and coordinate the efforts, of other organs of state, due its limited mandate in the villages around the WHS. Income-generating mechanisms do not generate

PROJECT OBJECTIVE AND OUTCOMES	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
					sufficient revenues for reinvestment back into the conservation of the WHS The effects of climate change further exacerbate the fragmentation of forest ecosystems, leading to an increase in the vulnerability of rare and threatened forest species.
<b>Outcome 1 Strengthening on-ground conservation actions and wildlife protection</b>	<b>Outputs:</b> 1.1. Wildlife and habitat protection. 1.2 Resource monitoring and information management. 1.3 Training and capacity development				
	Number of tigers/100 km <sup>2</sup> in the three wildlife sanctuaries	HKK: 2.3 TYE: 0.7 TYW: 1.3	HKK: 2.7 TYE: 0.9 TYW: 1.5	Wildlife monitoring survey reports	Assumptions: The SMART patrol system is maintained across the three wildlife sanctuaries The DNP allocates adequate budget for the ongoing running costs and maintenance of project-procured infrastructure and equipment. The wildlife sanctuaries sustain current ranger patrol and wildlife monitoring efforts in the WHS The security and integrity of the tiger DNA database is protected Risks:
	Aggregate occupancy index (number/km <sup>2</sup> ) of select tiger prey species (sambar; gaur; banteng) and elephant in the three wildlife sanctuaries	HKK: 6.5 TYE: 9 TYW: 13	HKK: 8 TYE: 11 TYW: 17	WHS wildlife monitoring survey reports	
	Number of poacher encounters per annum reported by ranger patrol staff from HKK, TYE and TYW	HKK: 84 TYE: 72 TYW: 96	HKK: 76 TYE: 65 TYW: 86	SMART patrol data Wildlife sanctuary monthly and annual reports	
	Areal coverage (as a % of total WHS area) of the ranger patrols in the WHS	60%	>90%	SMART patrol data	

PROJECT OBJECTIVE AND OUTCOMES	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
	Area-based habitat management plan taking climate projection into consideration  [NEW. Indicator revised during inception phase and approved by Project Board; it was "Number of wildfire incidences per annum in the WHS"]	No plan	Plan operational at one site as model for replication		Not all communities cooperate with the conservation authorities in addressing the key threats of deforestation and poaching in the WHS. The effects of climate change further exacerbate the fragmentation of forest ecosystems, leading to an increase in the vulnerability of rare and threatened forest species.
	Number of tigers (captive and wild) with a documented DNA record	Captive: 0 Wild: 0	Captive: 1,250 Wild: 200  [Target for wild tigers revised during inception phase and approved by Project Board; it was 500]	DNA tiger database	
	Coverage (as a % of total area) of the wildlife monitoring program in the wildlife sanctuaries	HKK: 60% TYE: 30% TYW: 30%	HKK: >70% TYE: >50% TYW: >50%  [Targets for TYE and TYW revised during inception phase and approved by Project Board; targets were both >40% originally]	WHS wildlife monitoring survey reports	

PROJECT OBJECTIVE AND OUTCOMES	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
	Number of staff of HKK, TYE and TYW who receive (a) refresher training and (b) train-the-trainer training,	Refresher: 0 Train-the-trainer: 0	Refresher: 470 Train-the-trainer: 40	Record of training course Wildlife sanctuary monthly and annual reports	
	Percentage of temporary ranger staff across the three wildlife sanctuaries who have adequate death and disability insurance cover	36%	100%	Insurance policy documentation	
<b>Outcome 2 Incentives and sustainable financing for wildlife conservation and forest protection</b>	<b>Outputs:</b> 2.1 Community livelihood assistance. 2.2 Nature-based tourism development 2.3 REDD+ and Wildlife Premium Mechanism				
	Number of villages with signed Conservation Agreements	0	>28	Conservation agreements	Assumptions: Village leadership structures are stable and representative of the interests of the villages Village populations remain relatively stable The RFD registers community forests timeously Risks: Not all communities cooperate with the conservation authorities in addressing the key threats of deforestation and poaching in the WHS. The DNP is unable to solicit the support, and coordinate the efforts, of other organs of state,
	Area registered as community forest in the HKK buffer zone	1,029 ha	1,338 ha	Community forest registration certificates	
	Number of people (of which percentage are female) living in the enclave villages of TYE and TYW who are direct recipients of project grant funding support	0 (0)	175 (60)	Project record of sub-grant funding agreements	
	Direct project beneficiaries living in buffer villages (of which percentage are female) who are direct recipients of project grant funding support	0 (0)	300 (60)	Project record of sub-grant funding agreements	

PROJECT OBJECTIVE AND OUTCOMES	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
	World Heritage Site strategic plan of which eco-tourism, sustainable financing are integrated into provincial development plan, with community participation in planning and financial management.  [NEW. Indicator revised during inception phase and approved by Project Board; it was 'Financial, Tourism and Integrated Fire Management plans for the WHS are in place']	Financial: No Tourism: No Provincial or DNP Strategic plan for financial management: No Provincial tourism plan: No	WHS strategic plan that covers: Sustainable financing: Yes Tourism: Yes WHS strategic plan integrated into provincial development plan.		due its limited mandate in the villages around the WHS. Income-generating mechanisms do not generate sufficient revenues for reinvestment back into the conservation of the WHS The effects of climate change further exacerbate the fragmentation of forest ecosystems, leading to an increase in the vulnerability of rare and threatened forest species.
	Avoided forest and forest degradation (ha and tonnes of CO <sub>2</sub> eq.) in the WHS, enclave villages and HKK buffer areas	0 0	985 ha 277,731 tonnes of CO <sub>2</sub> eq.	Remote sensing data and ground-truthing reports Carbon monitoring reports	
	Annual deforestation rate (%) in the WHS, enclave villages and HKK buffer areas  [Indicator deleted following MTR]	0.76% per annum	0.62% per annum	Remote sensing data and ground-truthing reports	
	Establishment of sustainable financing mechanism	No sustainable financing mechanism	Sustainable financing mechanism via Conservation		

PROJECT OBJECTIVE AND OUTCOMES	INDICATOR	BASELINE	END OF PROJECT TARGETS	SOURCE OF INFORMATION	RISKS AND ASSUMPTIONS
	[New indicator added following MTR]		License Plate and impact investment committed to fill the gap of the World Heritage budgeting		
<b>Outcome 3 Improved local education, awareness and participation</b>	<b>Outputs:</b> 3.1 Community education and outreach 3.2 Participatory management				
	Number of WS community liaison and outreach staff working in targeted enclave and buffer zone villages	<21	29	Wildlife sanctuary organograms and annual reports	Assumptions: DNP continues to support, and strengthen the role of, PACs for wildlife sanctuaries DNP encourages the adoption and expansion of outreach and extension programmes in wildlife sanctuaries Risks: Not all communities cooperate with the conservation authorities in addressing the key threats of deforestation and poaching in the WHS. The DNP is unable to solicit the support, and coordinate the efforts, of other organs of state, due its limited mandate in the villages around the WHS.
	Number of schools using WHS-based education and information materials	0	20	Project reports	
	Number of informational and educational road shows presented per annum using the mobile environmental education units	0	144/annum	Project reports	
	Number of PACs with full representation and involvement of enclave and buffer zone villages	0	3	Minutes of PAC meetings	

## ToR Annex B: Project Information Package to be reviewed by TE team

#	Item (electronic versions preferred if available)
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
6	Inception Workshop Report
7	Mid-Term Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO Endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
18	Sample of project communications materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
20	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
21	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or "catalytic" results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)
25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes

## ToR Annex C: Content of the TE report

- i. Title page
  - Title of UNDP-supported GEF-financed project
  - UNDP PIMS ID and GEF ID
  - TE timeframe and date of final TE report
  - Region and countries included in the project
  - GEF Focal Area/Strategic Program
  - Executing Agency, Implementing partner and other project partners
  - TE Team members
- ii. Acknowledgements
- iii. Table of Contents
- iv. Acronyms and Abbreviations
1. Executive Summary (3-4 pages)
  - Project Information Table
  - Project Description (brief)
  - Evaluation Ratings Table
  - Concise summary of findings, conclusions and lessons learned
  - Recommendations summary table
2. Introduction (2-3 pages)
  - Purpose and objective of the TE
  - Scope
  - Methodology
  - Data Collection & Analysis
  - Ethics
  - Limitations to the evaluation
  - Structure of the TE report
3. Project Description (3-5 pages)
  - Project start and duration, including milestones
  - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
  - Problems that the project sought to address: threats and barriers targeted
  - Immediate and development objectives of the project
  - Expected results
  - Main stakeholders: summary list
  - Theory of Change
4. Findings  
(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating<sup>3</sup>)
  - 4.1 Project Design/Formulation
    - Analysis of Results Framework: project logic and strategy, indicators
    - Assumptions and Risks

---

<sup>3</sup> See ToR Annex F for rating scales.

A.S.

- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
  - Planned stakeholder participation
  - Linkages between project and other interventions within the sector
- 4.1 Project Implementation
- Adaptive management (changes to the project design and project outputs during implementation)
  - Actual stakeholder participation and partnership arrangements
  - Project Finance and Co-finance
  - Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
  - UNDP implementation/oversight (\*) and Implementing Partner execution (\*), overall project implementation/execution (\*), coordination, and operational issues
- 4.2 Project Results
- Progress towards objective and expected outcomes (\*)
  - Relevance (\*)
  - Effectiveness (\*)
  - Efficiency (\*)
  - Overall Outcome (\*)
  - Country ownership
  - Gender
  - Other Cross-cutting Issues
  - Social and Environmental Standards
  - Sustainability: financial (\*), socio-economic (\*), institutional framework and governance (\*), environmental (\*), and overall likelihood (\*)
  - Country Ownership
  - Gender equality and women's empowerment
  - Cross-cutting Issues
  - GEF Additionality
  - Catalytic Role / Replication Effect
  - Progress to Impact
5. Main Findings, Conclusions, Recommendations & Lessons
- Main Findings
  - Conclusions
  - Recommendations
  - Lessons Learned
6. Annexes
- TE ToR (excluding ToR annexes)
  - TE Mission itinerary
  - List of persons interviewed
  - List of documents reviewed
  - Summary of field visits

- Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Questionnaire used and summary of results
- Co-financing tables (if not include in body of report)
- TE Rating scales
- Signed Evaluation Consultant Agreement form
- Signed UNEG Code of Conduct form
- Signed TE Report Clearance form
- *Annexed in a separate file:* TE Audit Trail
- *Annexed in a separate file:* relevant terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable
  - Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as 'investment mobilized' or 'recurrent expenditure')

## ToR Annex D: Evaluation Criteria Matrix template

<b>Evaluative Criteria Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<b>Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level?</b>			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)</i>
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
<b>Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?</b>			
<b>Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?</b>			
<b>Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?</b>			
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?</b>			
<i>(Expand the table to include questions for all criteria being assessed: Monitoring &amp; Evaluation, UNDP oversight/implementation, Implementing Partner Execution, cross-cutting issues, etc.)</i>			

## ToR Annex E: UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

### 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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

### Evaluation Consultant Agreement Form

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

Name of Evaluator: \_\_\_\_\_

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

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

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

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

A.S.

## ToR Annex F: TE Rating Scales & Evaluation Ratings Table

TE Rating Scales	
Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no or minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

Evaluation Ratings Table	
Monitoring & Evaluation (M&E)	Rating <sup>4</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	

<sup>4</sup> Outcomes, Effectiveness, Efficiency, M&E, I&E Execution, Relevance are rated on a 6-point rating scale: 6 = Highly Satisfactory (HS), 5 = Satisfactory (S), 4 = Moderately Satisfactory (MS), 3 = Moderately Unsatisfactory (MU), 2 = Unsatisfactory (U), 1 = Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4 = Likely (L), 3 = Moderately Likely (ML), 2 = Moderately Unlikely (MU), 1 = Unlikely (U)

Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

## ToR Annex G: TE Report Clearance Form

**Terminal Evaluation Report for** *(Project Title & UNDP PIMS ID)* **Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: \_\_\_\_\_

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

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: \_\_\_\_\_

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

## ToR Annex H: TE Audit Trail

*The following is a template for the TE Team to show how the received comments on the draft TE report have (or have not) been incorporated into the final TE report. This Audit Trail should be listed as an annex in the final TE report but not attached to the report file.*

**To the comments received on (date) from the Terminal Evaluation of (project name) (UNDP Project PIMS #)**

The following comments were provided to the draft TE report; they are referenced by institution/organization (do not include the commentator's name) and track change comment number ("#" column):

Institution/ Organization	#	Para No./ comment location	Comment/Feedback on the draft TE report	TE team response and actions taken

A.S.

## Annex 2: Mission itinerary and list of persons interviewed

Date/ Time	Activities	Participants
<b>27 May: Virtual meeting</b>		
09:30–10:30	Meet with UNDP CO and RTA, and Project Team	<ul style="list-style-type: none"> <li>• Gabriel Jaramillo, Regional Technical Advisor</li> <li>• Saengroj Srisawaskraisorn</li> <li>• Napaporn Yuberk</li> <li>• Phansiri Winichagoon</li> <li>• Panupong Plansumrit</li> <li>• Areerat Chabada</li> </ul>
<b>2 June: Virtual meetings</b>		
09:30–10:30	Meet to discuss relevant project/ thematic work in UNDP Country Programme	<ul style="list-style-type: none"> <li>• Niran Nirannoot, BIOFIN Manager</li> <li>• Nichakarn Darmaratat, Youth Team Leader</li> <li>• Arachapon, PM ethnic minorities</li> </ul>
13:00–14:30	Phone interview with economist	Ms. Orapan Na Bangchang, Sustainable financing for wildlife conservation
15:00–16:30	Meet Director of Wildlife Conservation Society (WCS)	Director, Mr. Anak Pattanapibul
<b>3 June: Huai Kha Kaeng Wildlife Sanctuary, Uthai Thani Province</b>		
PM	Online and meeting: the chief and deputy chief of HKK Wildlife Sanctuary	Mr. Permsak Kanittachat, Superintendent Mr. Sunphob Asawapapapong, Deputy HKK Chief – Environment Education
14:30	Online interview: consultants on Wildlife-based Tourism Design	Mr. Nunthachai Pongpattananurak Dr. Sangsan Bhoomsatarn Kasetsart University Team Leader on Wildlife Tourism and KU team
16:00	Online and meeting: HKK Wildlife Breeding Centre and sightseeing the wildlife tourism location and destination route	Mr. Tarasak Nipanun, Chief of HKK Wildlife Breeding Station
20:00	Online and meeting: HKK-TYN Natural World Heritage Centre	Ms. Weraya Ochakul Director of HKK/TYN World Heritage Management
<b>4 June: Key stakeholders at HKK Buffer zone, Uthai Thani Province</b>		
09:00	Online interview: Chief of Thung Yai Wildlife Sanctuary East	Mr. Piya Pinyo
12:00	Online and meeting: Chief of Khao Nang Ram Wildlife Research Station	Mr. Somphot Duangchantrasiri,
16:00	Online and meeting: Tiger Project Community Coordinator, HKK Foundation Manager	Ms. Jarunee Ompram Mr. Rattana Charnnarong Mr. Somdej Ruenpit
17:00	Visit the Chor 1 village (organic farm wildlife-friendly community)	Ms. Rosarin BuaThong (Chomphoo) Ms. Somphan Subhodi Ms. Aroon Chareonsri Mr. Vaipoth Chooma

<b>5 June: Tung Yai Naresuan -West</b>		
09:00	Online and meeting: NGO working with Indigenous youth leaders	Mr. Charnchai Bindusen, Chairman of Rabbit in the Moon Foundation
13:00	Online interview: Seub Nakhasathien Foundation (SNF)	Mr. Panudet Kerdmali, Secretary General of SNF
15:00	Online interview: Sueb's Community Coordinator in Thung Yai West and East	Mr. Yuthana Petchnil, Community coordinator of SNF in TYE
<b>6 June: Project Board</b>		
09:30	Online interview: Superintendent of Tung Yai West	Mr. Suparek Klanprasert and his team
14:00	Online interview: Faculty of Forestry, Kasetsart University	Dr. Ronglarp Sukmasroung
<b>7 June: Project Board</b>		
09:00	Online interview: DNP Research and Development Office	Mr. Phongsak Pholsena
13:00	Online interview: Office of Natural Resources and Environmental Policy and Planning (ONEP)	Mr. Panuwat Kanutchart
<b>8 June: Project Board</b>		
09:00	Online interview: Bank of Agriculture and Agricultural Cooperatives	Mr. Sawai Jeeracheppattana
10:30	Online interview: Anti-Illegal Wildlife Trade Office	Dr. Kanita Auythavorn (DNP Wildlife Forensic Unit)
13:00	Online interview: UNDP's Project Supervision	Mr. Saengroj Srisawaskraisorn
14:30	Online interview: UNDP Small Grant Program	Ms. Suwimol Sereepawong, National Coordinator, SGP
<b>9 June: Project Board</b>		
09:00	Online interview: National Economics, Social Development Board Office	Mr. Boonchub Songtrakoolsak
13:00	Online interview: Thailand Greenhouse Gas Management Organization	Mr. Abhisit Senawong
16:00	Online interview: Ethic youth representatives	Mr. Somporn Maosri with other two colleagues (Mr. Sombat and Mr. Nhueng) IP Youth leaders
<b>10 June: Project Board</b>		
09:00	Face-to-face interview: Director of Wildlife Conservation Office, Tiger Project Director	Mr. Sompong Thongsikhem
11:00	Face-to-face interview: Chairperson of the Project Board	Ms. Rungnapar Pattanavibool Deputy Director General of DNP
14:00	Online interview: Project Manager	Ms. Phansiri Winichagoon
16:00	Online interview Director of Natural World Heritage Site Coordinator Office, DNP	Ms. Sunee Saksue
17:00	Phone call: Wild tiger scat DNA test	Ms. Taksaorn Phoomakasikorn

<b>18 June: Former project development member</b>		
19:30	Phone call: Director of DNP's Public Relation, former HKK Wildlife Sanctuary (2014–15)	Mr. Sompoch Maneerat
<b>24 June: Former Project Board member</b>		
15:00	Phone call: former assistant to Co-Project Manager	Ms. Klairoong Poonphon

### Annex 3: List of Documents Reviewed

#	Item
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
6	Inception Workshop Report
7	Midterm Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
18	Sample of project communications materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
20	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
21	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or “catalytic” results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)

25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes

#### **Annex 4: Summary of field visits**

Due to the COVID-19 pandemic, the TE field visit was very limited and only the national consultant (NC) could attend; she visited a small number of project sites on 3 and 4 June 2021. She visited HKK Wildlife Sanctuary Headquarters, HKK Wildlife Breeding Station, Chor 1 village and private forest plantation in Lan Sak District, Uthai Thani province.

*3 June 2021 (10:00–12:30 h)*

The NC visited the Regional SMART Training Centre in which the project invested, which was developed by the renovation of an old school building. On the day of the visit, HKK WS had its monthly SMART patrol workshop in order to allow rangers from different patrol teams in HKK WS to present and share their data and to feed their data into the HKK database. The international consultant (IC) joined an online interview, which was conducted at the HKK Nature Exhibition Building, where visitors can learn about the resources and ecosystems of HKK and about World Heritage.

*3 June 2021 (14:00–16:00 h)*

The NC visited the HKK Wildlife Breeding Centre, which is at the border of HKK and is adjacent to the wildlife-watching ground of the proposed Thap Salao Non-Hunting Area. Wild animals that are caged in this HKK Breeding Centre would also form part of the proposed wildlife-based tourism. Currently, in addition to a number of wildlife species that are breeding, the centre is highlighted by two tigers that were found orphaned and wounded in HKK several years ago. These tigers are considered to be authentic representatives of the gene pool of HKK tigers. There is no plan to re-introduce them into the wild, as the program is still very sensitive to people's acceptance of wild tigers. During the interview with the head of the breeding centre, it was discussed that the relationships with the villagers have improved when the tourism plan was introduced by the consultants.

*4 June 2021 (16:00–18:00 h)*

The NC visited Chor 1 with the Community Coordinator for HKK and her assistant. Chor 1 is the location to which villagers were relocated from the forest reserve land in Thap Salao, with a new settlement and full supporting infrastructure provided (including housing, roads, electricity, and water supply for daily use and for cultivation). Land use rights are registered with the ALRO. Installation of most of the infrastructure had been facilitated the project's Field Advisor. The HKK Foundation was the recipient of a small grant from the tiger project, providing support to villagers in capacity development and access to organic agriculture markets. Villagers in Chor 1 village who voluntarily joined the wildlife-friendly community program have committed to reducing their chemical inputs in crop cultivation, to do no harm to wildlife in and outside the forest. The tiger project also helped them to access and develop market opportunities.

*4 June 2021 (18:30–20:00 h)*

The NC, the Community Coordinator for HKK and her assistant visited the villagers in lower land areas in Lansak District. They visited a family that holds the deed of land title and have converted their cash crops to a plantation of diverse forest species while pursuing multiple agriculture enterprises (e.g. snail farms). The forest plantation is not their sole current source of income; however, the family decided to pursue the environmental benefits of the land being forested, to provide for their pensions and to create a heritage for their children.

### Annex 5: Evaluation question matrix

Evaluation questions	Indicators	Sources	Methodology
<b>Relevance: Is the project relevant with respect to the environmental and development priorities at the local, regional and national levels?</b>			
Is the project relevant to CBD and other international conventions?	Consistency with CBD and other relevant conventions (if any)	CBD and other relevant conventions, project document, PIRs, project progress reports	Desk review
Does the project's objective fit within the national environment and development priorities?	Consistency with relevant national strategies / policies  Level of participation of relevant agencies	Relevant national strategies / policies, project document, PIRs, project progress reports	Desk review, national level interviews
Does the project objective fit GEF strategic priorities?	Relationship between project objectives and the GEF focal area	Project document, GEF strategy documents, PIRs	Desk review
Did the project concept originate from local or national stakeholders, and/or were relevant stakeholders sufficiently involved in project development?	Level of involvement of local and national stakeholders in project origination and development (number of meetings held, project development processes incorporating stakeholder input, etc.)	Project staff / local and national stakeholders / project documents	Desk review, interviews
Was the project linked with and in line with UNDP priorities and strategies for the country?	Level of coherence between project objective and design with UNDAF, CPD	UNDP strategic priority documents	Desk review
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
Are the project objectives likely to be met? To what extent are they likely to be met?	Indicators in results framework	PIR, quarterly reports, results framework, project document, stakeholder interviews, tracking tools	Desk review, interviews, field visits
What are the key factors contributing to project success or underachievement?	Level of documentation of and preparation for project risks, assumptions and impact drivers	PIR, quarterly reports, results framework, project document, stakeholder interviews, tracking tools	Desk review, interviews, field visits
What are the key risks and barriers that remain to achieve the project objective and generate	Presence, assessment of, and preparation for expected risks, assumptions and impact drivers	PIR, quarterly reports, results framework, project document, stakeholder interviews, tracking tools	Desk review, interviews, field visits

Global Environmental Benefits?			
How are risk and risk mitigation being managed?	Completeness and quality of risk identification and mitigation during project planning, design and implementation	PIR, quarterly reports, project document, stakeholder interviews	Desk review, interviews
What lessons can be drawn regarding effectiveness for other similar projects in the future?	Findings regarding effectiveness	PIRs, quarterly reports, project document, stakeholder interviews	Desk review, interviews
<b>Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?</b>			
Was project support provided in an efficient way?	Evaluation findings regarding support, implementation, adaptive management, results-based management, financing and co-financing	Quarterly reports, PIRs, PB minutes, BTORs, stakeholder interviews	Desk review, interviews
Is the project cost-effective?	Quality and adequacy of financial management procedures (in line with UNDP, UNOPS, and national policies, legislation, and procedures)  Financial delivery rate vs. expected rate  Management costs as a percentage of total costs	Quarterly reports, PIRs, PB minutes, BTORs, stakeholder interviews	Desk review, interviews
Is the project implementation approach efficient for delivering the planned project results?	Achievement of outcomes assessed against cost	PIR, quarterly reports, financing and co-financing, PB minutes, stakeholder interviews	Desk review, interviews, field visits
What lessons can be drawn regarding efficiency for other similar projects in the future?	Findings regarding efficiency	PIRs, quarterly reports, project document, stakeholder interviews	Desk review, interviews

What is the contribution of cash and in-kind co-financing to project implementation?	Level of cash and in-kind co-financing relative to expected level	PIRs, quarterly reports, project document, stakeholder interviews	Desk review, interviews
<b>Results: To what extent did the project deliver the expected results?</b>			
Have the planned outputs been produced? Have they contributed to the project outcomes and objectives?	Level of project implementation progress relative to expected level at current stage of implementation  Existence of logical linkages between project outputs and outcomes/impacts	PIRs, quarterly reports, project document, stakeholder interviews	Desk review, interviews, field visits
Are the anticipated outcomes likely to be achieved? Are the outcomes likely to contribute to the achievement of the project objective?	Existence of logical linkages between project outcomes and impacts	PIRs, quarterly reports, project document, stakeholder interviews	Desk review, interviews, field visits
Are impact level results likely to be achieved? Are the likely to be at the scale sufficient to be considered Global Environmental Benefits?	Environmental indicators  Level of progress through the project's Theory of Change	PIRs, quarterly reports, project document, stakeholder interviews	Desk review, interviews, field visits
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
To what extent are project results likely to be dependent on continued financial support? What is the likelihood that any required financial resources will be available to sustain the project results once the GEF assistance ends?	Financial requirements for maintenance of project benefits  Level of expected financial resources available to support maintenance of project benefits  Potential for additional financial resources to support maintenance of project benefits	Budget allocations, progress reports, PIRs, other relevant planning and budgeting processes, stakeholder interviews	Desk review, interviews
Do relevant stakeholders have or are likely to achieve an adequate level of "ownership" of results, to have the interest in	Level of initiative and engagement of relevant stakeholders	Budget allocations, progress reports, PIRs, other relevant planning and budgeting	Desk review, interviews

ensuring that project benefits are maintained?	in project activities and results	processes, stakeholder interviews	
Do relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained?	Level of technical capacity of relevant stakeholders relative to level required to sustain project benefits	Budget allocations, progress reports, PIRs, other relevant planning and budgeting processes, stakeholder interviews	Desk review, interviews
To what extent are the project results dependent on socio-political factors?	Socio-economic risks	PIRs, quarterly reports, other relevant planning and budgeting processes, stakeholder interviews	Desk review, interviews, field visits
To what extent are the project results dependent on issues relating to institutional frameworks and governance?	Existence of institutional and governance risks to project benefits	PIRs, quarterly reports, other relevant planning and budgeting processes, stakeholder interviews	Desk review, interviews
Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits?	Environmental risks	PIRs, quarterly reports, other relevant planning and budgeting processes, stakeholder interviews	Desk review, interviews, field visits
What lessons can be drawn regarding sustainability for other similar projects in the future?	Findings regarding sustainability	PIRs, quarterly reports, other relevant planning and budgeting processes, project document, stakeholder interviews	Desk review, interviews, field visits
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward long lasting desired changes?</b>			
Are there verifiable environmental improvements?	Verifiable environmental improvements	Tracking tools, progress reports, PIRs, stakeholder interviews	Desk review, interviews, field visits
Are there verifiable reductions in stress on environmental systems?	Verifiable reductions in stress on environmental systems	Tracking tools, progress reports, PIRs, stakeholder interviews	Desk review, interviews, field visits
<b>Gender equality and women's empowerment</b>			
How did the project contribute to gender equality and women's empowerment?	Level of progress of gender action plan and gender indicators in results framework	PIRs, quarterly reports, other relevant planning and budgeting processes, project document, stakeholder interviews	Desk review, interviews, field visits

In what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?	Existence of logical linkages between gender results and project outcomes and impacts	PIRs, quarterly reports, other relevant planning and budgeting processes, project document, stakeholder interviews	Desk review, interviews, field visits
<b>Cross-cutting and UNDP mainstreaming issues</b>			
How were effects on local populations considered in project design and implementation?	Positive or negative effects of the project on local populations	Project document, progress reports, monitoring reports	Desk review, interviews, field visits

## Annex 6: Delivery of outputs at project completion

The following table provides a summary of the implementation and delivery status of project outputs at project completion, prepared by the TE team using a variety of information sources.

Delivery status at TE:

Green - Full achievement at the end of the project

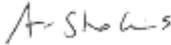
Yellow - Partial achievement at the end of the project

Red - Little or no achievement at the end of project

Output	Implementation at project completion	Delivery status
<b>Component 1: Strengthened on-ground conservation actions and wildlife protection</b>		
1.1: Wildlife and habitat protection	<ul style="list-style-type: none"> <li>- increased coverage of ranger patrols</li> <li>- hired 58 additional rangers</li> <li>- funded additional and improved equipment</li> <li>- provide insurance cover to all rangers</li> <li>- improved communication system in the WHS</li> <li>- established ranger accommodation in TYE</li> <li>- co-funded construction of 2 ranger stations and 8 new checkpoints in TYW and TYE</li> <li>- collected and analysed DNA from 1250 captive tigers and 200 droppings from wild tigers</li> <li>- established DNA analytical facility</li> <li>- established DNA database</li> </ul>	
1.2: Resource monitoring and information management	<ul style="list-style-type: none"> <li>- Khao Nang Ram facilities upgraded and additional support staff engaged (6 data collection officers, 2 biologists)</li> <li>- 400 new camera traps procured and installed</li> <li>- Network Centric Operation System on pilot sites in HKK and verify possible areas of TYE</li> <li>- coverage of wildlife monitoring increased by expanding area of line transect and distance sampling in TYE and TYW and increasing the area covered by tiger camera traps</li> <li>- wildlife monitoring techniques established and training provided</li> <li>- database established</li> <li>- Wildlife habitat survey and management plan for TYE (KU)</li> <li>- Demonstration of Wildlife habitat management in HKK Buffer zone (KU)</li> </ul>	
1.3: Training and capacity development	<ul style="list-style-type: none"> <li>- established Regional Training Centre in HKK</li> <li>- prepared curriculum and trained rangers and trained trainers in SMART patrol, including data management and analysis (WCS)</li> <li>- other training provided at Training Centre, including for ASEAN officials and university students</li> <li>- DNP 'trained trainers' provided training to staff at other locations in Thailand</li> </ul>	
<b>Component 2: Incentives and sustainable financing for wildlife conservation and forest protection</b>		
2.1: Community livelihood assistance	<ul style="list-style-type: none"> <li>- 11 community outreach officers hired</li> <li>- grants to enclave villages in TYE and TYW - sustainable products development of forest coffee, organic herbs, and Karen women craft</li> <li>- grants to enclave villages in HKK buffer zone - community forest extension, transforming monocropping to integrated farming, and wildlife-friendly agriculture</li> </ul>	

Output	Implementation at project completion	Delivery status
	<ul style="list-style-type: none"> <li>- worked with HKK Foundation to help establish Chor 1 village in HKK buffer zone</li> <li>- Wildlife-Friendly Community Network established in buffer zone</li> <li>- contract to RECOFTC for community livelihoods development (2016-2018)</li> <li>- SNF supported livelihood development in 14 TYE and TYW enclave villages; they worked with DNP staff involved in community development</li> <li>- conservation agreements negotiated with villages</li> </ul>	
2.2: Nature-based tourism development	<ul style="list-style-type: none"> <li>- consultation and feasibility study for wildlife-based ecotourism in HKK buffer zone (KU - 2017)</li> <li>- Wildlife Tourism Development and HKK Habitat improvement and Management (KU)</li> <li>- developed conceptual framework, landscape identification and zoning, infrastructure design for wildlife tourism facilities, and economic analysis for the community beneficiaries</li> <li>- advocacy to Uthai Thani provincial government for funding and allocation of 2 million Baht in 2021 for wildlife soft release</li> <li>- limited financial business planning undertaken</li> <li>- draft WHS Strategic Plan developed, pending adoption by DNP; limited integration with provincial plans although potential exists</li> </ul>	
2.3: REDD+ and Wildlife Premium  Replaced by Sustainable Financing Mechanism	<ul style="list-style-type: none"> <li>- analysis of budgeting gap for WHS</li> <li>- series of seven reports developing economic assessment and analysing options for sustainable financing solutions (Dr Orapan)</li> <li>- strong basis for developing sustainable financing mechanism</li> <li>- advanced discussions into wildlife conservation licence plate opportunity; working group established through BIOFIN</li> </ul>	
<b>Component 3: Improved local education, awareness and participation</b>		
3.1: Community education and outreach	<ul style="list-style-type: none"> <li>- outreach described under Output 2.1</li> <li>- work with Karen youth on Indigenous youth leadership in knowledge development (Rabbit in the Moon Foundation)</li> <li>- 3 vehicles for WSs purchased rather than 'mobile environmental education units' - did not tour the project area providing 'road shows'</li> <li>- events, youth club and physical knowledge platforms as part of this (TYW)</li> <li>- Facebook presence</li> <li>- Tiger City exhibition at Bangkok Design Week in 2020</li> <li>- Collaboration and events around Global Tiger Day 2020</li> <li>- Ambassadors' trip to visit project activities in October 2020</li> <li>- 20 schools adopted tiger and wildlife conservation in curriculum</li> </ul>	
3.2: Participatory management	<ul style="list-style-type: none"> <li>- villagers involved in 3 PACs</li> <li>- representatives from 3 PACs involved in PAC for WHS Strategic Plan</li> <li>- lessons learned from the World Heritage Management and replication to other protected areas in the Western Forest Complex</li> </ul>	

## Annex 7: Signed UNEG Code of Conduct forms

<p><b>Evaluators/Consultants:</b></p> <ol style="list-style-type: none"><li>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.</li><li>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.</li><li>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.</li><li>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.</li><li>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.</li><li>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.</li><li>7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.</li><li>8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.</li><li>9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Midterm Review.</li></ol> <p style="text-align: center;"><b>TE Consultant Agreement Form</b></p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System:</p> <p>Name of Evaluator: Adrian Stokes</p> <p>Name of Consultancy Organization (where relevant): N/A</p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Signed at Adelaide, Australia on 31 May 2021</p> <p>Signature: </p>
--

**Evaluators/Consultants:**

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

**TE Consultant Agreement Form**

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

Name of Evaluator: Piyathip Eawpanich

Name of Consultancy Organization (where relevant): N/A

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

Signed at Bangkok on 31 May 2021

Signature:

  
(Ms. Piyathip Eawpanich)

**Annex 8: Signed Terminal Evaluation Final Report Clearance Form**

TO BE INSERTED

## ToR Annex G: TE Report Clearance Form

**Terminal Evaluation Report for** (Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex- *UNDP PIMS ID 5436*)

**Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: Lovita Ramguttee

Signature: *Lovita Ramguttee* Date: 09-Aug-2021

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: Gabriel Jaramillo

Signature:  Date: 09-Aug-2021